

MAINE STATE LEGISLATURE

The following document is provided by the
LAW AND LEGISLATIVE DIGITAL LIBRARY
at the Maine State Law and Legislative Reference Library
<http://legislature.maine.gov/lawlib>



Reproduced from scanned originals with text recognition applied
(searchable text may contain some errors and/or omissions)

Library Use Only.

STATE LAW LIBRARY
AUGUSTA, MAINE

MAINE STATEWIDE CORRECTIONAL
SYSTEM • MASTER • PLAN

FINAL REPORT

VOLUME I

EXECUTIVE SUMMARY OF RECOMMENDATIONS

December, 1985

ALLIED ENGINEERING

THE EHRENKRANTZ GROUP

SEP 15 1986

TABLE OF CONTENTS

	<u>Page</u>
1. Introduction.....	1
2. Overview of Existing System.....	12
3. Master Plan Recommendations.....	30
4. Appendices.....	76

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

1. INTRODUCTION

Background

In the spring of 1985, the State of Maine contracted with the Ehrenkrantz Group and Allied Engineering to provide architectural and planning services to the Department of Corrections. The project, and the related scope work was the result of a successful Bond Issue election which called for renovations/additions at existing correctional facilities and a Correctional System Master Plan for the Department.

The project can be described as having three separate, but related components:

- . Facility Master Plans
- . Architectural and Engineering Services
- . Statewide Correctional System Master Plan

Facility Master Plans

Facility Master Plans are being developed for both the Maine State Prison and the Maine Correctional Center. These Master Plans will evaluate the current facilities and operations and lay out a course of action leading to an efficiently run facility with an appropriate level of security. The implementation of the first phase of these changes to the facilities is being made possible by the monies and directives as stipulated in the Correctional Bond Issue.

The development of these Facility Master Plans has been taking place in conjunction with the Statewide Correctional System Master Plan and has drawn on the findings from that study.

Architectural and Engineering Services

The architectural and engineering services being provided are those associated with the planning, design and implementation of those facilities improvements outlined in the Correctional Bond Issue. This planned construction is in response to the immediate physical plant needs at both the Maine State Prison and the Maine Correctional Center.

1. INTRODUCTION

Background
(continued)

At MCC, Plans call for additional inmate housing totaling 132 beds for men and women's general population housing and segregation housing, a new receiving/release unit for the processing of inmates, a program building for expanded vocational and industrial programs and a new perimeter security fence. Improvements at MSP will include evaluating and upgrading the food services facility, limited new construction and renovation of the current administration building to provide additional space for support services and central control, and a new multi-purpose building for expanded inmate programs.

A new six bed segregation housing unit has also been designed for the Charleston Correctional Facility.

Statewide Correctional System Master Plan

The Statewide Correctional System Master Plan addresses the future of corrections in the state of Maine. In this regard, the System Plan is concerned with the improvement and enhancement of correctional system functioning, as well as the more long-range goals related to system-wide correctional policy issues.

The Master Plan is a culmination of an in-depth analysis of the Maine Correctional System and an evaluation of related issues.

The following activities were conducted as part of this comprehensive planning process:

- An examination of inmate profile characteristics and population trends based on a five year admission sample.
- Development of population projections for the Maine Correctional System, including determination of projected bedspace requirements for various classification categories.
- Facility analyses of MSP, MCC and MYC, including evaluations of physical plant resources and deficiencies.
- Examination of probation activity, including workload and caseload characteristics and trends.

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

1. INTRODUCTION

Background (continued)

- Survey of District and Superior Court Judges and Maine District Attorneys regarding correctional system issues.
- The Planning process also included numerous meeting and extensive interchange of ideas with representatives from the Department of Corrections and institutional and agency personnel.

The complete findings from the Maine Correctional System analysis are presented in Volume II of the Final Report.

Report Organization

This report, Volume I of the Maine Statewide Correctional System Master Plan, provides an Executive Summary of the Master Plan recommendations.

Key findings from the Correctional System analysis are presented in Chapter 2: Overview of Existing System. Chapter 3 presents a summary of the Master Plan recommendations and the related fiscal impact for each recommendation.

The recommended actions are to proceed in two stages, and this chapter is organized accordingly. Stage 1: Foundation Plan outlines short range actions which should be set into place this legislative session (FY 1987). Stage 2: System Plan addresses long-range system-wide correctional policy decisions.

Correctional System Goals

An understanding of correctional system philosophical goals is important to the planning process. Together with key correctional personnel, we identified the desired goals for the Maine Correctional System.

Stated goals included the following provisions:

- Provide a secure system that protects society from dangerous offenders.
- Provide a safe, humane and constitutional correctional environment.
- Provide offenders opportunities for becoming productive members of society through correctional services and programs.
- Provide facilities that meet minimum standards as established by the American Correctional Association.

1. INTRODUCTION

**Correctional
System Goals
(continued)**

- . Provide a system that is effective in managing population growth and the growing costs of corrections.
- . Provide for participation by key criminal justice decision-makers, professionals, and concerned citizens in future corrections policy making.

The Correctional Master Plan that has been developed for the State of Maine builds off of these goals.

The ability of the correctional system to realize its stated goals is to a large part influenced by factors which directly impact on correctional system functioning. Accordingly, objectives of the Master Plan were defined as they relate to achieving desired correctional system goals.

**Master Plan
Objectives**

We have organized the Master Planning process into two Stages which correspond to the short and long range objectives of the work effort. They are presented in the table on the following page.

Short range objectives are those which deal specifically with the quality of corrections. They are aimed at improving current system functioning, enabling the correctional system to operate more efficiently and effectively. This strengthening of the delivery of correctional services helps to provide the strong foundation necessary for addressing long range change.

The long range goals of the Master Plan deal with larger, system-related issues that address State-wide correctional policy. The correctional policy that is adopted by the State for dealing with convicted offenders relates directly to the future control and management of inmate population growth. Long range objectives deal specifically with the decisions surrounding these system-related policy issues.

For the most part, the goals and objectives of the Master Plan focus on the Adult Correctional System. Many of the recommendations, however, relate directly to Juvenile Corrections, in that they address programs and services for juvenile offenders. Implementation of the recommendations which relate to juvenile institutional programs and services, probation services and community alternatives will improve the quality of care for juvenile offenders.

1. INTRODUCTION

**Master Plan
Objectives**
(continued)

Our analysis of the Maine Youth Center, however, reinforced the fact that the juvenile correctional system is a complex system of interrelated agencies and activities. We have identified several areas that warrant further analysis. It is our belief that a separate Juvenile Justice Master Plan will better address those issues in a more system-wide, comprehensive approach. The issues are summarized in the section of this report relating to recommended areas of further study.

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

1. INTRODUCTION

OBJECTIVES OF THE MASTER PLAN*

SHORT RANGE (Stage 1: Foundation Plan FY 1987):

- Reduce the risk of court intervention/court order.
- Improve existing adult and juvenile correctional programs and service delivery.
- Respond to public safety concerns through proper allocation of correctional resources.
- Reduce the "costs" of overcrowding (financial and human) at state run institutions.
- Enhance correctional administration/management.
- Provide appropriate settings for high risk inmates sentenced to the DOC.

LONG RANGE (Stage 2: System Plan FY 1988-1995):

- Provide mechanisms for managing offender population growth.
- Provide for a constitutional correctional system.
- Provide for a continuum of care for convicted offenders.
- Provide for a system that manages the flow of convicted offenders in the most cost-effective manner.
- Provide for a system that addresses state/ county roles in the delivery of institutional and non-institutional services.

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

1. INTRODUCTION

Master Plan Description

As stated, the Maine Statewide Correctional System Master Plan addresses both long and short range objectives. We have developed a series of recommendations that are to proceed in two Stages, as indicated below:

Stage 1: Foundation Plan

Stage 1 of the Master Plan is referred to as the Foundation Plan. Foundation Plan recommendations are short range actions which should be set into place in this legislative session (FY 87). The Foundation Plan improves the existing correctional system and sets the stage for future change.

The Foundation Plan is the first crucial step in addressing broader, system-wide correctional policy issues. For the State to successfully plot a future correctional policy direction, it must have a solid foundation from which to work. The existing correctional system in Maine is facing a situation of crisis proportions. The correctional system itself must be strengthened as the first step in reaching long range correctional system objectives.

The recommendations included in the Foundation Plan address the need for both capital and operating improvements for the Maine Correctional System. Recommended action areas and attendant costs for Stage 1: Foundation Plan, can be summarized as follows:

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · P L A N

1. INTRODUCTION

Master Plan
Description
(continued)

STAGE 1: FOUNDATION PLAN SUMMARY

Capital Construction Recommendations

-	New 500 Bed Maximum Facility project costs	\$36,000,000 9,000,000
-	Additional Improvements - MSP project costs	2,500,000 500,000
-	Renovations - Bangor Kitchen	75,000
-	Charleston - 30 Bed Addition	75,000
-	Trailers - 100 additional beds	<u>500,000</u>
	TOTAL CAPITAL EXPENDITURES	\$48,650,000

Operating Recommendations

-	Central Office Organization	\$ 614,000
-	Institutional Programs	1,944,000
-	Institutional Security/Support	1,363,000
-	Probation Services	1,870,000
-	Community Contracts	1,248,000
-	Correctional Industries	800,000
-	System Issues/Further Study	200,000
-	Pilot Programs	<u>\$1,650,000</u>
	TOTAL OPERATING EXPENDITURES	\$ 9,689,000

TOTAL FOUNDATION PLAN EXPENDITURES \$58,339,000*

*Does not include Category A emergency requests or
Regular FY 87 DOC Budget Requests.

1. INTRODUCTION

Master Plan
Description
(continued)

STAGE 2: SYSTEM PLAN

Stage 2: System Plan addresses long range system-wide correctional policy decisions. The policy direction that the State can pursue in the future is presented as a choice of Correctional Policy Options available for providing a continuum of care for convicted offenders. The System Plan provides for a system-wide policy that manages the flow of convicted offenders through a correctional system that ensures public safety in a humane, constitutional and cost-efficient manner.

Each of the policy options takes a different approach to the management and control of offender population growth. The four long range policy options are:

1. Continue Current Practices

- . Retain existing correctional system structure.
- . Continued construction to meet demand for required bedspace.
- . Incarceration of convicted offenders is predominantly the responsibility of the State correctional system.

2. Formalize State/County Responsibility for Correctional Efforts

- . Incarceration of long term offenders (greater than 6 months) is the responsibility of the State.
- . County jails house short term offenders, (less than or equal to 6 months).
- . Provide state subsidies to counties to offset operational costs at jails.
- . Continue construction on a modified basis to meet bedspace demand.

3. Implement a Community Corrections Act

- . Emphasis on non-institutional alternatives for short term target offenders.
- . Development of programs at local level.

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

1. INTRODUCTION

Master Plan Description (continued)

- . Provide state subsidies for the development of alternatives at the local level.
- . Create dis-incentives for mis-use of state incarceration for target offenders.
- . Continue construction on a modified basis to meet bedspace demand.

4. Unify State and Local Correctional Systems

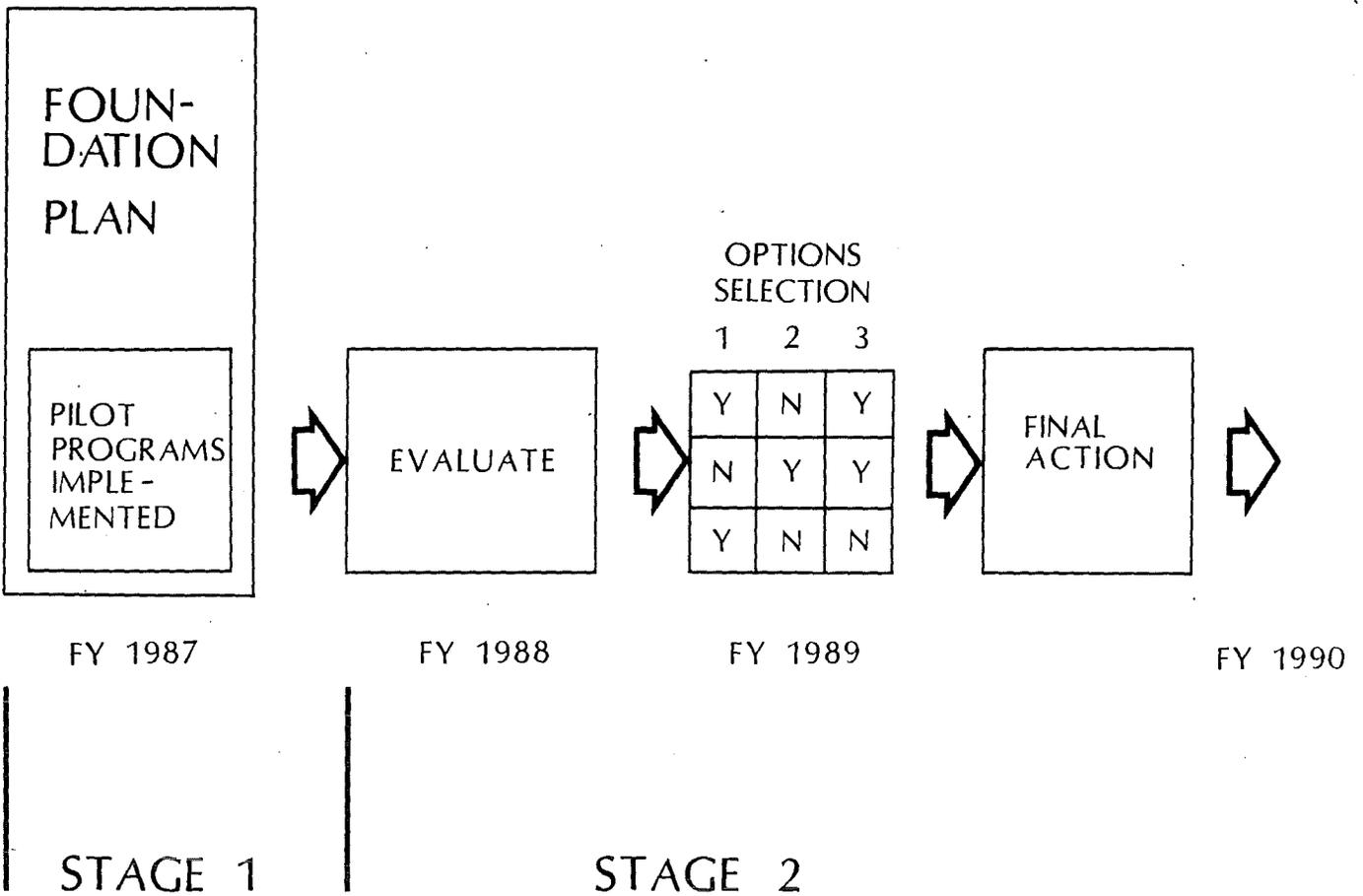
- . Unified Statewide correctional system under DOC jurisdiction.
- . State absorbs county jail administrative responsibility and operating budget.
- . County jails became part of an integrated state-run correctional system.

Pilot Programs

Pilot Programs associated with Options 2, 3, and 4 are recommended for implementation in selected counties who volunteer their participation. The Pilot Programs are a major component of the Foundation Plan and are a crucial element of the Master Plan implementation strategy. They will assist the State in determining a future direction for providing a continuum of care for convicted offenders while managing population growth.

The chart on the following page provides an illustration of the Master Plan five year implementation strategy, which incorporates the Foundation Plan, an evaluation component (of Pilot Programs) and long range decisions and actions.

CORRECTIONAL MASTER PLAN :
IMPLEMENTATION STRATEGY



MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

PROBLEMS FACING PRESENT SYSTEM

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

2. OVERVIEW OF CURRENT SYSTEM

Problems Facing Present System

The Maine Correctional System is facing problems similar to those being encountered across the nation. A growing offender population in Maine is taxing current capacities to the very limit, putting added pressure on already antiquated facilities. The Maine Correctional Center (MCC) was established in 1919, and the present Maine State Prison (MSP) was reconstructed in 1924. Further, both facilities are currently operating well over capacity. Satellite units (PRC) have recently been added or expanded to accommodate the burgeoning Prison and Correctional Center populations. Also, security and support staff, and staffing for institutional programs, have not kept pace with the growing offender population.

Maine's growing offender population, poor facility and physical plant conditions, and inadequate institutional and non-institutional programs and services, are combining to move Correctional System conditions to crisis proportions.

Threat of Court Takeover

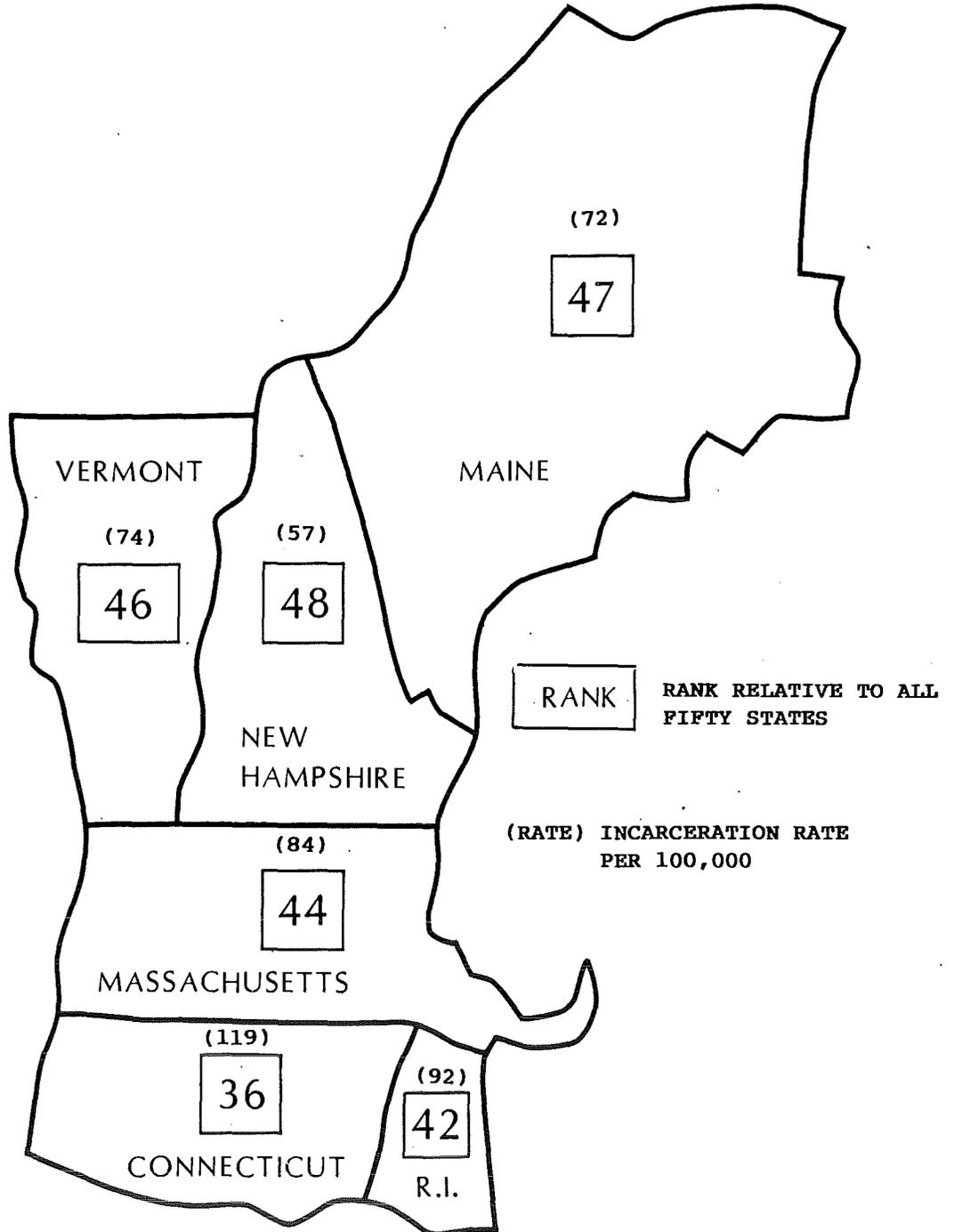
On the institutional side, severe overcrowding in substandard facilities are the stuff that court orders are made of. Across the Nation, Federal and State courts are stepping in with court orders and consent decrees to correct conditions of confinement in correctional facilities and entire correctional systems. According to the Bureau of Justice Statistics, the entire prison systems of eight states were operating under court order as recently as last year. In 25 additional states, at least one major institution was operating under court order.

