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A Transition Manual For New Correctional Facilities

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Section One:

Introduction to the Transition Manual

Purpose of the Manual

This manual has been prepared as a resource for correctional administrators who are planning the transition from an existing facility to a new one. As such, it addresses a variety of important concerns:

- Need for thorough planning;
- Fundamental principles of transition;
- Establishment of a transition team;
- Use of task forces;
- Tasks necessary for successful transition;
- Obstacles to effective transition; and
- Evaluation of a new facility.

This manual provides a model transition process, based on the experiences of correctional agencies and the principles of effective planning. This process is designed to be flexible so that your agency can tailor it to your own situation and requirements. Not every agency will need to complete all of the tasks discussed or use all of the information presented. Throughout the manual and its appendices, numerous options are offered to meet the needs of agencies of varying size and complexity. It is also understood that administrators using this manual are responsible for opening a variety of facilities, ranging from full-service pre-trial and sentenced confinement facilities to

minimum security work camps. However, for simplicity's sake, reference is made only to correctional facility. The manual will remain useful if you substitute the name or function of your facility for the generic reference.

A
How-To-Do-It
Approach

Planning for transition is a long and complex process. Because of the effort involved, many agencies cannot plan as carefully as they might want. Thus, they often fail to benefit from better, more cost-effective strategies that generally are discovered during the transition process. To encourage agencies to plan prudently, this manual presents a step-by-step process and guide to external resources.

The manual is divided into four major sections: Introduction to Transition; Transition Planning; Transition Problems; and Appendices, which include materials pertinent to the transition process.

The format for presenting the development of an effective transition plan (Section II) is based upon nine major transition areas:

- Transition Organization Issues
- Transition Administration Issues
- New Facility Personnel Issues
- Transition Training Issues
- Security and Safety Issues
- Inmate Program Issues
- Support Services Issues
- Move Logistics Issues
- Post-Transition Issues

Under each major transition **AREA** are listed the key tasks that must be completed to minimize occupancy problems. A complete listing of all tasks by transition area is presented in Table 1. Included in each **TASK** is a description of the specific **ACTIVITIES** that will require completion. To clarify this planning structure, the organizational relationships among areas, tasks, and activities are depicted in Figure 1.

For each transition area, an action plan outlining key tasks is included. The person(s) responsible for completion of each task are listed, as is a suggested time frame. The time frame includes the date the task is to be initiated, the date it is scheduled to be completed, and the date it is actually completed. Finally, any resources necessary to conduct the task should be indicated. It is understood that agencies will differ in management structures and titles for administrative personnel. Should a position listed in a particular task not be identical to that used by your agency, please substitute a comparable position. Blank forms for your agency's use are included in Appendix E.

Table 1 - Transition Tasks by Area**Area One: Transition Organization Issues**

- Task 1.1 Determination of Need for a Transition Team
- Task 1.2 Selection of Transition Coordinator
- Task 1.3 Determination of Transition Goals and Objectives
- Task 1.4 Development of Transition Task Forces
- Task 1.5 Determination of Need for Outside Funding and/or Technical Assistance
- Task 1.6 Preparation of Task Force Action Plans
- Task 1.7 Orientation and Training of Transition Team Members

Area Two: Transition Administration Issues

- Task 2.1 Determination of Administration Transition Goals and Objectives
- Task 2.2 Development of New Facility Management Plan
- Task 2.3 Preparation of Transition Budget
- Task 2.4 Determination of System for Inmate Information Management
- Task 2.5 Requisition of New Facility Equipment and Supplies
- Task 2.6 Arrangement for Media Coverage of Transition Process
- Task 2.7 Arrangement of Facility Tours and Opening Ceremonies
- Task 2.8 Review of New Facility Policies, Procedures, and Post Orders

Area Three: New Facility Personnel Issues

- Task 3.1 Identification of New Facility Personnel Goals and Objectives
- Task 3.2 Identification of New Facility Personnel Issues