Given this trend, and with the current state of corrections in Maine, it is not alarmist to assume that the State is edging closer and closer to the threat of court intervention.

Overcrowding

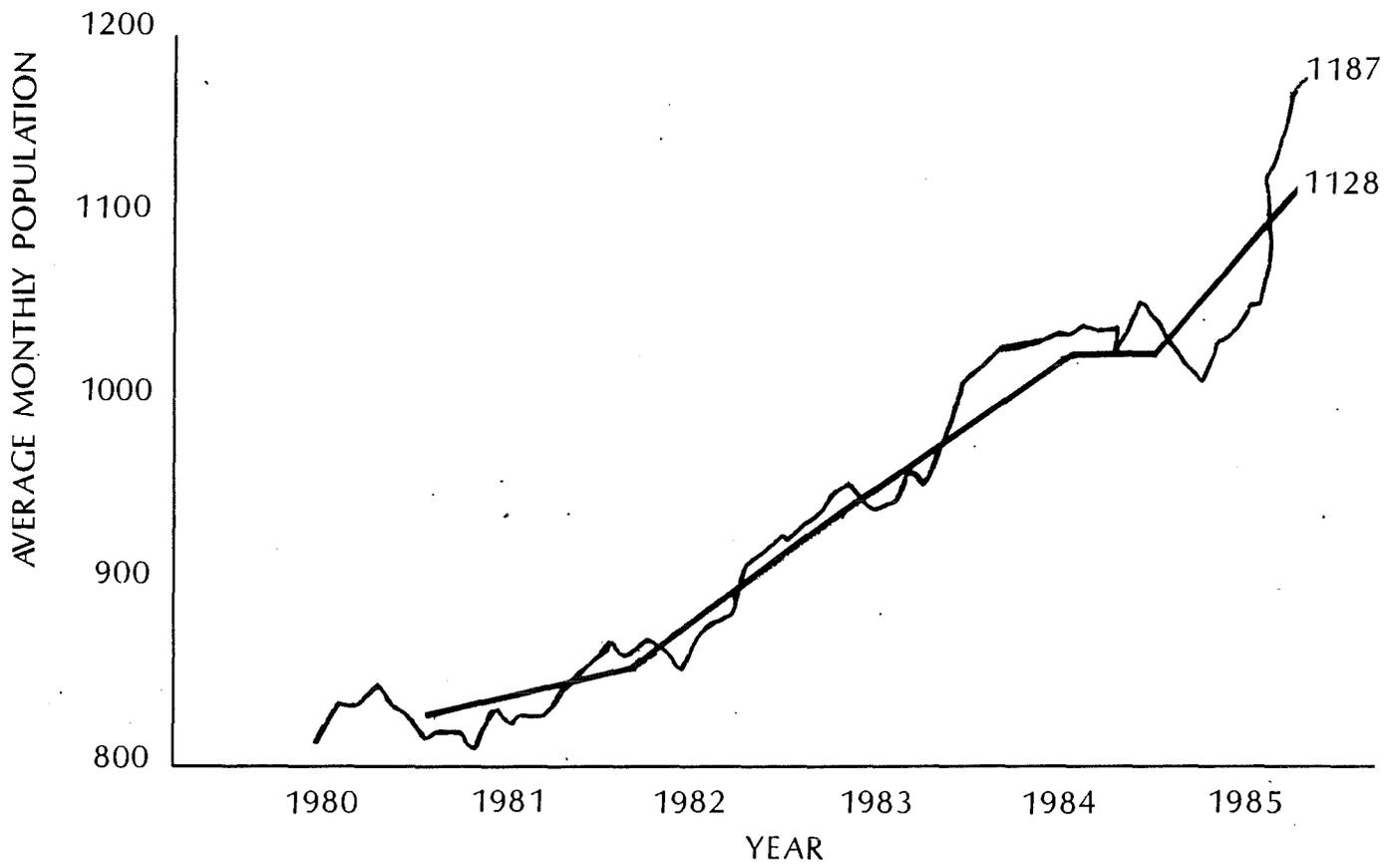
On a national basis, Maine has a relatively low incarceration rate. The chart of New England states provides a comparison of incarceration rates per 100,000 and shows Maine's national rank of 47th. That is, only three states nationally have lower incarceration rates than Maine. Still, for the last several years, the inmate population in Maine has continued to increase, and average facility population was about 39% higher in mid 1985 than it was five years prior. The graph which follows illustrates inmate population growth trends over the last five years.

COMPARISON OF INCARCERATION LEVELS : NEW ENGLAND STATES



MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

MAINE CORRECTIONAL SYSTEM
AVERAGE MONTHLY POPULATION
1980-1985



— AVERAGE YEARLY POPULATION
~ AVERAGE MONTHLY POPULATION

2. OVERVIEW OF CURRENT SYSTEM

**Problems Facing
Present System**
(continued)

Figures for the last six months alone are even more alarming, as they indicate a 12% increase over the same time period a year ago. As of this writing (December 2, 1985) the population count was at a record high of 1245 inmates.

Overcrowding results in a correctional system operating beyond its planned operational capacity. Good correctional management practices suggest that a system operate at 95% capacity, to allow for some classification and maintenance flexibility within the institution. In contrast, Maine's correctional system is currently operating at about 115% capacity. What this means, quite simply, is that the system must "find" beds for an additional 160 inmates, as current capacity provides a total of 1088 beds throughout the system, including contractual beds.

The upshot is that facility administrators are forced to create temporary housing in areas not designed as inmate quarters. At both MSP and MCC, infirmaries and dayrooms have been converted to inmate dormitories. Double celling is no longer uncommon, even in segregation areas where disciplinary cases and troublesome inmates should be housed individually in isolation.

In addition to the obvious physical constraints, facility overcrowding extols a high cost on both inmates and staff. Research has shown that tension and stress are directly related to crowding conditions, and inmate disturbances often result. The correctional system in Maine has begun to manifest these symptoms of overcrowding, as evidenced by recent serious disturbances at the facilities.

Staff frustration is manifested in high employee turnover, excessive sick leave and burnout. These conditions not only result in high overtime costs, but further threaten the security of the institution.

Physical Plant Deficiencies

While overcrowding can take its toll on any facility, the impact on an inadequate physical plant is even more apparent. The Maine Correctional System is not only faced with overcrowding, but with antiquated facilities that do not provide adequate maximum security housing, central intake, reception and classification assessment capabilities, or housing for mental health inmates, and inmates requiring medical treatment and isolation.

2. OVERVIEW OF CURRENT SYSTEM

**Problems Facing
Present System**
(continued)

Program Deficiencies

While the number of inmates incarcerated has continued to grow, institutional programs and service have not kept pace. Shortages in program offerings and staff are apparent at all of the major institutions, resulting in limited treatment opportunities for incarcerated offenders.

The situation is not much better for the Probation Division. Caseload size has continued to increase, with little corresponding increase in staff. The number of adults on probation has jumped 20% in the last year alone, from 3059 to 3629, resulting in an average client/officer ratio of 98:1. This is due, in part, to the dramatic increase in the use of split sentences by the judiciary. The use of split sentences has nearly doubled in the last several years. For example, a full 56% of last year's prison admissions received split sentences (incarceration followed by probation), as compared to 31% five years ago. Since the abolishment of parole, split sentences have been used to ensure supervision of offenders upon release from a correctional facility. In this context, split sentencing has been referred to as "judicial parole". The percentage of prisoners released to probation has tripled over the five year study period, to a current 65% of all admissions.

Also related to both the increase in probation caseload and the split sentence is the use of 'shock probation', where an offender is sentenced to a short period of incarceration, followed by a more lengthy probation sentence. Needless to say, this practice diverts limited resources - programs and prison beds - to short-term offenders sentenced to under one year. In many states, by comparison, this offender group is generally a local and community responsibility.

Problems facing the present system can be summarized as follows:

- . Potential for court order/takeover in the near future.
- . Severe overcrowding.
- . Antiquated physical plants at main facilities.

2. OVERVIEW OF CURRENT SYSTEM

**Problems Facing
Present System**
(continued)

- . Lack of maximum security housing.
- . Lack of facilities for inmates with medical and mental health problems.
- . Lack of centralized intake, reception and classification assessment capabilities.
- . Use of prison beds for offenders sentenced to under one year.
- . Limited treatment and program opportunities for offenders.
- . Unmanageable caseload levels in the Institutions and Probation.

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

POPULATION PROFILES

2. OVERVIEW OF CURRENT SYSTEM

Population Profiles

Inmate population profiles serve to describe offender characteristics and to document correctional system trends.

Population profiles were constructed based on a five year sample (25%) of admissions to the Department of Corrections.

Some of the key findings from the profile analyses relate directly to the short and long range planning issues presently confronting the State of Maine. They are highlighted below. The full results of the Inmate Population Profile Study appear in Volume II of the Master Plan Final Report.

- Almost half (47%) of all admissions were sentenced to one year or less. One-fifth (21%) of the sample was sentenced to six months or less. Use of prison beds for short term offenders has placed a burden on State correction system resources. In many states, short term offenders are given county jail sentences, or are diverted to community alternatives.

The number of admissions entering the system for relatively short periods of time is particularly troublesome from a programmatic stand point. These inmates, often eligible for minimum and community status, are quickly processed through the system and moved into appropriate programs. The constant turnover among the short term population has resulted in some disruption of the reception and classification process and the use of the satellite units as true pre-release centers for more long-term inmates exiting the system.

The impact of this population on facility bedspace is also apparent. A recent survey by the Department of Corrections revealed that over 15% of the total current population was comprised of inmates sentenced to one year or less. This translated into 196 actual beds required for this population at any given time. The actual number of beds required for short-termers in the system is a product of the number of admissions and the average length of stay for inmates sentenced to one year or less.

2. OVERVIEW OF CURRENT SYSTEM

Population
Profiles
(continued)

· Dramatic increase in sex offenses. The percentage of those incarcerated for committing sex offenses has increased from 4.6% in FY 81 to 20.3% last year. This huge proportion of sex offenders creates a need for specialized programming within the institutions. Additionally probation personnel site the need for specialized treatment capabilities to deal with these offenders once they are released on probation for supervision in the community.

· Over one half of last year's admissions were given split sentences. Split sentencing, the practice of sentencing an individual to a term of incarceration followed by probation, is widely used in Maine. The percentage of those receiving split sentences has increased from 21% to 56% in the last five years. Needless to say, this practice has resulted in increased probation caseloads - which rose 20% last year alone resulting in a 98:1 probationer to officer caseload ratio. Split sentences represent a widespread use of "shock probation" (for those sentenced to 6 months or less, 70% received a split sentence), as well as serving a "parole" function of post-release supervision of offenders.

· Increase in sentence lengths for serious offenses. The average sentence length for Class A offenses nearly doubled over the five year study period, to 91 months last year. Average length of stay for all classes of offense have been increasing consistently since FY 1982 (from 17 months to 23 months in FY 1985).

The average sentence length for violent offenses has also increased substantially, from 37 months four years ago, to almost 59 months in FY 1985.

Average sentence lengths for sex offenses have more than doubled in a five year period, from 28 months in FY 1981 to over 57 months in FY 1985.

It should be noted that the average length of sentence represents the arithmetic mean of a sample of sentences handed down for a given category. The average, or mean may be skewed upward by a few extremely large values. However, for planning purposes, the average length of sentence is used as an indication of sentencing trends. While this project does not provide for a comprehensive in-depth study of sentencing practices in Maine, the inmate population profiles do suggest that those who are incarcerated, are, on an average, being sentenced to longer terms of imprisonment.

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

POPULATION PROJECTIONS/SYSTEM CAPACITY

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

2. OVERVIEW OF CURRENT SYSTEM

Population Projections

Population projections were developed to help determine the future operational and capital construction requirements for the Maine Correctional System.

The population projections and subsequent bedspace requirements are based on an analysis of historical prison population growth trends over the last ten years.

The rate of growth experienced by the system, especially over the last several years, has continued to increase despite a decrease in crime rates and a leveling off of the "at-risk" population (males aged 18-34). While these factors have nationally been used as valid indicators of prison population, they have not helped to explain the increase in Maine's inmate population counts. After much analysis, past incarceration trends proved to be the best indicator of potential future correctional system growth.

Population forecasts indicate that, if current trends and practices continue the correctional system may require as many as 1658 beds for the general inmate population by the year 1990. The need for 79 additional segregation beds will result in a total bedspace requirement of 1737 beds in 1990.

Population projections appear in the Table below, broken down by specific categories.

TABLE 2.1

POPULATION PROJECTIONS BY CATEGORY

<u>Year</u>	+	<u>Max.</u>	+	<u>Med.</u>	+	<u>Min.</u>	+	<u>Comm.</u>	+	<u>Rec.</u>	+	<u>M.H.</u>	=	Required G.P. <u>Beds</u>	* +	<u>Seg.</u>	=	<u>Total</u>
1986		215		354		415		141		90		64		1279		61		1340
1987		231		381		442		155		96		69		1373		65		1439
1988		245		403		462		171		102		73		1456		69		1525
1989		261		431		487		187		109		78		1554		74		1628
1990		279		460		513		207		116		83		1658		79		1737
1995		385		635		727		269		160		114		2290		109		2399

* includes 5% utilization factor.

2. OVERVIEW OF CURRENT SYSTEM

**Population
Projections**
(continued)

A 5% utilization factor has been incorporated into the baseline projections to derive total general population bedspace requirements. Modern corrections practice recognizes that a correctional system cannot operate optimally at 100% capacity. Accordingly, the 5% utilization factor provides additional space - or management beds - to account for unexpected peaks in population, loss of cells due to maintenance problems, and need for some classification flexibility.

General Population Beds

General population bedspace requirements are disaggregated into maximum, medium and minimum security categories, mental health housing, and reception housing. These disaggregations were derived from separate classification analyses of related inmate characteristics and system activity.

Analysis revealed, for example, that approximately 5% of the population admitted to the system during the last five years had experienced psychiatric problems, while incarcerated, severe enough to require special housing within the facility or to necessitate transfer to a psychiatric hospital. Corrections personnel substantiate that at least 5% of current population could be better accommodated in a special housing unit for inmates with psychological problems. Such a Mental Health Unit would serve those inmates experiencing psychological difficulties requiring an increased level of management, care and treatment. Inmates exhibiting acute psychiatric disorders requiring hospitalization would be transferred to the appropriate facility until stabilized. Offenders declared mentally incompetent, criminally insane or not guilty by reason of insanity would continue to be housed at the State Psychiatric Hospital.

The number of beds required for a centralized reception unit is based on analysis of monthly admissions for the last two years and assumes a 30 day stay in a reception unit. The percentage of the total population who would be in reception housing at any given period is approximately 7%.

Security requirements (maximum, medium, minimum) for the general population are derived from analyses of classification criteria. The proportions for maximum, medium and minimum security are approximately 19%, 32%, and 49%, respectively.

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

2. OVERVIEW OF CURRENT SYSTEM

Population Projections (continued)

The minimum category also takes into account those who meet the criteria for community based placement, such as halfway houses, pre-release units, and work release centers. Approximately 25% of minimum category inmates are classified as appropriate for community placement.

The current inmate population in Maine according to correction officials, breaks down into the following approximate proportions: 18% maximum, 35% medium, 47% minimum (of these, approximately one quarter are community). The minimum custody category takes into account those inmates entering the system with short sentences as well as those who have successfully served a portion of their sentence and are now housed in minimum security facilities and pre-release centers.

Special Beds

Special beds are necessary for segregation purposes in order to isolate those individuals who need protective custody, inmates who cannot get along in the general population or who are isolated as punishment for infraction of institutional rules. Approximately 5% of total bedspace requirements is allocated for segregation beds.

The following table illustrates the bedspace requirements for the projected population. This breakdown collapses reception and mental health and maximum security into one category, indicating the total bedspace requirements for high-risk inmates.

TABLE 2.2

PROJECTED BEDSPACE REQUIREMENTS

<u>Year</u>	<u>Max.</u>	+	<u>Med.</u>	+	<u>Min.</u>	+	<u>Comm.</u>	= <u>Total G.P.</u>	+	<u>Seg.</u>	=	<u>Total</u>
1986	369		354		415		141	1279		61		1340
1987	396		381		442		155	1373		65		1439
1988	420		403		462		171	1456		69		1525
1989	448		431		487		187	1554		74		1628
1990	478		460		513		207	1658		79		1737
1995	659		635		727		269	2290		109		2399

2. OVERVIEW OF CURRENT SYSTEM

**System
Capacity**

The present system capacity (as of December 1985) is presented in the following table (Table 2.3) according to the number of maximum, medium, minimum and segregation beds that are currently available throughout the correctional system, as well as the number of contractual beds being utilized. A comparison of these figures to those presented in Table 2.2 (Project Bedspace Requirements) reveals that the system will operate this year with a deficit of about 162 beds. The Department of Corrections is presently attempting to offset the bedspace deficit through double celling and placement of additional inmates in the county jails at the per diem rate. These "solutions", however, are becoming less and less available, as the margin between necessary and available beds continues to widen.

In 1983, the voters of Maine approved a Construction Bond Issue that will add an additional 118 beds to the Correctional System for a total of 1206 beds by 1990. Table 2.4 illustrates the 1987 Correctional System Capacity depicting the number of maximum, medium, minimum segregation and contractual beds that will be available when this additional construction is completed. Even with the new construction, projections indicate that a shortage of 520 general population beds may still exist by 1990. An additional 11 segregation beds will also be required, over and above the 68 currently available.

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

TABLE 2.3

PRESENT SYSTEM CAPACITY

<u>Facility</u>	<u>Max.</u>	<u>Med.</u>	<u>Min.</u>	<u>Total GP</u>	<u>System</u> <u>+ Seq. = Total</u>	
MSP	355	45	-	400	28	= 428
MCC	-	173	-	173	12	= 185
Charleston	-	-	93	93	6	= 99
Down East	-	96	-	96	7	= 103
Bolduc	-	-	72	72	0	= 72
Bangor	-	-	35	35	0	= 35
Central Maine	-	-	30	30	2	= 32
Southern Maine	-	-	30	30	0	= 30
Female Pre-Release	-	-	5	5	0	= 5
FACILITY TOTAL	355	314	265	934	+ 55	= 989
<u>Contractual</u>						
Federal				25		
County Jails				56		
Community				18		
CONTRACTUAL TOTAL				99		
GRAND TOTAL				1,033	+ 55	= 1,088

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · P L A N

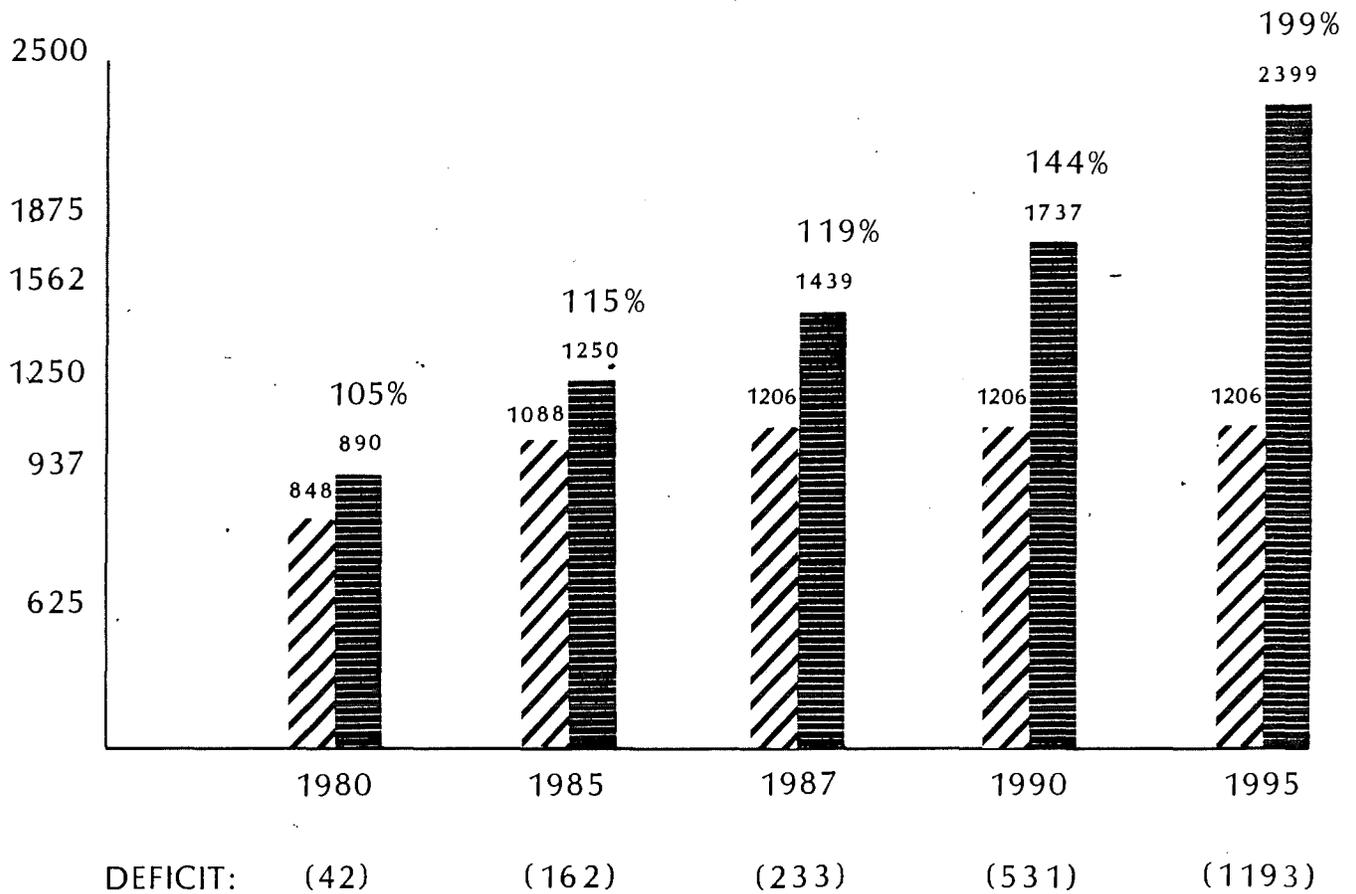
TABLE 2.4

1987 SYSTEM CAPACITY*

<u>Facility</u>	<u>Max.</u>	<u>Med.</u>	<u>Min.</u>	<u>Total GP</u>	<u>System</u> <u>+ Seg. = Total</u>	
MSP	355	45	-	400	28	= 428
MCC	-	273	-	273	25	= 298
Charleston	-	-	93	93	6	= 99
Down East	-	96	-	96	7	= 103
Bolduc	-	-	72	72	0	= 72
Bangor	-	-	35	35	0	= 35
Central Maine	-	-	30	30	2	= 32
Southern Maine	-	-	30	30	0	= 30
Female Pre-Release	-	-	10	10	0	= 10
FACILITY TOTAL	355	414	270	1039	+ 68	= 1107
<u>Contractual</u>						
Federal				25		
County Jails				56		
Community				<u>18</u>		
CONTRACTUAL TOTAL				99		
GRAND TOTAL				1138	+ 68	= 1206

The chart on the following page graphically compares future bedspace requirements with 1987 correctional system capacity.

TOTAL BEDSPACE REQUIREMENTS AND
CORRECTIONAL SYSTEM CAPACITY
(INCLUDING SEGREGATION)



 HAVE
 NEED

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

FACILITIES ANALYSIS

2. OVERVIEW OF CURRENT SYSTEM

**Facilities
Analysis**

Physical Plant Analysis

As part of the facilities master plan process the consultant team has completed an exhaustive analysis of the facilities needs at MSP and MCC. Representative photographs depicting the current conditions of the Maine State Prison facility have been included at the end of this section. In addition, we completed a preliminary survey of the physical plant at MYC. The following key findings summarizes the status of Maine's correctional physical plants:

- . Nine institutions now comprise the state correctional system: 8 adult and 1 juvenile facility.
- . 80% of all available adult correctional bedspace is 40 years or older.
- . Maine's adult facilities are operating at 126% over capacity; a well run system should operate at 95% of capacity.
- . Questionable fire and life safety conditions exist at several of the older institutions.
- . There are no operating medical infirmaries at the adult facilities.
- . There are no facilities for prison industries other than at MSP.
- . Appropriate facilities do not exist to house maximum security and mental health inmates.
- . Appropriate facilities do not exist for diagnostic classification upon commitment to the DOC.

Bedspace Analysis

The population projections and existing system capacity highlight both current and future deficiencies in terms of the absolute number of beds. As indicated earlier, the system will require 1658 general population beds by 1990 resulting in a potential shortfall of 520 beds by that time. Furthermore, our classification analysis describes the deficiencies in terms of the types of beds required.

2. OVERVIEW OF CURRENT SYSTEM

Bedspace Analysis
(continued)

Maximum Security

The physical plant and operations analysis of MSP indicates that the facility as presently configured is inappropriate to house maximum security inmates, and is extolling a high cost on both staff and inmates. The life cycle costs of remodeling the facility to meet both maximum security requirements and national and constitutional standards are prohibitive and not cost-effective.

For example, if MSP were renovated to comply with ACA standards, the capacity would be reduced from 400 to 184 cells, and the cost of renovation would be \$11 million. The renovation, however, would not alter the poor configuration and the attendant high inmate to staff ratios of 1.53 staff to every inmate. A new equivalent 184 maximum security facility would cost \$11,960,000 to construct and could probably be operated at a inmate to staff ratio of 2:1, or an improvement in efficiency of 30%.

Medium Security

The number of additional medium security beds which may be necessary is contingent upon the future of MSP and the success of other programs. Bedspace analyses suggest a deficit of approximately 46 medium security beds by 1990. With the construction of a new maximum security facility, either MSP could be renovated by 1993 to provide appropriate medium security housing, or other existing facilities could be expanded to meet the deficit in beds.

Minimum Security

Classification disaggregations suggest the need for an additional 450 minimum security beds by 1990. New facilities, if required, might be constructed in more urban areas of the state and serve as both halfway-in and pre-release centers.

Central Reception

The State of Maine presently does not have the capacity for central reception and classification of inmates. Currently, sentenced offenders are transferred immediately to MCC or MSP where they are placed in a

2. OVERVIEW OF CURRENT SYSTEM

Bedspace Analysis
(continued)

designated area of the facility to await institutional classification. The lack of a centralized reception and classification facility impact on the ability to provide a standardized classification assessment and program plan for inmates admitted to the system. By 1990, 116 reception beds will be necessary. These will require maximum security type construction.

Mental Health

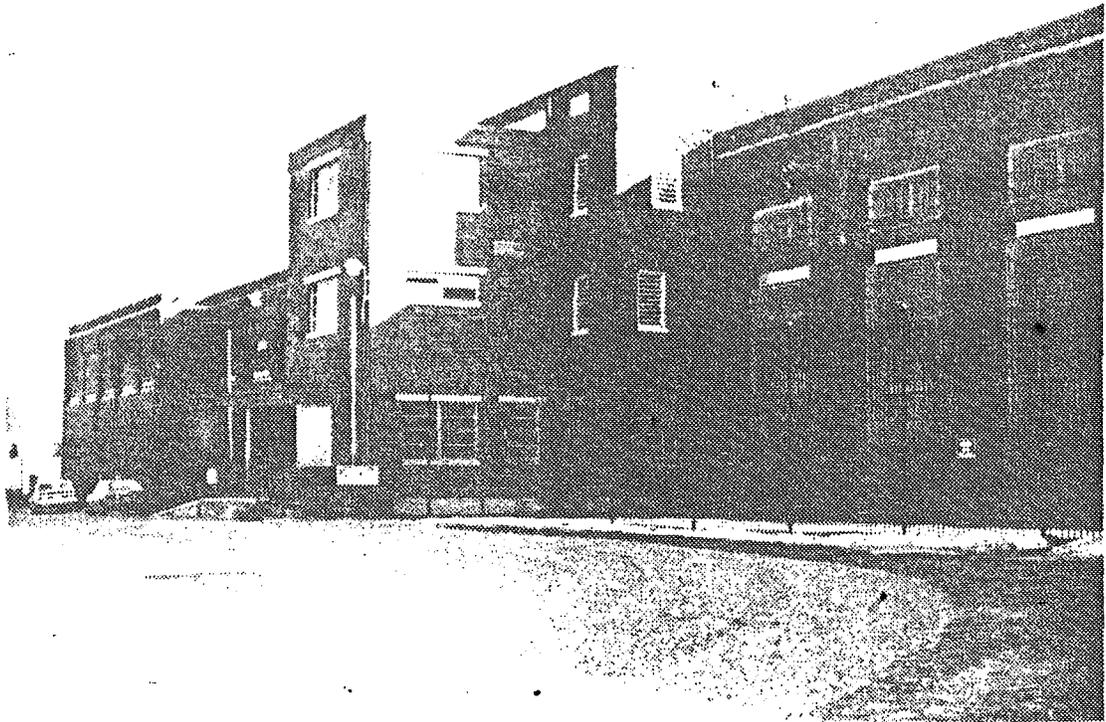
Mental Health housing is severely lacking in the present system. Currently, none of the adult facilities have the appropriate quarters for inmates experiencing mental difficulties, and those with severe mental health needs are either placed in segregation or transferred to local hospitals. Projections indicate that 83 mental health beds will be required systemwide by 1990.

Medical

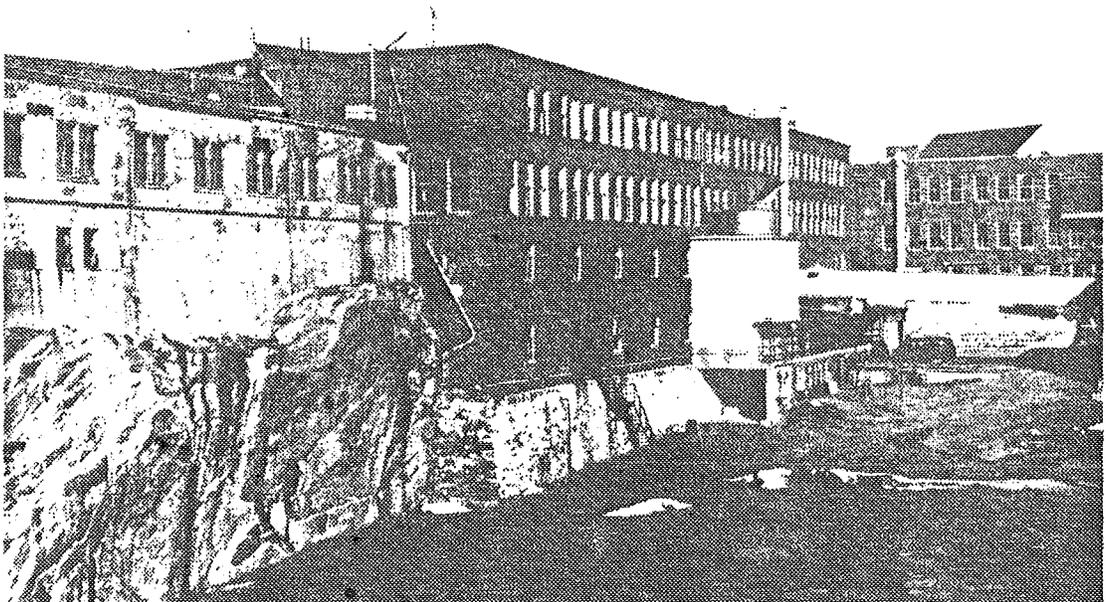
None of the major adult institutions is presently operating a medical infirmary for the short term care of convalescing or quarantined inmates. Where these existed previously, they have now been transformed into makeshift housing areas to accommodate the burgeoning inmate population. In addition, MYC is lacking infirmary beds for its female juvenile population.

The key points highlighted here serve as a summary of the facility and bedspace analyses conducted at MSP, MCC and MYC. The findings are presented in greater detail in the full version of the Maine Statewide Correctional System Master Plan Final Report (Volume II).

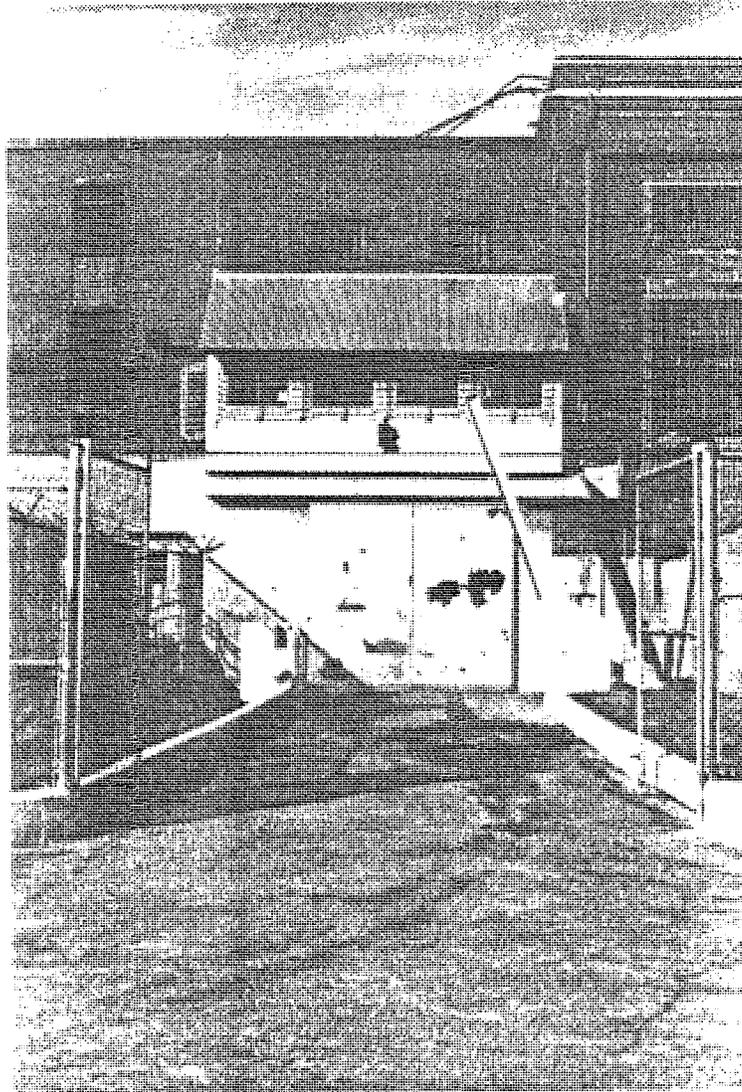
MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · P L A N



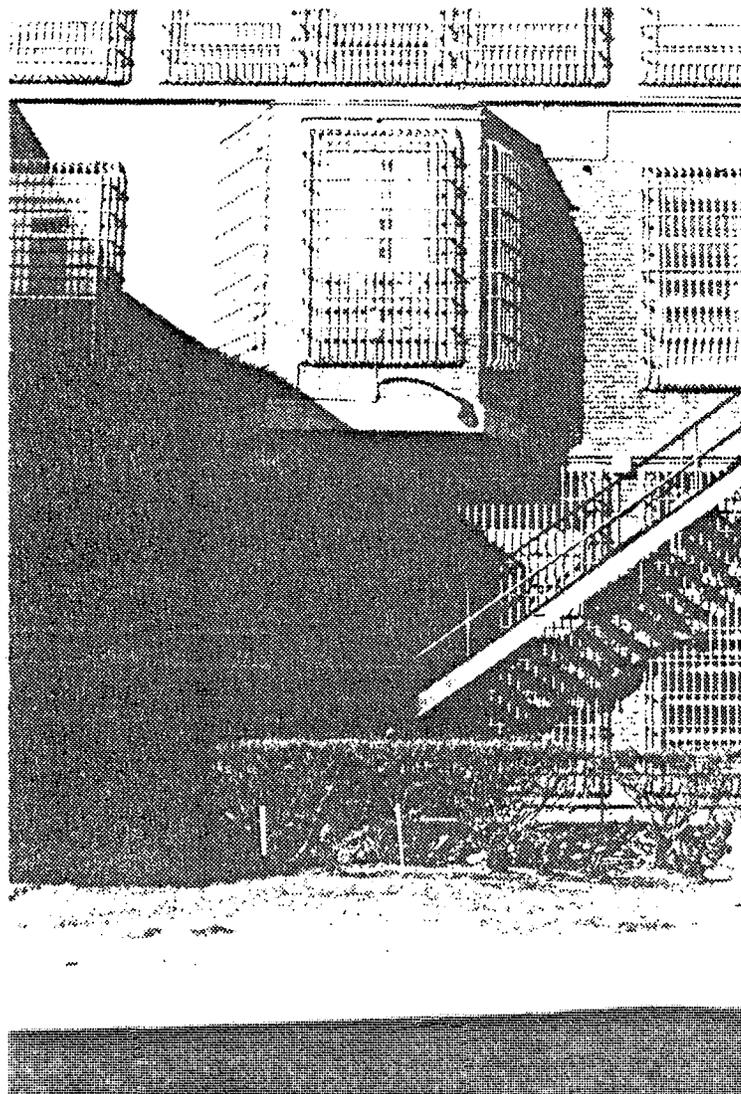
1. Front elevation, facility entry.



2. The "yard" side elevation of the dining hall and industrial building.



3. Vehicular sallyport from inside the facility.



4. Administration building from inside the facility.

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

3. MASTER PLAN RECOMMENDATIONS

Introduction

The Master Plan goals and objectives defined earlier speak to the need for both long and short range responses to Maine's administration of a correctional system for convicted offenders. The relationship between long and short range actions is a crucial one. The Master Plan must provide for the transition from an improved correctional system to system-wide responsibility for long range correctional policy decisions.

Our approach to the development of a Master Plan for the State of Maine takes this into account. The Master Plan is presented as two related stages. We are recommending immediate implementation of Stage 1: Foundation Plan. The Foundation Plan is aimed at 1) improving the current correctional system, and 2) setting the stage for future change.

The areas addressed in Stage 1 of the Foundation Plan include:

- Capital Construction
- Central Office Organization
- Institutional Programs
- Institutional Security/Support
- Probation Services
- Community Contracts
- Correctional Industries
- System Issues/Further Study
- Pilot Programs

By addressing these areas, the current correctional system is brought up to an appropriate level of functioning, so that the larger policy issues can be addressed.

Four Pilot Programs, corresponding to the various options, are to be implemented in FY 1987 as part of the Foundation Plan. These Pilot Programs correspond to the stated policy options and are aimed at assisting the State in determining a future correctional policy that is politically, economically and practically appropriate for the State of Maine. In this regard, Stage 2 incorporates an evaluation of the Pilot Programs, with an analysis of statewide implementation issues, and finally, a decision as to statewide correctional system policy. The Master Plan implementation strategy provides for a phased set of actions commencing with the Foundation Plan. Pilot

3. MASTER PLAN RECOMMENDATIONS

Introduction
(continued)

programs are set into place in FY 87 as provided for in the Foundation Plan. It is expected that these Programs will run for a period of two years; with an evaluation of the Programs taking place early in FY 88. This schedule allows for a statewide policy decision with attendant fiscal and legislative appropriations by FY 1989.

Stage 2 of the Master Plan addresses the long range system-wide policy issues. Decisions made in this Stage relate to the future direction that the State of Maine wishes to pursue in providing a continuum of care for convicted offenders. The Stage 2 Policy Options that were developed address the relationship between state and counties in providing a coordinated correctional system for all offenders.

These long range policy options are the culmination of a comprehensive process involving numerous stakeholders in the Maine Correctional System. The process for developing these options entailed much discussion between the TEG Project Team and The Department of Corrections. In addition to several ongoing meetings with DOC administration and staff, a two-day planning retreat was held in the fall, in which Master Plan recommendations and policy options were developed.

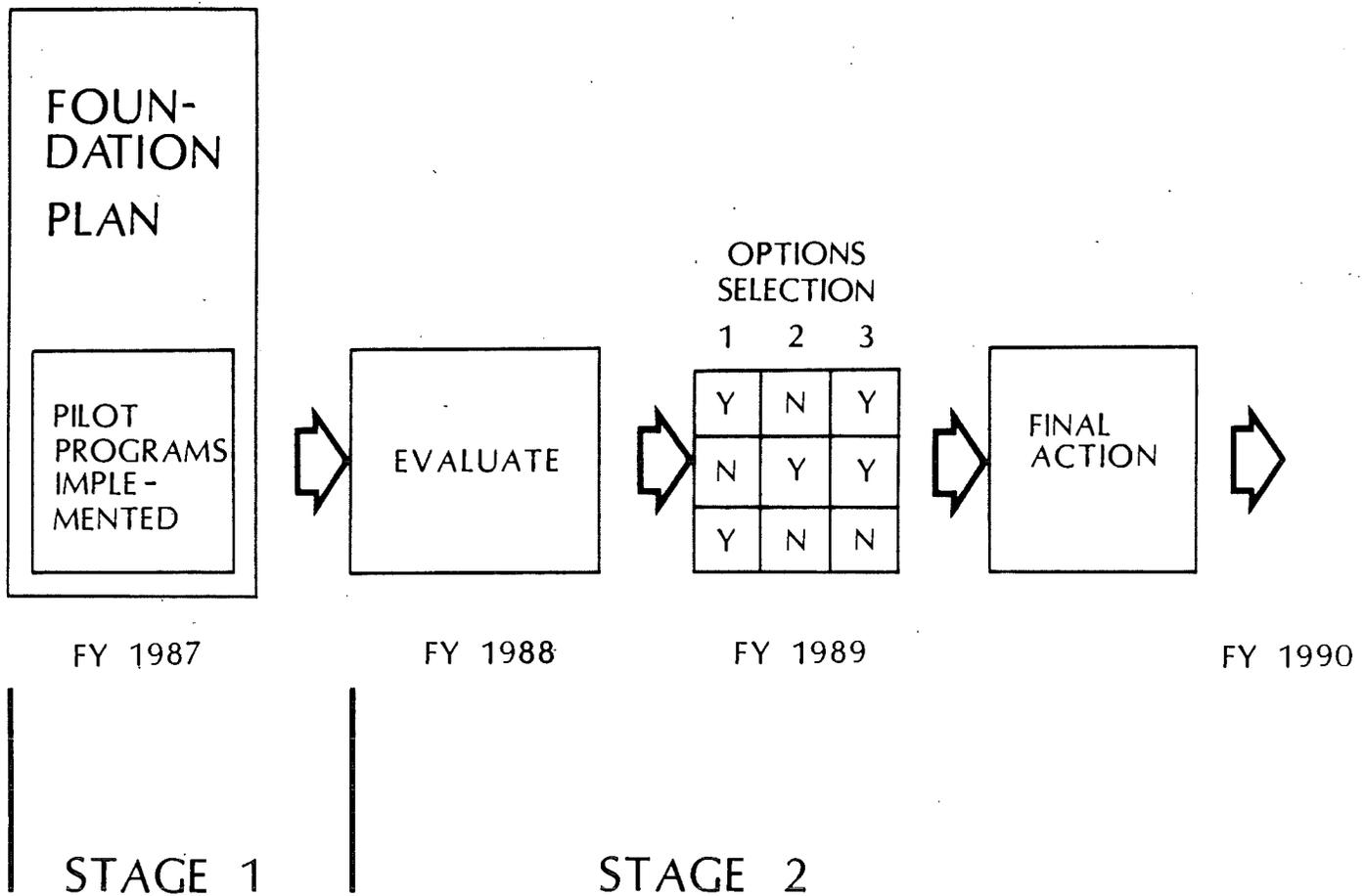
The planning process also included several meetings and a sharing of ideas with the Governor's Blue Ribbon Commission on Corrections, as well as meetings with Governor Brennan.

The systemwide options, as they relate to correctional policy are:

- 1) Continue current practices
- 2) Formalize State/County responsibilities for Correctional Services
- 3) Implement a Community Corrections Act
- 4) Unify the state and local correctional systems

The following chart illustrates the process from Foundation Plan, through an evaluation of Policy Options, to a future policy direction. The decisions made during this period relate to statewide policy, future capital construction needs, and program development.

CORRECTIONAL MASTER PLAN : IMPLEMENTATION STRATEGY



MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

STAGE 1: FOUNDATION PLAN

3. MASTER PLAN RECOMMENDATIONS

STAGE 1: FOUNDATION PLAN

Foundation Plan

As described, the Correctional System Master Plan has two sequential stages. Stage I of the Master Plan is a Foundation Plan for the Correctional System. This Foundation Plan is comprised of short range recommendations which should be set in motion as early as Fiscal Year 1987. These recommended actions are primarily aimed at improving current correctional system functioning. In this respect, the Foundation Plan is seen as necessary in order to bring the correctional system up to an appropriate level of operation - by improving administrative, programmatic and operational components of the system.

Improving the existing system is an important goal in and of itself. Just as important, the Foundation Plan is viewed as a crucial first step in addressing the long range policy options discussed earlier. The Foundation Plan recommendations serve to build a solid basis for corrections - a firm foundation from which to address the long range system-wide policy decisions which must be determined in Stage 2.

The Foundation Plan lays out recommendations that relate to both physical plant requirements and operational, administrative and programmatic aspects of correctional system functioning. Stage 1: Foundation Plan recommendations are organized into the following sections:

- . Capital Construction
- . Central Office Organization
- . Institutional Programs and Services
- . Institutional Security/Support
- . Probation Services
- . Community Contracts
- . Correctional Industries
- . System Issues/Further Study
- . Pilot Programs

3. MASTER PLAN RECOMMENDATIONS

STAGE 1: FOUNDATION PLAN

**Foundation Plan
(continued)**

This chapter summarizes the recommended actions to be addressed by the Foundation Plan. The Fiscal Impact (Capital and Operating expenditures) is provided for each of the sections.

The dollar figures presented here are an approximation of associated costs for each recommendation, rounded to the nearest \$1,000.00. The reported expenditures include personal services, all other, and capital expenses, where appropriate. Where indicated, appropriations are also requested for FY 85/86, to provide funding for immediate implementation.

The following table presents a summary of total requested appropriations related to the Foundation Plan.

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

3. STAGE 1: FOUNDATION PLAN: FISCAL IMPACT SUMMARY

CAPITAL CONSTRUCTION

	<u>85/86</u>	<u>86/87</u>	<u>GRAND TOTAL</u>
- 500 bed facility/with project costs	-	\$45,000,000	\$45,000,000
- Additional improvements MSP/with project costs	-	3,000,000	3,000,000
- Trailers for 100 beds	\$500,000	-	500,000
- Renovations at CCF (30 beds)	-	75,000	75,000
- Renovations at Bangor kitchen		75,000	75,000
<u>Total - Capital</u>	<u>\$500,000</u>	<u>\$48,150,000</u>	<u>\$48,650,000</u>

OPERATIONS

- Central Office Organization	\$54,000	\$560,000	\$614,000
- Institutional Programs	270,000	1,674,000	1,944,000
- Institutional Security/Support	266,000	1,097,000	1,363,000
- Probation Services	357,000	1,513,000	1,870,000
- Community Contracts	36,000	1,212,000	1,248,000
- Correctional Industries	-	800,000	800,000
- System Issues/Further Study	110,000	1,740,000	200,000
- Pilot Programs		1,650,000	1,650,000
<u>Total - Operating</u>	<u>\$1,093,000</u>	<u>\$8,596,000</u>	<u>\$9,689,000</u>

GRAND TOTAL FOUNDATION PLAN **\$58,339,000**

Category A Emergency Requests \$1,700,000

Monies Already Appropriated FY 87 \$32,000,000

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

CAPITAL RECOMMENDATIONS

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

3. MASTER PLAN RECOMMENDATIONS

CAPITAL CONSTRUCTION

<u>Recommendations Summary</u>	<u>Fiscal Impact Summary</u>	
	85/86	86/87

Capital Construction recommendations relate to the need for construction of a new maximum facility as well as interim beds necessary to offset the extreme overcrowding that presently exists within the present facilities.	\$500,000	\$48,150,000
--	-----------	--------------

A. New 500 Bed Facility

Population projections and existing system capacity help to define the bedspace resources and deficiencies for the Maine Correctional System. As indicated, the system will require 1658 general population beds by 1990, resulting in a potential shortfall of 520 beds by that time.

Future bedspace requirements may be impacted by the implementation of various policy and program recommendations. Policies and programs aimed at providing alternatives to incarceration are geared toward minimum security inmates. This may reduce the number of future beds required in that category.

The greatest need for new beds, at the State level, however, exists for maximum security, reception housing and mental health housing. We are therefore recommending that a 500 bed maximum security facility be authorized in FY 1987 to be completed by 1990. This facility will accommodate housing for "high risk offenders" and will provide for 279 maximum security beds, 116 reception beds, 83 mental health beds, and 21 segregation beds.

Construction of a new maximum security facility is consistent with the need for appropriate bedspace for mental health, reception and maximum security category inmates, as documented by the facilities analysis. As indicated, the physical plant and operations analysis of MSP indicates that the facility as presently configured is inappropriate to house maximum security inmates, and is extolling a high cost on both staff and inmates. The life cycle costs of remodeling the facility to meet both maximum security requirements and national and constitutional standards are prohibitive and not cost-effective.

To illustrate, if MSP were renovated to comply with ACA standards, the capacity would be reduced from 400 to 184 cells, and the cost of renovation would be \$11 million.

3. MASTER PLAN RECOMMENDATIONS

CAPITAL CONSTRUCTION

Necessary renovations netting 184 cells would not begin to provide the number of cells necessary to meet maximum security bedspace requirements. Furthermore, the renovations would not alter the poor configuration and the attendant high staff to inmate ratios of 1.53 staff to every inmate. By comparison, a new equivalent 184 maximum security facility would cost \$11,960,000 to construct and could probably be operated at an inmate to staff ratio of 2:1, or an improvement in efficiency of 30%.

A new facility, with such an improvement in staffing efficiency, can result in substantial savings over the life of the facility. For example, if current staffing costs at MSP are compared to those of a new 500 bed institution, the relative staffing costs would result in an annual savings of 1.58 million dollars - the equivalent of 75 authorized positions. Carried over the 30 year life cycle of a new facility, without factoring in inflation, nets a 47 million dollar savings - more than the cost of a new facility. When adding in inflation compounded at 5% per year, the cost savings are more than 100 million dollars.

With the addition of a new facility by 1990, decisions regarding the future use of MSP can be made. Depending on the success of programs aimed at offender population management control and subsequent need for additional beds, MSP could be closed in the future (possibly by 1993) or renovated to accommodate medium or even minimum security inmates, if necessary.

<u>Fiscal Impact</u>	<u>85/86</u>	<u>86/87</u>
New 500 Bed Facility		\$36,000,000
Project Costs		<u>9,000,000</u>
	Sub-total (A)	\$45,000,000

B. Interim Beds

In addition to the new maximum security facility, the DOC will require interim beds to help meet the 1987 shortfall of 233 beds. We are recommending that the state immediately acquire 100 beds of minimum security portable type housing to be placed at MCC and in addition renovate another barracks at Charleston to accommodate an additional 30 inmates. The balance of the shortfall of 103 beds will be dealt with through continued contracts with the Federal Bureau of Prisons and the county jails as well as continued overcrowding at several of the state facilities. We are hopeful that by the end of FY 1988, the continued shortfall will be further offset to some extent by population reductions which will result from the Pilot Programs that are to be implemented in FY 1987.

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

3. MASTER PLAN RECOMMENDATIONS

CAPITAL CONSTRUCTION

<u>Fiscal Impact</u>	<u>85/86</u>	<u>86/87</u>
Trailers for 100 beds	\$500,000	-
Renovations at Charleston	-	\$75,000
Sub-total (B)	\$500,000	\$75,000

C. Renovations to Present Facilities

Bangor Pre-Release

Renovations to existing facilities include the provision of a kitchen facility at Bangor pre-release. Presently, food is brought to the institution from Bangor Mental Health Institute. A kitchen on grounds would allow for more efficient preparation of quality meals for the population here.

Maine State Prison

As stated above, the future use of MSP will be determined by the success of various program and policies aimed at offender population management control. At any rate, the facility will remain operational for at least 5-8 years while Foundation Plan recommendations are being realized and Stage 2 actions are taking place. In the interim, renovations are necessary at MSP to further address life safety issues and to provide appropriate space for prison industries. Required life safety improvements would include additional installation of automatic locking devices, and smoke and fire alarms. Expansion of existing prison industry programs would require the addition of approximately 15,000 square feet of industry space.

<u>Fiscal Impact</u>	<u>85/86</u>	<u>86/87</u>
Bangor Renovations (Kitchen)		75,000
MSP Renovations		2,500,000
Project Costs		500,000
Sub-total (C)		\$3,075,000

The total capital expenditures program requested for FY 1987 is summarized on the following page. The capital expenditures form the core of the Stage 1: Foundation Plan. Once these capital improvements are on line, future policy decisions to build and/or renovate additional beds can be made without the threat of court orders or overcrowded institutions driving policy decisions. For example, in that context the future decision to renovate or close MSP will depend on the success of programs aimed at

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

3. MASTER PLAN RECOMMENDATIONS

offender population management control. The foundation for these programs will be provided for in the Stage 1 operational recommendations that follow. There are several approaches for financing the cost of capital construction. The legislature may authorize approval of a Bond Issue. Lease purchase financing is another approach to financing capital construction. A description of this approach, and an example of financing such a project in Maine are provided in Appendix B.

CAPITAL RECOMMENDATIONS: FISCAL SUMMARY (FY 1986-87)

	<u>85/86</u>	<u>86/87</u>	<u>GRAND TOTAL</u>
500 Bed Maximum Facility		\$36,000,000	\$36,000,000
- Project Costs		9,000,000	9,000,000
Additional Improvements to MSP		2,500,000	2,500,000
- Project Costs		500,000	500,000
Trailers for 100 additional beds	\$500,000		500,000
Renovations at CCF for 30 additional beds		(est.) 75,000	75,000
Renovations at Bangor: Kitchen		<u>75,000</u>	<u>75,000</u>
TOTAL CAPITAL REQUESTS	\$500,000	\$48,150,000	\$48,650,000

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

OPERATING RECOMMENDATIONS

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

CENTRAL OFFICE ORGANIZATION

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

3. MASTER PLAN RECOMMENDATIONS

CENTRAL OFFICE ORGANIZATION

<u>Recommendation Summary</u>	<u>Fiscal Impact</u>	
	<u>85/86</u>	<u>86/87</u>
Reorganization of the Department of Corrections, including the assignment of new staff necessary for establishing divisions of authority within Central Office, as indicated in the Proposed Table of Organization.	\$54,000	\$560,000

The Department of Corrections, as it presently exists, is a relatively new organization. It became an autonomous Department in 1981, when it was separated from the Department of Mental Health and Corrections. Since its inception, the Department has not been able to adequately develop the staff and resources necessary to optimally address the myriad of issues, activities and responsibilities confronting correctional administrators on a daily basis.

Currently, a seriously understaffed Central Office must respond to a variety of unanticipated events with which it is confronted such as law suits, institutional disturbances, and information requests from the media, to name a few.

Because key personnel must spend valuable time responding to these occurrences, staff resources are often diverted from addressing more global administrative matters in a comprehensive manner.

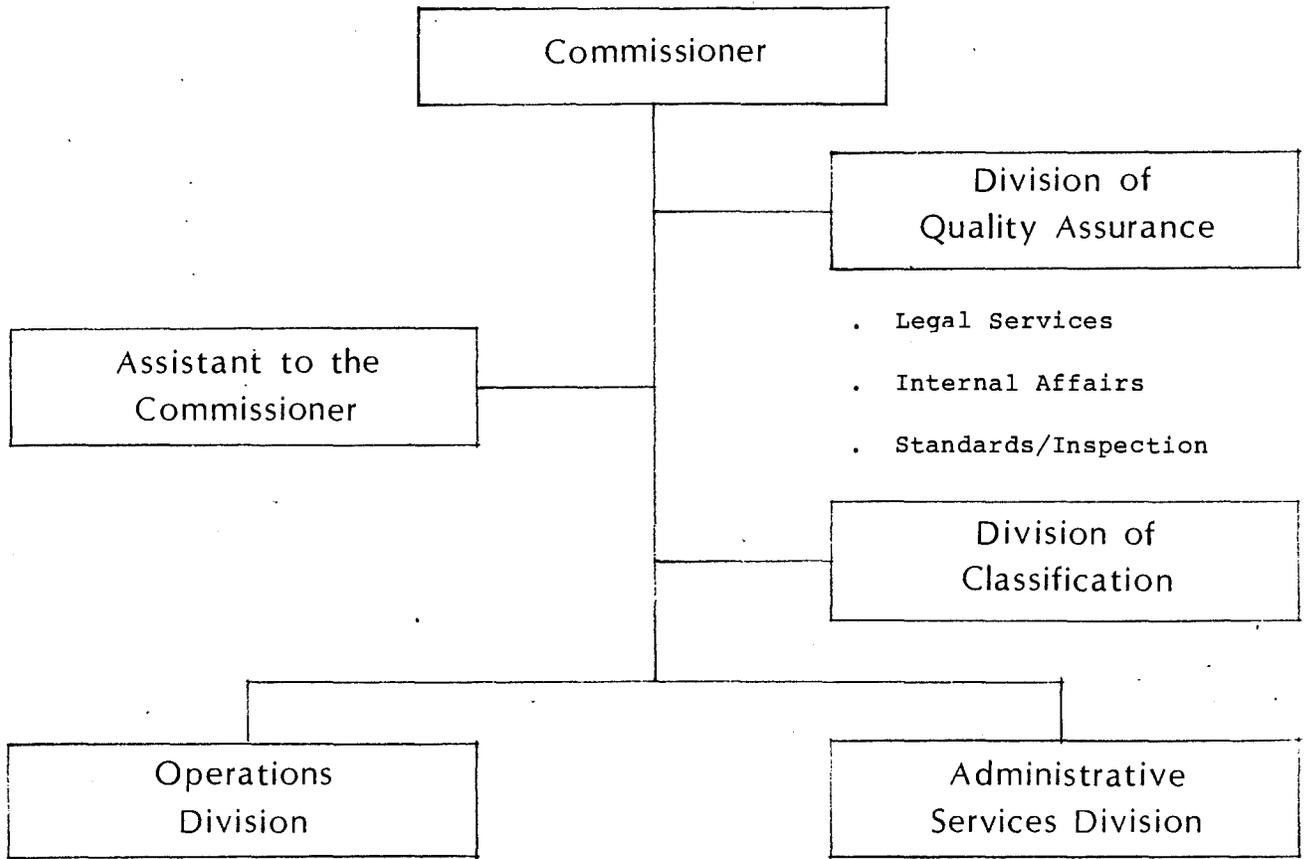
Correctional administration and management can be enhanced by establishing designated divisions within Central Office. These designated divisions of authority will help to provide clearly defined areas of responsibility within Central Office. In this regard, Central Office will be provided with the staff and resources to develop and guide a correctional philosophy for the Maine Department of Corrections.

While the responsibility for all correctional functions presently lies with Central Office, the reorganization of Central Office, into distinguishable divisions of authority, is seen as a necessary step for the Department as the Correctional System continues to expand and grow.

The recommended divisions are illustrated in the proposed Table of Organization that appears on the next page. A description of each recommended division, and related new staff positions, follow.

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

DEPARTMENT OF CORRECTIONS
 PROPOSED TABLE OF ORGANIZATION



INSTITUTIONS

- . MSP
- . MCC
- . CCF
- . DECF
- . Pre-Release
- . MYC
- . Correctional Industries

COMMUNITY PROGRAMS

- . Probation and Parole
- . Community Contracts

- . Business Office
- . Personnel
- . Office of Public Information
- . Office of Training and Staff Development
- . Planning, Research and Management Information
- . Correctional Programs

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

3. MASTER PLAN RECOMMENDATIONS

CENTRAL OFFICE ORGANIZATION

A. Operations Division:

The Operations Division is comprised of both correctional institutions and community programs. Under the direction of an Associate Commissioner, the Operations Division will assume administrative responsibility for all correctional facilities, pre-release centers, probation and parole functions, and community contracts, including the proposed Pilot Programs described later in this chapter.

The creation of a distinct Operations Division is important because it will provide for a clear administrative link between Central Office and the various correctional facilities. In addition, this division will oversee the development and expansion of community contracts and the Pilot Programs - Key components of the Foundation Plan.

<u>Fiscal Impact</u>	<u>85/86</u>	<u>86/87</u>
(1) Associate Commissioner (Range 39)		53,000
(1) Secretary (Range 13)		19,000
(1) Clerk Typist II (Range 8)		<u>18,000</u>
Sub-total (A)		\$90,000

B. Administrative Services Division:

The Administrative Services Division, under the direction of the presently authorized Associate Commissioner, would include all administrative and support functions for the Department of Corrections. Support functions, would include existing functions such as Personnel and Business Office, Correctional Programs, and Training, as well as new functions such as Research and Planning and Public Information.

<u>Fiscal Impact</u>	<u>85/86</u>	<u>86/87</u>
(1) Business Manager (Range 21)		24,000
(1) Secretary (Range 13)		19,000
(1) Clerk Typist II (Range 8)		<u>18,000</u>
Sub-total (B)		\$61,000

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

3. MASTER PLAN RECOMMENDATIONS

CENTRAL OFFICE ORGANIZATION

C. Division of Quality Assurance (Inspections and Internal Affairs):

A new Division of Quality Assurance would be directly accountable to the Commissioner of Corrections, and is recommended for assuring the quality of practices consistent with statutory intent, professional correctional standards and caselaw to ensure safe and secure correctional facilities. The Division would assume responsibility for the following functions:

- **Establishing Standards:** The division would, along with participation from affected and interested parties, establish standards for the state correctional system which would set forth the requirements of Maine law, professional correctional standards such as the American Correctional Association, and applicable caselaw. The new standards for state correctional facilities would parallel those already in existence for county jails.
- **Inspections:** Inspections would provide correctional managers with a total view of facility and operations using objective measures. Inspections would provide the Department with information, verified by on-site inspection, regarding the compliance with all department standards. (County and State Facilities).
- **Enforcement of Standards:** The Division's philosophy would be to attempt to facilitate compliance with standards and to assist in achieving compliance. However, when such an approach does not produce compliance, enforcement powers would be appropriately invoked by the Commissioner.
- **Technical Assistance:** The Division would provide technical assistance to achieve compliance where possible. This would be accomplished through available staff resources or arrangements coordinated with relevant existing state or federal agencies. Technical assistance services provide an important function in facilitating compliance.
- **Internal Investigations:** The Division would conduct investigations into complaints or allegations made pertaining to alleged violations of departmental policy or procedure.
- **Legal Services:** The Division would directly assist in writing policy and procedure manuals, directives, etc.; provide legal training; engage in legal research; and assist the Department and Attorney General's Office in litigation proceedings and other legal matters.

MAINE STATEWIDE CORRECTIONAL SYSTEM MASTER PLAN

3. MASTER PLAN RECOMMENDATIONS

CENTRAL OFFICE ORGANIZATION

In that the Attorney General has pledged to provide the Department with two full-time attorneys, it is recommended that a Legal Services Specialist be added as well, at the Department Level, under this Division.

This dual arrangement should be carefully monitored and evaluated to determine its suitability relative to addressing the future need for creating an in-house Legal Services Division within the Department of Corrections.

<u>Fiscal Impact</u>	<u>85/86</u>	<u>86/87</u>
(1) Director of Inspections/ Internal Affairs (Range 27)		35,000
(1) Legal Services Specialist (Range 25)		<u>31,000</u>
Sub-total (C)		\$66,000

D. Office of Public Information:

All present, top management personnel spend inordinate amounts of time dealing directly with the media. A Public Relations Representative should be designated official spokesman for the Department, and responsible for disseminating Department of Corrections information to the public media and other agencies. The Public Relations Representative would also act as liaison to various committees and staff of the legislature.

The Office of Public Information will also serve to educate the public and the legislature relative to the goals, problems and accomplishments of the Correctional System.

<u>Fiscal Impact</u>	<u>85/86</u>	<u>86/87</u>
(1) Public Relations Representative (Range 22)		<u>27,000</u>
Sub-total (D)		\$27,000

3. MASTER PLAN RECOMMENDATIONS

CENTRAL OFFICE ORGANIZATION

E. Office of Training and Staff Development:

Current state laws require that the corrections officers receive at least 80 hours of certified training in the first year of employment and 20 hours per year thereafter. The Department of Corrections receives approximately \$75,000 annually for training department-wide, although most of this money is used for overtime so that staff can be taken "off line" for training.

Training officers at both the Prison and the Correctional Center are responsible for coordinating and providing training for corrections personnel in those facilities and at the satellite units.

The Department of Corrections, through current resources and efforts, is able to meet minimum mandated training requirements for its corrections officers, plus some occasional training seminars and programs for staff representing other disciplines.

However, key management staff within the Department of Corrections and institutional training officers cite the need to expand appropriate training at all levels and for all staff within the Department. For example, increased coordination with the Maine Criminal Justice Academy is seen as crucial to the development of relevant and effective training curricula. Similarly, there is a need to provide more programs and classes geared toward specific correctional areas, through increased utilization of special, relevant training seminars and workshops that are offered throughout the State.

The Office of Training and Staff Development would allow for the development of such training efforts as well as provide linkage and coordination of present departmental training efforts. Additionally, the Office would be responsible for the development of performance standards.

A Staff Development Coordinator would be responsible for designing, developing, implementing and directing training and staff development of all Department of Corrections personnel. The Staff Development Coordinator would act as liaison to the Department of Corrections Training Council, The Maine Sheriff's Association and the Criminal Justice Training Academy relative to training resources, needs, and curriculum content.

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

3. MASTER PLAN RECOMMENDATIONS

CENTRAL OFFICE ORGANIZATION

Additional training monies should be appropriated to the Department of Corrections, to be re-allocated to departmental agencies and institutions. These additional funds should be used to provide all correctional employees opportunities to attend seminars, workshops, and other training activities appropriate to their particular job functions.

<u>Fiscal Impact</u>	<u>85/86</u>	<u>86/87</u>
(1) Staff Development Coordinator (Range 25)		31,000
Additional Training Resources		<u>75,000</u>
	Sub-total (E)	\$106,000

F. Office of Planning, Research and Management Information:

The Department of Corrections has, over the past year, taken the initial steps necessary to begin implementing an electronic record-keeping system. Computer hardware equipment has been purchased and is in the process of being installed. The system will be linked through a telecommunications system. A needs assessment was conducted in conjunction with Central Computer Services, to determine the system specifications and software requirements. Finally, the Department has applied for a grant through the Justice Assistance Act for assistance in the development of a Master Records System for the Department of Corrections.

The Management Information System (MIS) of the Department needs to be formally established and integrated at all institutions. Institutions should be linked electronically to Central Office. The MIS should be expanded to cover not only records, but also business functions (e.g. purchasing, personnel costs, inmate accounts, etc.), prison industries, and classification.

An Office of Planning, Research and Management Information is recommended within Central Office. In addition to coordinating the above, this office will be responsible for providing strong research and planning capabilities within the Department to generate and analyze information on correctional system activity and associated correctional program goals and objectives.

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

3. MASTER PLAN RECOMMENDATIONS

CENTRAL OFFICE ORGANIZATION

<u>Fiscal Impact*</u>	<u>85/86</u>	<u>86/87</u>
(1) Planning/Research Associate I (Range 206)	11,000	25,000
(1) Management Analyst II (Range 24)	11,000	26,000
(4) Clerk Typist III (Range 12) (for F.T. data entry at MSP, MCC, MYC, DOC)	32,000	76,000
(2) Clerk Typist III (Range 12) (16 hr./wk.) for P.T. data entry at CCF, DECF)		<u>18,000</u>
Sub-total (F)	\$54,000	\$145,000

*Data Entry Positions for Probation District Offices are indicated under Probation Recommendations.

G. Correctional Industries:*

Development of a correctional industries program must begin with coordination of that effort at the departmental level. A Director of Industries should be appointed within Central Office, with administrative responsibility for coordinating, a comprehensive correctional industries program. A first step in establishing a viable correctional industries program in Maine will be to conduct a marketing study for prison goods and services. Such a study would likewise analyze the relationship that prison industries is to have with the private sector, set target goals for production, and develop marketing strategies to promote prison industries products.

*Programmatic recommendations appear in a subsequent section designated to Correctional Industries recommendations.

<u>Fiscal Impact</u>	<u>85/86</u>	<u>86/87</u>
(1) Director of Industries (Range 27)		<u>32,000</u>
Sub-total (G)		\$32,000

H. Division of Classification:

A Division of Classification within Central Office is essential for the development and implementation of a standardized, comprehensive inmate classification program. A comprehensive classification system, as recommended, would incorporate central intake, reception and assessment; institutional (re) classification activities; and central office classification authority (Director of Classification).

3. MASTER PLAN RECOMMENDATIONS

CENTRAL OFFICE ORGANIZATION

The following key objectives of the proposed classification system are highlighted below:

- Central Reception in one Facility for all inmates entering the system, including a 30 day assessment period in reception for determining initial placement and program requirements.

The reception center classification committee will be responsible for conducting a 30 day assessment and evaluation on each incoming inmate for the purposes of determining initial custody level and determining basic program needs and requirements. The reception center classification committee then establishes the initial "game plan" for the inmate regarding movement through the system.

- Enhance existing institutional classification committees for refining and individualizing initial program plans and housing requirements through standardized, scheduled reclassification reviews.

Placement of individuals into appropriate institutional programs and services, and assessing progress, is a crucial element of institutional classification.

Scheduled review of placements to reassess inmate needs and progress would also take place at the institutional level and reclassification recommendations may be made. Where reclassification assessment is based largely on institutional behavior and adjustment, institutional staff are best equipped to make reclassification determinations, based on a clearly defined, standard set of established criteria.

- Central Classification authority in a Division of Classification responsible for the development of standard classification policies, procedures and criteria (and compliance); tracking and monitoring inmate movement through the system; monitoring changes in inmate population trends and characteristics for the purpose of program development. Central Classification will become "guardian of the beds" monitoring the utilization of institutional and non-institutional resources. Transfers between institutions must have the approval of the Central Office Director of Classification.

The Central Office will also assume responsibility for assuring that initial placement and institutional recommendations follow Systemwide Departmental Policy and Directives, and that scheduled reviews are taking place.

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

3. MASTER PLAN RECOMMENDATIONS

CENTRAL OFFICE ORGANIZATION

The computerized MIS to be implemented at Central Office would be used for monitoring classification activity throughout the system.

Additionally, Central Office would have responsibility for developing standardized institutional policies, procedures and classification criteria. Training for classification staff would also be coordinated at this level.

<u>Fiscal Impact</u>	<u>85/86</u>	<u>86/87</u>
(1) Director of Classification (Range 28)		<u>33,000</u>
Sub-total (H)		\$33,000

*Recommendations associated with the development of the proposed Classification System (i.e. Central Reception, Institutional Classification) are discussed in subsequent sections of this report.

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

INSTITUTIONAL PROGRAMS AND SERVICES

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

3. MASTER PLAN RECOMMENDATIONS

INSTITUTIONAL PROGRAMS AND SERVICES

Recommendation Summary

Fiscal Impact
85/86 86/87

<p>The availability of institutional programs and services has not kept pace with Maine's growing inmate population. Institutional services, such as Medical and Psychological care should be expanded to provide adequate care (including 24 hour medical coverage). Program offerings should be expanded and upgraded in the areas of academic and vocational education and recreation. Institutional classification programs can be enhanced with additional caseworkers to allow for manageable caseloads. Additional Correctional and Vocational trade Instructors are recommended at Charleston to accommodate the increase in population as called for by the recommended expansion (See Capital Recommendations).</p>	\$270,000	\$1,674,000
---	-----------	-------------

A. Medical Services:

Twenty-four medical coverage is currently not provided at the major adult facilities (MSP and MCC), or at the Youth Center (MYC). At minimum, round-the-clock nursing coverage must be available at each of these institutions. In addition to assigning additional nursing staff to allow for 24 hour coverage, the quality of service would improve with the expansion of medical staff at each facility.

<u>Fiscal Impact</u>	<u>85/86</u>	<u>86/87</u>
----------------------	--------------	--------------

Maine Correctional Center

(1) Physician's Extender (Range 25)	12,000	27,000
(3) Nurse II (Range 20)	27,000	66,000
(3) LPN (Range 16)		57,000
(1) Medical Secretary (Range 13)		<u>19,000</u>
Sub-total	\$39,000	\$169,000

Maine State Prison

(3) Nurse II (Range 20)	27,000	66,000
(1) Nurse III (Range 22)		24,000
(1) Medical Secretary (Range 13)		<u>19,000</u>
Sub-total	\$27,000	\$109,000

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

3. MASTER PLAN RECOMMENDATIONS

INSTITUTIONAL PROGRAMS AND SERVICES

Maine Youth Center

	<u>85/86</u>	<u>86/87</u>
(4) Nurse II (Range 20)	36,000	87,000
(1) Physician's Extender (Range 25)		27,000
(5) LPN (Range 16)		95,000
(1) Medical Secretary (Range 13)		<u>19,000</u>
SUB-TOTAL	\$36,000	\$228,000
Sub-total (A)	\$102,000	\$506,000

B. Psychological Services

Additional Psychological staff is recommended at several of the adult facilities to provide testing and counseling for those individuals experiencing psychological/emotional difficulties. Counseling for offenders with special needs (i.e. sex offenders) could also be expanded with additional Psychological staff.

<u>Fiscal Impact</u>	<u>85/86</u>	<u>86/87</u>
<u>Maine Correctional Center</u>		
(1) Psychologist III (Range 31)		<u>34,000</u>
Sub-total		\$34,000
<u>Maine State Prison</u>		
(1) Psychologist III (Range 31)		34,000
(1) Psych. Social Worker (Range 20)		<u>23,000</u>
Sub-total		\$57,000
<u>Charleston</u>		
(1) Psychologist @ 50.00/hr for 8 hr/wk		<u>21,000</u>
Sub-total		\$21,000
<u>Bangor</u>		
(1) Psychologist @ 50/hr for 3 hr/wk		<u>8,000</u>
Sub-total		\$8,000

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

3. MASTER PLAN RECOMMENDATIONS

INSTITUTIONAL PROGRAMS AND SERVICES

. Central Maine

	<u>85/86</u>	<u>86/87</u>
(1) Psychologist @ 50/hr for 3 hr/wk		<u>8,000</u>
Sub-total		\$8,000
SUB-TOTAL (B)		\$128,000

C. Institutional Classification

As discussed previously, institutional classification committees play an integral role in the classification of offenders. Currently, classification committees recommend, monitor and review program participation within various facilities, as well as recommend transfers. Institutional caseworkers presently assume major responsibility for the collecting, maintenance and follow-up of classification related information. The proposed classification system also relies heavily on institutional classification recommendations. Currently, the inmate to caseworker ratio at the main facilities is around 100 to 1. Because institutional classification activities are, and will continue to be a key component of the classification system, an inmate to caseworker ratio of 40:1 is recommended as a means of improving classification delivery of services. Additionally, caseworkers are recommended for the satellite facilities as well.

Fiscal Impact 85/86 86/87

. Maine Correctional Center

(2) Correctional Caseworker (Range 21)	19,000	45,000
(1) Casework Supervisor (Range 24)		<u>29,000</u>
Sub-total	\$19,000	\$74,000

. Maine State Prison

(6) Correctional Caseworker (Range 21)	(2) <u>19,000</u>	<u>138,000</u>
Sub-total	\$19,000	\$138,000

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

3. MASTER PLAN RECOMMENDATIONS

INSTITUTIONAL PROGRAMS AND SERVICES

· Charleston

(1) Correctional Caseworker (Range 21)	23,000
(1) Assistant Classification Officer (Range 16)	<u>20,000</u>
Sub-total	\$43,000

· Down East

(1) Correctional Caseworker (Range 21)	<u>23,000</u>
Sub-total	\$23,000

· Pre-Release

(2) Correctional Caseworker (Range 21) (CMPRC/Bangor)	<u>46,000</u>
Sub-total	\$46,000

SUBTOTAL (C) \$38,000 \$324,000

D. Other Institutional Programs

Providing offenders with opportunities for self-improvement while incarcerated, and assisting in re-integration, are correctional system goals. Institutional programs must be expanded to accommodate the dramatic increase in inmate populations. Of specific and immediate concern is the provision of special education programs for offenders so classified by the Department of Education, both at the Youth Center and in the adult system. In this regard, additional educational positions are requested for immediate assignment at MYC. Additionally, an evaluation of the needs of the special education offenders being housed at MCC (conducted jointly by the DOC and DOE) is recommended.

Vocational programs and recreation offerings should also be upgraded and expanded.

MAINE STATEWIDE CORRECTIONAL SYSTEM MASTER PLAN

3. MASTER PLAN RECOMMENDATIONS

INSTITUTIONAL PROGRAMS AND SERVICES

<u>Fiscal Impact</u>	<u>85/86</u>	<u>86/87</u>
<u>Maine Correctional Center</u>		
(5) Correctional Trades Instructor (Range 14)	39,000	92,000
(1) Prison Librarian (Range 18)		21,000
(3) Recreation Officers (Range 12)	(2) 15,000	52,000
(3) Teacher (Range 21)		66,000
Educational Equipment		22,000
Contractual Educational Services		<u>32,000</u>
Sub-total	\$54,000	\$285,000
<u>Maine State Prison</u>		
(2) Correctional Trade Instructors (Range 21)	20,000	46,000
Vocational Equipment and Tools		4,000
Contractual Education Services		<u>30,000</u>
Sub-total	\$20,000	\$80,000
<u>Maine Youth Center</u>		
	<u>85/86</u>	<u>86/87</u>
(2) Special Education Teachers (Range 21)	20,000	45,000
(2) Physical Education Teachers (Range 21)	<u>20,000</u>	<u>45,000</u>
Sub-total	\$40,000	\$90,000
<u>Charleston</u>		
(2) Vocational Trades Instructor (Range 21)		46,000
(1) Teacher (Range 21)		23,000
(1) Recreation Supervisor (Range 20)		23,000
(1) Recreation Staff (Range 12)		17,000
(4) Correctional Trades Instructors (Range 14)		<u>76,000</u>
Sub-total		\$185,000
<u>Central Maine Pre-Release</u>		
Contractual Education Services		<u>15,000</u>
Sub-total		\$15,000

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

3. MASTER PLAN RECOMMENDATIONS

INSTITUTIONAL PROGRAMS AND SERVICES

· Bangor Pre-Release

(2) Correctional Trades Instructors (Range 14)	16,000	38,000
Contractual Educational Services	_____	<u>15,000</u>
Sub-total	\$16,000	\$53,000

· DOC

Purchase of Special Educational Support Services		<u>8,000</u>
Sub-total		\$8,000

SUBTOTAL (D) \$130,000 \$716,000

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

INSTITUTIONAL SECURITY/SUPPORT

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

3. MASTER PLAN RECOMMENDATIONS

INSTITUTIONAL SECURITY/SUPPORT

Recommendation Summary

Fiscal Impact
85/86 86/87

Institutional support requirements refer to the need for security staff and clerical and support services, such as cooks. Additional correction officers are required to provide a safe and secure correctional environment, and to staff the additional housing units as recommended in the Capital Construction recommendations. Clerical support is necessary to accommodate the increase in institutional populations and corresponding increases in paperwork. The specific recommendations for additional security and support staff are listed below by institution.

Fiscal Impact 85/86 86/87

· Maine Correctional Center

(10) Correction Officers (Range 13) (trailers)	71,000	180,000
(10) Correction Officers (Range 13) (additional staff)	71,000	180,000
(1) Cook (Range 13)	8,000	18,000
(1) Clerk Typist III (Range 12) (Records)	9,000	17,000
Sub-total	\$159,000	\$395,000

· Maine State Prison

(1) Assistant to the Warden (Range 28)		24,000
(12) Guards (Range) (additional staff)	95,000	225,000
(1) Assistant Classification Officer (Range 16)		20,000
(1) Clerk Steno II (Range 9)		18,000
(2) Clerk Typist II (Range 8)		36,000
Sub-total	\$95,000	\$323,000

· Charleston

(10) Corrections Officer I (Range 13) (additions)		180,000
(1) Corrections Officer III		28,000
(1) Clerk Typist II (Range 8)		18,000
(1) Clerk Steno III (Range 12)		17,000
Sub-total		\$243,000

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

PROBATION SERVICES

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

MASTER PLAN RECOMMENDATIONS

PROBATION SERVICES

Recommendation Summary

	<u>Fiscal Impact</u>	
	<u>85/86</u>	<u>86/87</u>
Supervision of offenders in the community can be a viable alternative to incarceration given manageable caseload size and availability of appropriate treatment programs and services. This points to the need for increased probation staff (to reduce current officer to offender ratios) as well as expanded capacity for purchase of services within the community, especially for probationers with special counseling needs. An intensive supervision program is also recommended to allow for close supervision of relatively small caseloads.	\$357,000	\$1,513,000

A. Reduce Caseload Size

Probation caseloads have increased substantially with little or no corresponding increase in staff. The number of adults in probation has jumped 20% in the last year alone, from 3059 to 3629, resulting in an average adult caseload ratio of 98:1. On the juvenile side, total caseload has increased from 1524 to 1987 in one year (30%), and average caseload per officer is about 53:1. Additionally, these figures do not begin to take into account additional probation responsibilities such as pre-sentence investigations, which have also continued to increase.

While levels of supervision vary for probationer categories, a general recommendation regarding caseload size is that the officer/probationer ratio not exceed one-to-sixty. Probation personnel have indicated that, given additional workload responsibilities, varying levels of supervision and field work activity, a caseload ratio of 1:60 is appropriate. Additional probation staff should be provided, so that overall caseload ratios do not exceed 60:1. Appropriate clerical and support staff, to correspond to increased workload, must be provided as well. These clerical positions are also necessary for data entry activities associated with the implementation of a Management Information System for the Department.

<u>Fiscal Impact</u>	<u>85/86</u>	<u>86/87</u>
(23) Probation and Parole Officer (Range 20)	271,000	650,000
(2) P & P District Supervisors (Range 26)	30,000	70,000
(7) Clerk Typist III (Range 12)	<u>56,000</u>	<u>133,000</u>
Sub-total	\$357,000	\$853,000

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

3. MASTER PLAN RECOMMENDATIONS

PROBATION SERVICES

B. Intensive Supervision Program

Intensive Supervision Probation (ISP) allows for the close supervision of relatively small (25:1) caseloads. The Intensive Supervision Program, as recommended here, can serve several functions. ISP has been proven to be a viable alternative to incarceration. An individual can be sentenced to ISP by the judge instead of to a period of incarceration, when the risk to public safety is satisfied by more intensive community supervision. Offenders already sentenced to the DOC can be released to ISP after serving a portion of their sentences in insitutional custody. In either case, the candidate for ISP must be evaluated by Probation to determine suitability. The ISP program will consist of six teams of two officers each responsible for a caseload of 25. It is expected that no more than 150 individuals would be eligible to be maintained on ISP at any given time.

<u>Fiscal Impact</u>	<u>85/86</u>	<u>86/87</u>
(12) Probation and Parole Officers (Range 20)		292,000
(1) P & P District Supervisor (Range 26)		32,000
(5) Clerk Typist II (Range 8)		76,000
Capital		35,000
All Other		<u>90,000</u>
Sub-total (B)		\$525,000

C. Professional Services

The need for enhanced treatment capacity for special offenders (especially sex offenders) has been reported by probation personnel. Increased ability to purchase these services for both adult and juvenile offenders is recommended. Psychiatric social workers, hired on a contractual basis, could develop and provide treatment programs for sex offenders, as well as for those probationers (adult and juvenile) requiring more in-depth counseling.

<u>Fiscal Impact</u>	<u>85/86</u>	<u>86/87</u>
(5) Psychiatric Social Worker (Range 22)		<u>\$135,000</u>
Sub-total (C)		<u>\$135,000</u>

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

COMMUNITY CONTRACTS

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

3. MASTER PLAN RECOMMENDATIONS

COMMUNITY CONTRACTS

Recommendation Summary

Fiscal Impact
85/86 86/87

Sufficient funds must be allocated to the Department of Corrections for the purchase of contracted services and the development of community programs for both juveniles and adults.

\$36,000 \$1,212,000

Approximately 1.2 million dollars is currently allocated to the Department of Corrections for the purchase of Community Programs and Services for adult and juvenile offenders. Programs include residential treatment for substance abusers, halfway houses for adults and juveniles, group homes for juveniles, to name a few. While the current fiscal allocation provides for the purchase of a number of "beds" in such programs, the ability to develop or expand community provisions is limited. An increase in the funds for purchase of services is recommended. The increased funding will provide for maintenance of existing program contracts, and development of new ones.

The additional fiscal allocation to the Department of Corrections for Community Contracts should be used to develop innovative juvenile and adult programs to be used as both alternatives to incarcerate and as pre-release programs.

For example, an Outward Bound program for juvenile offenders could be implemented with a State match of funds already committed by various community and business organizations. Because there is currently interest by the business community in subsidizing this program, a State match should be provided immediately, so that the Outward Bound program for juveniles can commence in this fiscal year.

Many other community-based offender programs can be developed and utilized by the Department of Corrections, if additional contractual monies are available. These could include:

- Juvenile Detention Programs
- Juvenile and Adult Halfway Houses
- Residential Treatment Facilities (drug, alcohol, mental health)
- Work Release Centers
- Group Homes

<u>Fiscal Impact</u>	<u>85/86</u>	<u>86/87</u>
Maintenance of existing contractual programs		212,000
Increase funds for purchase of programs/services	*36,000	<u>1,000,000</u>
Sub-total	\$36,000	\$1,212,000

* Provide for immediate state match for Outward Bound program for juveniles.

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

CORRECTIONAL INDUSTRIES

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

3. MASTER PLAN RECOMMENDATIONS

CORRECTIONAL INDUSTRIES

Recommendation Summary

Fiscal Impact
85/86 86/87

The Department of Corrections should begin to develop a viable correctional industries program, which creates "real work" opportunities within the facilities. This includes enabling legislation for establishing industries, at all institutions, unified compensation to inmates who work within the institution, program centralization by providing a Director of Industries, (See Central Office Organization), and development of specific industries programs at MCC.

\$800,000

This issue of providing unified compensation to inmates who work within the institution must be addressed. Maine is currently one of only five states that is not legislatively authorized to pay inmates for their work within the facility. Subsequently, the only compensation available is for those who work in the industry and novelty programs at MSP - positions which are by and large held by those spending lengthy periods incarcerated. This situation not only limits the number of pay-generating slots available for new inmates, but also dissuades inmates from progressing to other facilities where pay is not available. We are therefore recommending implementation of a compensation system that provides a unified level of pay for work conducted within each facility.

A summary of recommendations, as they relate to the development of Correctional Industries, includes the following points. A full account of Industrial Program recommendations appears in Volume II of the Final Report.

- Create "real work" industries programs which operate as much like comparable businesses in the private sector as possible.
- Comparable legislative authorization for establishing industry program at all institutions.
- Unified compensation to participating inmates, and establishment of pay for all inmate workers.
- Defrayment of program expenditures by use of generated revenue for goods, salaries and inmate pay.
- Linkage of vocational training to industries.
- Develop an Industries Advisory Board which includes representatives of the Industrial Community.

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

MASTER PLAN RECOMMENDATIONS

CORRECTIONAL INDUSTRIES

- Establish Industrial Program offerings at MCC to include Graphic Arts, Upholstery Shop, Metal Fabrication and Welding, and Building Trades/Furniture Assembly.
- The development of prison industries at MSP relates to the future of the institution. The relationship between the craft/novelties program and the development of prison industries merits further study by the Department of Corrections.

<u>Fiscal Impact</u>	<u>85/86</u>	<u>86/87</u>
A. <u>Inmate Work Program (Paid Work)</u>		
Paid work @ \$1.00/day (menial tasks)		62,000
Paid work @ \$2.00/day (voc or tech ed.)		247,000
Paid work @ \$3.00/day (industry)		<u>186,000</u>
Sub-total (A)		\$495,000
B. <u>Industries Advisory Board</u>		
12 meeting @ approx \$600/each		<u>8,000</u>
Sub-total (B)		\$8,000
C. <u>Industrial Program: MCC</u>		
(1) Training Center Manager (Range 24)		21,000
(4) Correctional Trade Instructors (Range)		76,000
Industrial Equipment		<u>200,000</u>
Sub-total (C)		\$297,000

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

SYSTEMS ISSUES / FURTHER STUDY

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

3. MASTER PLAN RECOMMENDATIONS

SYSTEM ISSUES/FURTHER STUDY

<u>Recommendation Summary</u>	<u>Fiscal Impact</u>	
	<u>85/86</u>	<u>86/87</u>
Recommendations included in this section address the need for further study and analysis of several issues relating to the Maine Correctional System. Additionally, the establishment of a Statewide Criminal Justice Advisory Board is recommended.	\$110,000	\$90,000

A. Criminal Justice Advisory Board

Comprised of criminal justice system representatives and other concerned public officials and citizenry, this Board will provide input and interchange among the "stakeholders" in the Correctional System. Membership should include representatives from the courts, attorneys, prosecutors, law enforcement, human services, corrections, the citizenry and the legislature.

Having systemwide representation and input, the Board will serve as a vehicle for addressing the larger criminal justice issues and activities that impact on the Correctional System, and vice versa. The Board will report annually to the Governor, and will review proposed correctional legislation and its impact on all components of the system.

<u>Fiscal Impact</u>	<u>85/86</u>	<u>86/87</u>
10 advisory board meetings @ \$50/each		<u>5,000</u>
Sub-total (A)		\$5,000

B. Sentencing Guidelines Commission

Sentencing practices, more than any other trend indicator, may be the driving force that is pushing the correctional system population to higher and higher levels. This is apparent for short term offenders who may be appropriate candidates for community corrections or local incarceration and are instead sentenced to the State system. Sentencing decisions should allow for utilization of a full range of alternatives, if provided. In this regard, sentencing can complement population management and control programs at the state and community levels. The impact is also being felt in regard to those more serious offenders who need incarceration at the State Level, and are being sentenced to longer terms.

3. MASTER PLAN RECOMMENDATIONS

SYSTEM ISSUES/FURTHER STUDY

Further study and analysis of sentencing structure and practices by an independent body composed of judges, criminal justice system representatives and other concerned public officials and citizenry should be provided for. This can be accomplished by re-establishing or extending the term of the Sentencing Guidelines Commission for one additional year.

The Commission should be charged with establishing a viable sentencing mechanism which balances judicial discretion with the availability of correctional resources at the State and Local levels.

<u>Fiscal Impact</u>	<u>85/86</u>	<u>86/87</u>
Per diem reimbursement and expenses		<u>10,000</u>
Sub-total (B)		\$10,000

C. Juvenile Justice System Study

Many of the Foundation Plan recommendations relate to juvenile as well as adult correctional services. Implementation of these recommendations will aid in enhancing service delivery to juveniles committed to the Youth Center and on probation.

Our analysis of the MYC reinforced the fact that the juvenile correctional system is a complex system of interrelated agencies and activities. We have identified several areas that warrant further study and analysis. However, it is our recommendation that a separate Juvenile Justice Master Plan will serve to better address these issues with a more system-wide comprehensive approach. Some of the system related issues that should be addressed by further study are summarized below. A more detailed account of these issues is provided in Volume II of the Final Report.

- . The changing nature of the MYC client - more firmly entrenched in the human services and juvenile justice systems.
- . Short supply of services for certain offender types, including females, victims of sexual abuse, those from rural areas, and those requiring residential placement.
- . The need for increased coordination between MYC, criminal justice and social service agencies where clients are shared.
- . Receptions and Diagnostic functions at MYC, including the predominance of evaluations being conducted on detentioners for the courts and the effect this has on the ability to perform reception and diagnosis services for committed offenders.

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

3. MASTER PLAN RECOMMENDATIONS

SYSTEM ISSUES/FURTHER STUDY

- Availability of options at MYC for the control of difficult offenders and run-aways.

<u>Fiscal Impact</u>	<u>85/86</u>	<u>86/87</u>
Juvenile Justice System Analysis		<u>75,000</u>
Sub-total (D)		\$75,000

D. DOC Asbestos Study

The Department of Corrections has recently been confronted with the problem of asbestos in Correctional facilities and residences. The extent of the asbestos problem warrants immediate evaluation by the Department, so that appropriate action can be taken.

<u>Fiscal Impact</u>	<u>85/86</u>	<u>86/87</u>
Survey and evaluate asbestos problem	<u>110,000</u>	
Sub-total (D)	\$110,000	

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

3. MASTER PLAN RECOMMENDATIONS

PILOT PROGRAMS

Recommendation Summary

Fiscal Impact
85/86 86/87

The Pilot Program recommended under the Foundation Plan are a 'test' of the various long range options to be addressed in Stage II: System Plan. Recommendations call for the implementation of various pilot programs in limited designated areas and a follow-up evaluation of each program in order to assess the implications of the long range policy options and their impact.

\$1,650,000

The Pilot Programs are a crucial step in determining the future policy direction for the State of Maine in dealing with offenders. The recommended pilot programs are a "test" of the various long range policy options. Implementing system-wide correctional policies for managing the growth of the offender population in limited areas will assist the State in determining the long range policy direction that is most politically, economically and philosophically viable for Maine.

The recommended Pilot Programs will put various correctional policies in place in jurisdictions that voluntarily choose to participate. The Pilot Programs correspond to the long range options referred to earlier, and described in the next session. For example, one Pilot Program would allow for the expansion of community alternatives to incarceration, by providing a state subsidy to participating jurisdictions who develop community alternatives. A second pilot program would mandate that all short term offenders be incarcerated at the county level, with a state subsidy to off-set costs. A third pilot program would allow for integration of the participating county jail into the State-run system, where operating costs are assumed by the State. A crucial element of the Pilot Programs is an evaluation component which includes statewide implementation issues.

A evaluation period will follow in order to assess the impact of the various pilot programs in the correctional system, and to determine implementation strategies for the selected long range system-wide policy options.

<u>Fiscal Impact (estimated costs)</u>	<u>85/86</u>	<u>86/87</u>
Community Corrections Pilot Program		500,000
Formalized State/County Correctional Responsibility Pilot Program		500,000
Unify State/Local Corrections Pilot Program		500,000
Evaluation of Pilot Programs		<u>150,000</u>
Total		\$1,650,000

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

3. MASTER PLAN RECOMMENDATIONS

OPERATING RECOMMENDATIONS: FISCAL SUMMARY (FY 1986-87)

	<u>85/86</u>	<u>86/87</u>	<u>GRAND TOTAL</u>
I. Central Office Organization	54,000	560,000	614,000
II. Institutional Programs and Services	270,000	1,674,000	1,944,000
III. Institutional Security/Support	266,000	1,097,000	1,363,000
IV. Probation Services	357,000	1,513,000	1,870,000
V. Community Contracts	36,000	1,212,000	1,248,000
VI. Correctional Industries	-	800,000	800,000
VII. System Issues/Further Study	110,000	90,000	200,000
VIII. Pilot Programs	<u>-</u>	<u>1,650,000</u>	<u>1,650,000</u>
TOTAL OPERATING	<u>\$1,093,000</u>	<u>\$8,596,000</u>	<u>\$9,689,000</u>

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

STAGE 2: SYSTEM PLAN

3. MASTER PLAN RECOMMENDATIONS

STAGE 2: SYSTEM PLAN

Introduction

There are several long range policy options that the State can pursue regarding management of the flow of offenders into the State correctional system. These options vary in respect to the jurisdictional responsibility for the convicted offender, and the management/control strategies for inmate population growth. After lengthy deliberations with the Department of Corrections, the Governor, and the Governor's Blue Ribbon Commission on Corrections, we have come to the conclusion that there are four viable long term Master Plan system options that the State of Main can pursue. The options take into account both the limited fiscal resources of the state and counties and acknowledge their respective political roles in the continuum of care of sentenced offenders. The four options are:

- Option I: Continue Current Practices
- Option II: Formalize State/County Responsibilities for Correctional efforts
- Option III: Implement a Community Corrections Act
- Option IV: Unify State/County Correctional Systems

It is important to understand that the four options vary in respect to critical assumptions about the responsibility for correctional services and about correctional philosophy. Stage I of the Master Plan focused on strengthening the correctional system by addressing current deficiencies in order to set the stage for long-range policy decisions. Stage II: System Plan addresses these policy decisions, which are, to a large part, philosophical decisions.

Each option incorporates a distinct correctional philosophy. For example, implementation of a Community Corrections Act implies that the responsibility for all but the most serious of convicted offenders lies with the community. Accordingly, the emphasis is on alternative programs which are developed by and administered by local communities. This option, in essence, focuses on the decentralization of Correctional Services from the State to local responsibility for all but the most serious offenders.

The integration of county and state corrections into one unified state run system speaks to a different end. This option is geared more toward the centralization of correctional services, with the State assuming administrative, operational and fiscal responsibility for all offenders.

3. MASTER PLAN RECOMMENDATIONS

STAGE 2: SYSTEM PLAN

The four options can be summarized below:

Cost Avoidance refers to the expenditures that will be avoided as a result of each of the various options. The Cost Avoidance is calculated by comparing the cost per offender of the option under consideration with the capital and operating costs that are associated with housing the offender as an inmate in a state correctional facility.

Policy Options

OPTION I: Continue Current Practices

Philosophy:

Incarceration of sentenced offenders is the responsibility of the State.

Assumptions:

- . Incarceration rate will continue at current level.
- . Continued facility construction to meet demand.
- . Major capital expenditures are required.
- . Continued program expansion to meet demand.

System Size:

Projected Beds	Division of Responsibility/Jurisdiction		
	<u>State</u>	<u>County Jails</u>	<u>Expanded Community Program</u>
1990: 1658	1658	0	0
1995: 2290	2290	0	0

Cost Avoidance:

For this option, current practices remain in effect and the State continues to be responsible for convicted offenders.

Continuation of Current Practices is a costly option, in that the State must continue to provide all of the beds required to accommodate the expected inmate growth.

3. MASTER PLAN RECOMMENDATIONS

STAGE 2: SYSTEM PLAN

Policy Options
(continued)

OPTION 2: Formalize State/County Responsibility

Philosophy:

Incarceration of the long term offender (greater than 6 months) is statutorily the responsibility of the State. Incarceration of the short-term offender (less than 6 months) is the responsibility of the county.

Assumptions:

- . Sentences of less than or equal to 6 months will be served at county jail.
- . Sentences of greater than 6 months will be committed to the Department of Corrections.
- . State subsidy to county jails to off-set programmatic costs of absorbing short-term offenders (at average per diem cost of 33.00/day).

System Size:

		Responsibility/Jurisdiction		
	Projected <u>Beds</u>	<u>State</u>	County <u>Jails</u>	Expanded Community <u>Program</u>
1990:	1658	1575	83	0
1995:	2290	2156	134	0

Cost Avoidance (1985 dollars):

This Option, by diverting short term offenders (less than 6 months) to the county jails would reduce the need for new State beds by 83 in 1990 and 134 by 1995.

The cost avoidance associated with this option is calculated by comparing the cost of the subsidy to county jails relative to the cost of housing these offenders at the state level (capital and operating). Option 2 results in a total cost avoidance of approximately \$3,627,100 in 1990 and \$5,855,800 in 1995.

3. MASTER PLAN RECOMMENDATIONS

STAGE 2: SYSTEM PLAN

Policy Options
(continued)

OPTION 3: Implement a Community Corrections Act

Philosophy:

Emphasis on non-institutional alternatives for short-term, target offenders. As indicated, this is a very different philosophical approach than options 1 and 2.

Assumptions:

- State accepts only those offenders sentenced to greater than one year.
- Development of programs at the local level for target group of short-term offenders (less than one year).
- State subsidy to counties/communities for development/administration of alternative programs at the local level.
- No state subsidy for offenders sent to county jails.
- Disincentives for sending target offenders to the state system.

System Size:

	Projected <u>Beds</u>	Responsibility/Jurisdiction		
		<u>State</u>	<u>County Jails</u>	<u>Community Program</u>
1990:	1658	1358	100	200
1995:	2290	1810	160	320

Cost Avoidance (1986 dollars):

This Option calls for the development of non-institutional alternatives for target offenders. Providing alternative programs at the County/Community levels would result in diversion of target offenders from the State System, reducing the need for new construction at the State Level by 300 beds in 1990 and as many as 480 beds by 1995.

The cost avoidance associated with this option is calculated by comparing the cost of community corrections subsidy relative to the cost of housing these offender at the State level (capital and operating).

Option 3 results in a total cost avoidance of approximately \$15,300,000 in 1990 and \$21,920,000 in 1995.

3. MASTER PLAN RECOMMENDATIONS

STAGE 2: SYSTEM PLAN

OPTION 4: Unify State/County Correctional Systems

Policy Options
(continued)

Philosophy:

County jails are integrated into a state-run correctional system.

Assumptions:

- Integrate both local and state correctional systems under one administrative head (DOC).
- State assumes fiscal/administrative responsibility for county jail operations.
- The county jails are incorporated into a state-run correctional system.
- State use of county jails for short term (less than 1 year) offenders.

System Size:

	Projected Beds	Responsibility/Jurisdiction		
		State	County* Jails	Community Program
1990:	1658	1658		
1995:	2290	2290		

*The number of beds contained in the county jail system must be projected for the given years to accurately assess the size of a unified state/county correctional system.

Cost Avoidance: (1986 dollars)

This option assumes that the state takes over county jail operations, thus assuming responsibility for the county jail operating budgets.

The cost avoidance for this option is calculated by comparing the cost of assuming county jail operations state wide, and the number of county jail beds that will be available for short term offenders, relative to the cost of housing these offenders at the state level. Current construction at the county jail level will add

3. MASTER PLAN RECOMMENDATIONS

STAGE 2: SYSTEM PLAN

200 additional beds to the system. The cost avoidance calculations for this option assume that these beds will be available to house short term state offenders. It does not take into account potential growth of the county jail population, which would impact on the number of beds ultimately available to house short term offenders. The availability of county jail beds will be incorporated into the evaluation of the Pilot Program associated with this option. Given this caveat, the cost avoidance associated with Option 4 is approximately \$4,641,709 in 1990 and \$4,641,709 in 1995.

COST AVOIDANCE

COMPARISON OF OPTIONS

	<u>1990</u>	<u>1995</u>
Option I	N/A	N/A
Option II	\$3,627,100	\$5,855,800
Option III	\$15,300,000	\$21,920,000
Option IV*	\$4,641,709	\$4,641,709

* does not include growth of county jail system

Pilot Programs

The future direction of the state regarding system-wide correctional policy can best be determined once the Foundation Plan is put in place. A key component of the Foundation Plan is the enactment of several Pilot Programs. These Pilot Programs relate to the various long range options just described, they will be implemented in limited jurisdictions to "test" the appropriateness of the various options for the State of Maine.

The Pilot Programs are scheduled to run approximately two years, with the final months of this period reserved for evaluation of the programs and analysis of statewide implementation issues. This evaluation process, the first phase of State 2 of the Master Plan will assist the State in determining a future state-wide correctional policy direction.

3. MASTER PLAN RECOMMENDATIONS

STAGE 2: SYSTEM PLAN

**Pilot Programs
(continued)**

In this regard, Pilot Programs will be implemented in FY 87 (as part of the Foundation Plan) and will run through FY 89 (including evaluation phase). A final decision on the correctional policy that Maine wishes to pursue, and related legislative appropriations, will be made by FY 1990.

**Future
Construction**

As stated, the need for new beds is first addressed in the Foundation Plan with construction of a new 500 bed facility by 1990. With this facility on line, as well as the population growth management programs that are implemented, the need for additional new beds and appropriate action can continue to be assessed. For example, a decision about the future use of MSP can be made at this juncture (FY 1990), with appropriate action (renovate or close) taking place by 1993.

Conclusion

The following chart provides a summary of the Foundation Plan and Policy Options, as an illustration of the Stages of the Master Plan process - from implementation of the Foundation Plan to selection of a long-range correctional system policy option.

This process includes a series of decisions and actions that must take place over the next few years. Implementation issues, including the phasing of these capital and policy decisions will be discussed in detail in the Master Plan Final Report.

FOUNDATION PLAN
IMPROVE EXISTING SYSTEM

- Capital Construction
- Central Office Organization
- Institutional Programs/Services
- Institutional Security/Support
- Probation Services
- Community Contracts
- Correctional Industries
- System Issues/Further Study

PILOT PROGRAMS
SET THE STAGE FOR FUTURE CHANGE



MANAGE



POPULATION



GROWTH

<p>1 CONTINUE CURRENT PRACTICES</p> <ul style="list-style-type: none"> · Incarceration continues at projected levels · No expansion of alternatives to incarceration · No change in state/county roles re: sentenced offenders 	<p>2 FORMALIZE STATE/COUNTY RESPONSIBILITY</p> <ul style="list-style-type: none"> · Long term confinement (>6 months) is state responsibility · Short term confinement (≤6 months) is county jail responsibility · State subsidy to county jails to offset costs (\$33.00 per diem)
<p>3 IMPLEMENT A COMMUNITY CORRECTIONS ACT</p> <ul style="list-style-type: none"> · Emphasis on non-institutional alternatives · State accepts only those with > 1 year sentences · State subsidy to counties for alternative programs · Disincentive for sending target offenders to state system 	<p>4 UNIFY STATE AND LOCAL CORRECTIONAL SYSTEMS</p> <ul style="list-style-type: none"> · Integrated state and local correctional system · State assumes fiscal/administrative responsibility for county jail operations · County jails incorporated into a statewide correctional system

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

4. APPENDIX

Appendix A

Appendix A documents the Architectural (A) and Planning (P) activities and meetings to date.

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

MAINE STATEWIDE CORRECTIONAL SYSTEM MASTER PLANNING AND ARCHITECTURAL ACTIVITIES

PROJECT LOG

<u>DATE</u>	<u>ACTIVITY</u>
5-1-85	Project Start-up meeting w/Don Allen
5-1-85	MSP: Tour/Mtg w/Magnusson, Hendrickson
5-2-85	MCC: Tour/Mtg w/Hansen, Clemons, Grant
5-2-85	Probation: Mtg w/Tilton, Downs, Toohar
5-2-95	MYC: Tour/Mtg w/Wyse
5-3-85	Exit Meeting w/DOC
5-8-85	Probation District Office (Portland) review of records for data collection)
5-8-85	MCC: mtg. w/Hansen, Judy Bailey (review of records for data collection)
5-8-85	MYC: mtg. w/Wyse, Norma (review of records for data collection)
5-9-85	MSP: mtg. w/Dottie Pendleton (review of records for data collection)
5-9-85	DOC: General meeting with Mike Molloy
5-29-85	Orientation Conferences C.J. System Representatives Correctional Managers

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

MAINE STATEWIDE CORRECTIONAL SYSTEM MASTER PLANNING AND ARCHITECTURAL ACTIVITIES

PROJECT LOG

<u>DATE</u>	<u>ACTIVITY</u>
5-30-85	Orientation Conferences Blue Ribbon Commission MSP Board of Visitors Correctional Advisory Committee
6-7-85	Interview Data Collectors
6-10/14-85	Training and Data Collection Start-up
6-19/20-85	MCC: Operational Criteria Interviews
6-26/27-85	Interviews for judge/prosecutor survey
7-15/16-85	MCC: Operational Criteria Interviews
7-17/18-85	MSP: Operational Criteria Interviews
7-25-85	DOC: Mtg. re: Classification Ad.Seg. Policy
7-26-85	Facility Tours MYC/MSP/MCC
8-1-85	DOC: Central Office-general meeting
8-2-85	DOC: Strategy Session/Preliminary Report (Inmate Profiles) (at Sonesta Hotel)
8-20-85	DOC: Policy mtg: Initial Class. Criteria/ MCC Operational Criteria Draft distributed
8-27-85	MCC Operational Criteria/Schematics Reviewed MSP Operational Criteria Draft distributed

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

MAINE STATEWIDE CORRECTIONAL SYSTEM MASTER PLANNING AND ARCHITECTURAL ACTIVITIES

PROJECT LOG

<u>DATE</u>	<u>EVENT</u>
9-4-85	Population Profile Report Presentation to DOC
9-5-85	Population Profile Report Presentation to Blue Ribbon Commission
9-11-85	MYC: Administration and Staff interviews
9-12-85	MYC: Administration and Staff interviews MSP: Operational Criteria Reviewed
9-19-85	Mtg w/R. Nichols re: County Jails
9-20-85	MCC: Schematics/Operational Criteria Reviewed MCC: Space Program Issued
9-30/10-3-85	NIC Community Corrections Symposium
10-2-85	MCC: Final Space Program
10-4/5-85	DOC Retreat : Development of Master Plan Options
10-9-85	MCC Schematics MSP Facility Tour
10-10-85	Meeting w/Blue Ribbon Commission Discussion of Policy Options
10-17-85	DOC: Mtg w/Ohlin/Brunette/Allen re: Reception and Classification Process Mtg. w/R. Nichols re: Pilot Programs

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

MAINE STATEWIDE CORRECTIONAL SYSTEM MASTER PLANNING AND ARCHITECTURAL ACTIVITIES

PROJECT LOG

<u>DATE</u>	<u>EVENT</u>
10-19-85	MCC: Mtg. at BPI w/DOC and Allied Authorization to proceed with Scheme 1
11-4-85	MCC: Operational Design MSP/industry issues Mtg. w/Allen re: Statewide Plan
11-5-85	DOC: Mtg. w/D. Allen re: Fiscal impact of Master Plan recommendations
11-14-85	DOC: Review of Master Plan Recommendations
11-15-85	DOC/BPI: Capital Construction Options
11-26-85	DOC: Draft Copy Master Plan Recommendations review
12-3-85	Meeting w/Governor Brennan: Presentation of Master Plan Recommendations
12-26-85	MCC: Mtg. at Allied w/Doc, BPI Schematic Design Submission
1-23-86	MCC: Schematic Design Approval MSP: Schematic Design Programming Review
1-24-86	MCC: Design Development

MAINE · STATEWIDE · CORRECTIONAL · SYSTEM · MASTER · PLAN

4. APPENDIX

Appendix B

Appendix B provides information on lease purchase financing for capital construction projects. An example of this approach, using both variable and fixed interest rates, is also provided, as an illustration of a lease-purchase financing package for Maine.

LEASE PURCHASE FINANCING
AND
CERTIFICATES OF PARTICIPATION

LEASE PURCHASE FINANCING

Lease purchase is a tax-exempt financing lease providing for the acquisition of equipment or the construction of facilities by a local government entity (which may be a state, county, city, school district or joint powers authority) from a vendor. By means of a contract, the local government entity agrees to make annual or more frequent payments representing installments of the purchase price for equipment and/or facilities (the "Project") plus interest, and has the right to acquire the Project for a nominal amount at the end of the contract term. If the transaction is properly structured, the interest component of the installment payments is exempt from federal income taxation, and may also be exempt from state and local income taxation in some jurisdictions.

Tax-exempt financing leases have been employed for a wide range of equipment used by municipalities, including vehicles, computers, telephone systems and medical equipment. Typical contract length is from two to seven years, based primarily on the useful life of the property being acquired. Recently, the concept has been successfully utilized to finance facility acquisition projects such as parking facilities, convention centers, port facilities and police stations with maturities as long as 31 years.

In some instances, the vendor of the Project will not seek third party financing. More typically, however, the vendor, through an instrument of assignment, assigns its right to receive installment payments under the lease contract to third party investors willing to provide financing.

CERTIFICATES OF PARTICIPATION

Where marketing considerations require it, a number of investors may be necessary. They would acquire rights to receive lease payments under the lease contract through Certificates of Participation in the required lease payments. In these arrangements, a trustee bank executes Certificates of Participation evidencing undivided percentage interest in the lease payments. The same bank then receives the payments from the local government entity and distributes them to the holders of the Certificates of Participation.

The sale of Certificates of Participation is accomplished through an underwritten public offering or a limited placement to institutional investors, depending on various factors, including the size of the transaction, its complexity, and the security features involved.

ADVANTAGES OF CERTIFICATE OF PARTICIPATION FINANCING

Experience has shown that Certificate financings earn the same ratings and sell at the same interest rates as comparable bond issues. This is due to the fact that in either case, the ratings and interest rates reflect the financial strength of the entity providing the security for the Certificates or bonds. There are a number of advantages of financing equipment or real property by means of a lease arrangement.

The principal advantages of the leasing approach coupled with an underwriting of Certificates can be summarized as follows:

- o Normally the financing can be accomplished in a short time, in as short a time as 45 days from assignment.

- o Only one issue of Certificates and related documentation is required for the acquisition of equipment or the construction of facilities by the governmental entity. Projects may extend over several budgetary periods and contain numerous different components. This will result in a minimization of issuance and administration costs. Further, a single Certificate issue involving numerous equipment requirements will historically generate a much lower stated net interest cost than an "item by item" acquisition and individual lease financing approach.

- o Substantial interest earnings are realized from the unexpended acquisition or construction funds and the reserve fund, the earnings from which provide an effective borrowing rate which can be substantially lower than the stated net interest cost. Such earnings are not available with traditional lease purchase financings which are not structured as an underwriting of Certificates.

- o Feasibility studies substantiating revenue projections and debt service coverages are not normally required for Certificate issues.

- o The issuance of Certificates, in most cases, will not be in conflict with pre-existing bond indentures and related covenants, thus presenting greater flexibility in the development of legal documents for the Certificate issue. Because it is a current expense, lease purchase financing is not considered debt for reporting purposes and shows only as a note of financial statements. This may mean the difference between financing and not financing needed equipment acquisitions due to restrictions placed on the issuance of additional bonds under previous bond indentures.

- o The Certificate issuance approach requires the Lessee to enter into only one lease agreement with one Lessor. The Lessee does not have to prepare and enter into separate lease agreements and related documents. This minimizes issuance and administrative costs, while at the same time permit necessary control of the project acquisition or construction process by the Lessee.

CERTIFICATES OF PARTICIPATION

OUTLINE OF PROPOSED TERMS

- Issue: Certificates of Participation (the "Certificates") evidencing a proportionate interest of the Owner thereof in Lease Payments to be made pursuant to a lease or installment sale agreement.
- Lessor: A non-profit, public benefit corporation established by the Lessee, Security Pacific National Bank, as lessor, or a joint powers authority.
- Agency Agreement: Under terms of an agency agreement, the Lessor will appoint the Lessee as its agent in acquiring the Project according to specifications established by the Lessee.
- Assignment Agreement: All rights of the Lessor under the lease or installment sale agreement, including the right to receive payments made thereunder, shall be assigned to a Trustee.
- Trust Agreement: An independent bank trustee appointed by the Lessee will execute and deliver Certificates evidencing the right of the Owner thereof to receive a proportionate share of the payments which have been assigned by the Lessor to the Trustee. The Trustee shall be instructed to use the proceeds from the sale of the Certificates to pay all costs of issuance as well as to establish the following separate funds:
- o Acquisition Fund
- Based upon anticipated Project funding requirements, an Acquisition Fund will be established from the proceeds of the Certificates to provide adequate funding for Project costs after allowance for interest earnings on unexpended Certificate proceeds. The Lessee will be obligated to make up any difference between actual Project costs and the amount of available monies in the Acquisition Fund.

Outline of Proposed Terms
Page Two

Trust Agreement-cont: o **Reserve Fund**

A Reserve Fund, in an amount not to exceed 15% of the principal amount of the Certificates or one year's maximum annual debt service will be required as security for the Owners of the Certificates. The Reserve Fund will be invested for the duration of the Certificate issue with interest earnings applied as a credit against required payment amounts. The Reserve Fund will be used to reduce the final payment(s) at the expiration of the lease or installment sale agreement.

Payments:

A separate fund will be established with the Certificate Trustee to receive required payments made pursuant to the lease or installment sale agreement. If required, capitalized interest for the period until completion or acceptance of the Project will be deposited to this fund.

Payment Frequency:

Semi-annual payments will be required consisting of an interest and principal component with that portion of each payment designated as interest being exempt from Federal and State income tax.

Optional Redemption:

On terms to be negotiated, the Lessee may prepay the Certificates in whole or in part at par plus accrued interest plus a premium provided, however, that Certificates with maturities of less than five years shall not be callable.

Denominations:

\$5000 denominations or any integral multiple thereof.

Ratings:

Standard & Poor's Corporation and/or Moody's Investors Service, Inc. will be requested to provide a long-term debt rating on the Certificates.

Expenses:

All rating agency expenses, bond counsel fees, trustee expenses (first year's only), printing, and CUSIP Bureau fees will be considered as costs of issuance and provided for from Certificate proceeds.

MAINE BUREAU OF PUBLIC IMPROVEMENTS
 FIXED RATE
 CERTIFICATES OF PARTICIPATION
 * * * *

Sources and Uses of Funds
 Based on an Average Coupon Rate of 8.000% Amortized over 23 periods

Sources of Funds

Bond Proceeds	\$	44,760,000.00
+Earnings on Construction Fund at 8.250%		5,844,894.76

Total Sources of Funds	\$	50,604,894.76

Uses of Funds

Construction Costs	\$	45,000,000.00
Debt Service Reserve Fund (1 years - Max Future D/S)		4,374,841.25
Bond Discount (2.400%)		1,074,240.00
Issuance Expenses		150,000.00
Rounding Amount		5,813.51

Total Uses of Funds	\$	50,604,894.76

Weighted avg. cpr. (NIC assuming no discount or premium, to 1/ 1/1986) = 8.183039%

+ Earnings on the Fund are being
 deposited into the Construction Fund.

MAINE BUREAU OF PUBLIC IMPROVEMENTS
FIXED RATE
CERTIFICATES OF PARTICIPATION

* * * *

Schedule of Annual Net Debt Service Requirements

Period Ending	Coupon Rate	Proposed Issue		Total Debt Service	Income from Funds	Net Debt Service Requirements
		Principal	Interest			
1/ 1/1987		0.00	3,582,103.75	3,582,103.75	404,672.82	3,177,430.93
1/ 1/1988		0.00	3,582,103.75	3,582,103.75	404,672.82	3,177,430.93
1/ 1/1989	6.000	790,000.00	3,582,103.75	4,372,103.75	404,672.82	3,967,430.93
1/ 1/1990	6.250	835,000.00	3,534,703.75	4,369,703.75	404,672.82	3,965,030.93
1/ 1/1991	6.500	890,000.00	3,482,516.25	4,372,516.25	404,672.82	3,967,843.43
1/ 1/1992	6.750	950,000.00	3,424,666.25	4,374,666.25	404,672.82	3,969,993.43
1/ 1/1993	7.000	1,010,000.00	3,360,541.25	4,370,541.25	404,672.82	3,965,868.43
1/ 1/1994	7.250	1,085,000.00	3,289,841.25	4,374,841.25	404,672.82	3,970,168.43
1/ 1/1995	7.500	1,160,000.00	3,211,178.75	4,371,178.75	404,672.82	3,966,505.93
1/ 1/1996	7.650	1,250,000.00	3,124,178.75	4,374,178.75	404,672.82	3,969,505.93
1/ 1/1997	7.800	1,345,000.00	3,028,553.75	4,373,553.75	404,672.82	3,968,880.93
1/ 1/1998	7.900	1,450,000.00	2,923,643.75	4,373,643.75	404,672.82	3,968,970.93
1/ 1/1999	8.000	1,565,000.00	2,809,093.75	4,374,093.75	404,672.82	3,969,420.93
1/ 1/2000	8.125	1,690,000.00	2,683,893.75	4,373,893.75	404,672.82	3,969,220.93
1/ 1/2001	8.125	1,825,000.00	2,546,581.25	4,371,581.25	404,672.82	3,966,908.43
1/ 1/2002	8.125	1,975,000.00	2,398,300.00	4,373,300.00	404,672.82	3,968,627.18
1/ 1/2003	8.125	2,135,000.00	2,237,831.25	4,372,831.25	404,672.82	3,968,158.43
1/ 1/2004	8.250	2,310,000.00	2,064,362.50	4,374,362.50	404,672.82	3,969,689.68
1/ 1/2005	8.250	2,500,000.00	1,873,787.50	4,373,787.50	404,672.82	3,969,114.68
1/ 1/2006	8.250	2,705,000.00	1,667,537.50	4,372,537.50	404,672.82	3,967,864.68
1/ 1/2007	8.250	2,930,000.00	1,444,375.00	4,374,375.00	404,672.82	3,969,702.18
1/ 1/2008	8.375	3,170,000.00	1,202,650.00	4,372,650.00	404,672.82	3,967,977.18
1/ 1/2009	8.375	3,435,000.00	937,162.50	4,372,162.50	404,672.82	3,967,489.68
1/ 1/2010	8.375	3,720,000.00	649,481.25	4,369,481.25	404,672.82	3,964,808.43
1/ 1/2011	8.375	4,035,000.00	337,931.25	4,372,931.25	4,779,514.07*	-406,582.82
		44,760,000.00	62,979,122.50	107,739,122.50	14,491,661.75	93,247,460.75

*Includes the principal amount of the Debt Service Reserve (\$4,374,841.25).

MAINE BUREAU OF PUBLIC IMPROVEMENTS
 VARIABLE RATE
 CERTIFICATES OF PARTICIPATION
 * * * *

Sources and Uses of Funds
 Based on an Average Coupon Rate of 6.750% Amortized over 23 periods

Sources of Funds

Bond Proceeds	\$	44,540,000.00
+Earnings on Construction Fund at 8.250%		5,843,465.98

Total Sources of Funds	\$	50,383,465.98

Uses of Funds

Construction Costs	\$	45,000,000.00
Debt Service Reserve Fund (10.000%)		4,454,000.00
Bond Discount (1.750%)		779,450.00
Insurance Expenses		150,000.00
Rounding Amount		15.98

Total Uses of Funds	\$	50,383,465.98

Weighted avg. con. (NIC assuming no discount or premium, to 1/ 1/1986) = 6.750000%

+ Earnings on the Fund are being deposited into the Construction Fund.

MAINE BUREAU OF PUBLIC IMPROVEMENTS
VARIABLE RATE
CERTIFICATES OF PARTICIPATION

* * * *

Schedule of Annual Net Debt Service Requirements

Period Ending	Coupon Rate	Proposed Issue		Total Debt Service	Income from Funds	Net Debt Service Requirements
		Principal	Interest			
1/ 1/1987		0.00	3,006,450.00	3,006,450.00	367,455.00	2,638,995.00
1/ 1/1988		0.00	3,006,450.00	3,006,450.00	367,455.00	2,638,995.00
1/ 1/1989	6.750	860,000.00	3,006,450.00	3,866,450.00	367,455.00	3,498,995.00
1/ 1/1990	6.750	920,000.00	2,948,400.00	3,868,400.00	367,455.00	3,500,945.00
1/ 1/1991	6.750	980,000.00	2,886,300.00	3,866,300.00	367,455.00	3,498,845.00
1/ 1/1992	6.750	1,045,000.00	2,820,150.00	3,865,150.00	367,455.00	3,497,695.00
1/ 1/1993	6.750	1,115,000.00	2,749,612.50	3,864,612.50	367,455.00	3,497,157.50
1/ 1/1994	6.750	1,195,000.00	2,674,350.00	3,869,350.00	367,455.00	3,501,895.00
1/ 1/1995	6.750	1,275,000.00	2,593,687.50	3,868,687.50	367,455.00	3,501,232.50
1/ 1/1996	6.750	1,360,000.00	2,507,625.00	3,867,625.00	367,455.00	3,500,170.00
1/ 1/1997	6.750	1,450,000.00	2,415,825.00	3,865,825.00	367,455.00	3,498,370.00
1/ 1/1998	6.750	1,550,000.00	2,317,950.00	3,867,950.00	367,455.00	3,500,495.00
1/ 1/1999	6.750	1,655,000.00	2,213,325.00	3,868,325.00	367,455.00	3,500,870.00
1/ 1/2000	6.750	1,765,000.00	2,101,612.50	3,866,612.50	367,455.00	3,499,157.50
1/ 1/2001	6.750	1,885,000.00	1,982,475.00	3,867,475.00	367,455.00	3,500,020.00
1/ 1/2002	6.750	2,010,000.00	1,855,237.50	3,865,237.50	367,455.00	3,497,782.50
1/ 1/2003	6.750	2,150,000.00	1,719,562.50	3,869,562.50	367,455.00	3,502,107.50
1/ 1/2004	6.750	2,295,000.00	1,574,437.50	3,869,437.50	367,455.00	3,501,982.50
1/ 1/2005	6.750	2,450,000.00	1,419,525.00	3,869,525.00	367,455.00	3,502,070.00
1/ 1/2006	6.750	2,615,000.00	1,254,150.00	3,869,150.00	367,455.00	3,501,695.00
1/ 1/2007	6.750	2,790,000.00	1,077,637.50	3,867,637.50	367,455.00	3,500,182.50
1/ 1/2008	6.750	2,980,000.00	889,312.50	3,869,312.50	367,455.00	3,501,857.50
1/ 1/2009	6.750	3,180,000.00	688,162.50	3,868,162.50	367,455.00	3,500,707.50
1/ 1/2010	6.750	3,395,000.00	473,512.50	3,868,512.50	367,455.00	3,501,057.50
1/ 1/2011	6.750	3,620,000.00	244,350.00	3,864,350.00	4,821,455.00*	-957,105.00
		44,540,000.00	50,426,550.00	94,966,550.00	13,640,375.00	81,326,175.00

*Includes the principal amount of the Debt Service Reserve (\$4,454,000.00).

MAINE BUREAU OF PUBLIC IMPROVEMENTS
 FIXED RATE
 CERTIFICATES OF PARTICIPATION
 * * * *

Sources and Uses of Funds
 Based on an Average Coupon Rate of 8.003% Amortized over 23 periods

Sources of Funds

Bond Proceeds	\$	44,760,000.00
+Earnings on Construction Fund at 8.250%		5,844,894.76
		<hr/>
Total Sources of Funds	\$	50,604,894.76

Uses of Funds

Construction Costs	\$	45,000,000.00
Debt Service Reserve Fund (1 years - Max Future D/S)		4,374,841.25
Bond Discount (2.400%)		1,074,240.00
Issuance Expenses		150,000.00
Rounding Amount		5,813.51
		<hr/>
Total Uses of Funds	\$	50,604,894.76

Weighted avg. cpn. (NIC assuming no discount or premium, to 1/ 1/1986) = 8.183039%

+ Earnings on the Fund are being deposited into the Construction Fund.

MAINE BUREAU OF PUBLIC IMPROVEMENTS
FIXED RATE
CERTIFICATES OF PARTICIPATION
* * * *

Schedule of Annual Net Debt Service Requirements

Period Ending	Coupon Rate	-----Proposed Issue-----			Income from Funds	Net Debt Service Requirements
		Principal	Interest	Total Debt Service		
1/ 1/1987		0.00	3,582,103.75	3,582,103.75	404,672.02	3,177,430.93
1/ 1/1988		0.00	3,582,103.75	3,582,103.75	404,672.02	3,177,430.93
1/ 1/1989	6.000	790,000.00	3,582,103.75	4,372,103.75	404,672.02	3,967,430.93
1/ 1/1990	6.250	835,000.00	3,534,703.75	4,369,703.75	404,672.02	3,965,030.93
1/ 1/1991	6.500	890,000.00	3,482,516.25	4,372,516.25	404,672.02	3,967,843.43
1/ 1/1992	6.750	950,000.00	3,424,666.25	4,374,666.25	404,672.02	3,969,993.43
1/ 1/1993	7.000	1,010,000.00	3,360,541.25	4,370,541.25	404,672.02	3,965,868.43
1/ 1/1994	7.250	1,085,000.00	3,289,841.25	4,374,841.25	404,672.02	3,970,160.43
1/ 1/1995	7.500	1,160,000.00	3,211,178.75	4,371,178.75	404,672.02	3,966,505.93
1/ 1/1996	7.650	1,250,000.00	3,124,178.75	4,374,178.75	404,672.02	3,969,505.93
1/ 1/1997	7.800	1,345,000.00	3,028,553.75	4,373,553.75	404,672.02	3,968,800.93
1/ 1/1998	7.900	1,450,000.00	2,923,643.75	4,373,643.75	404,672.02	3,968,970.93
1/ 1/1999	8.000	1,565,000.00	2,809,093.75	4,374,093.75	404,672.02	3,969,420.93
1/ 1/2000	8.125	1,690,000.00	2,683,893.75	4,373,893.75	404,672.02	3,969,220.93
1/ 1/2001	8.125	1,825,000.00	2,546,581.25	4,371,581.25	404,672.02	3,966,900.43
1/ 1/2002	8.125	1,975,000.00	2,398,300.00	4,373,300.00	404,672.02	3,968,627.10
1/ 1/2003	8.125	2,135,000.00	2,237,831.25	4,372,831.25	404,672.02	3,968,150.43
1/ 1/2004	8.250	2,310,000.00	2,064,362.50	4,374,362.50	404,672.02	3,969,689.60
1/ 1/2005	8.250	2,500,000.00	1,873,787.50	4,373,787.50	404,672.02	3,969,114.60
1/ 1/2006	8.250	2,705,000.00	1,667,537.50	4,372,537.50	404,672.02	3,967,864.60
1/ 1/2007	8.250	2,930,000.00	1,444,375.00	4,374,375.00	404,672.02	3,969,702.10
1/ 1/2008	8.375	3,170,000.00	1,202,650.00	4,372,650.00	404,672.02	3,967,977.10
1/ 1/2009	8.375	3,435,000.00	937,162.50	4,372,162.50	404,672.02	3,967,489.60
1/ 1/2010	8.375	3,720,000.00	649,481.25	4,369,481.25	404,672.02	3,964,808.43
1/ 1/2011	8.375	4,035,000.00	337,931.25	4,372,931.25	4,779,514.07*	-406,582.02
		44,760,000.00	62,979,122.50	107,739,122.50	14,491,661.75	93,247,460.75

*Includes the principal amount of the Debt Service Reserve (\$4,374,841.25).

MAINE BUREAU OF PUBLIC IMPROVEMENTS
 VARIABLE RATE
 CERTIFICATES OF PARTICIPATION
 * * * *

Sources and Uses of Funds
 Based on an Average Coupon Rate of 6.750% Amortized over 23 periods

Sources of Funds

Bond Proceeds	\$	44,540,000.00
+Earnings on Construction Fund at 8.250%		5,843,465.98
		<hr/>
Total Sources of Funds	\$	50,383,465.98

Uses of Funds

Construction Costs	\$	45,000,000.00
Debt Service Reserve Fund (10.000%)		4,454,000.00
Bond Discount (1.750%)		779,450.00
Issuance Expenses		150,000.00
Rounding Amount		15.98
		<hr/>
Total Uses of Funds	\$	50,383,465.98

Weighted avg. cpr. (NIC assuming no discount or premium, to 1/ 1/1986) = 6.750000%

+ Earnings on the Fund are being deposited into the Construction Fund.

MAINE BUREAU OF PUBLIC IMPROVEMENTS
VARIABLE RATE
CERTIFICATES OF PARTICIPATION
* * * *

Schedule of Annual Net Debt Service Requirements

Period Ending	Coupon Rate	Proposed Issue		Total Debt Service	Income from Funds	Net Debt Service Requirements
		Principal	Interest			
1/ 1/1987		0.00	3,006,450.00	3,006,450.00	367,455.00	2,638,995.00
1/ 1/1988		0.00	3,006,450.00	3,006,450.00	367,455.00	2,638,995.00
1/ 1/1989	6.750	860,000.00	3,006,450.00	3,866,450.00	367,455.00	3,498,995.00
1/ 1/1990	6.750	920,000.00	2,948,400.00	3,868,400.00	367,455.00	3,500,945.00
1/ 1/1991	6.750	980,000.00	2,886,300.00	3,866,300.00	367,455.00	3,498,845.00
1/ 1/1992	6.750	1,045,000.00	2,820,150.00	3,865,150.00	367,455.00	3,497,695.00
1/ 1/1993	6.750	1,115,000.00	2,749,612.50	3,864,612.50	367,455.00	3,497,157.50
1/ 1/1994	6.750	1,195,000.00	2,674,350.00	3,869,350.00	367,455.00	3,501,895.00
1/ 1/1995	6.750	1,275,000.00	2,593,687.50	3,868,687.50	367,455.00	3,501,232.50
1/ 1/1996	6.750	1,360,000.00	2,507,625.00	3,867,625.00	367,455.00	3,500,170.00
1/ 1/1997	6.750	1,450,000.00	2,415,825.00	3,865,825.00	367,455.00	3,498,370.00
1/ 1/1998	6.750	1,550,000.00	2,317,950.00	3,867,950.00	367,455.00	3,500,495.00
1/ 1/1999	6.750	1,655,000.00	2,213,325.00	3,868,325.00	367,455.00	3,500,870.00
1/ 1/2000	6.750	1,765,000.00	2,101,612.50	3,866,612.50	367,455.00	3,499,157.50
1/ 1/2001	6.750	1,885,000.00	1,982,475.00	3,867,475.00	367,455.00	3,500,020.00
1/ 1/2002	6.750	2,010,000.00	1,855,237.50	3,865,237.50	367,455.00	3,497,782.50
1/ 1/2003	6.750	2,150,000.00	1,719,562.50	3,869,562.50	367,455.00	3,502,107.50
1/ 1/2004	6.750	2,295,000.00	1,574,437.50	3,869,437.50	367,455.00	3,501,982.50
1/ 1/2005	6.750	2,450,000.00	1,419,525.00	3,869,525.00	367,455.00	3,502,070.00
1/ 1/2006	6.750	2,615,000.00	1,254,150.00	3,869,150.00	367,455.00	3,501,695.00
1/ 1/2007	6.750	2,790,000.00	1,077,637.50	3,867,637.50	367,455.00	3,500,182.50
1/ 1/2008	6.750	2,980,000.00	889,312.50	3,869,312.50	367,455.00	3,501,857.50
1/ 1/2009	6.750	3,180,000.00	688,162.50	3,868,162.50	367,455.00	3,500,707.50
1/ 1/2010	6.750	3,395,000.00	473,512.50	3,868,512.50	367,455.00	3,501,057.50
1/ 1/2011	6.750	3,620,000.00	244,350.00	3,864,350.00	4,821,455.00*	-957,105.00
		44,540,000.00	50,426,550.00	94,966,550.00	13,640,375.00	81,326,175.00

*Includes the principal amount of the Debt Service Reserve (\$4,454,000.00).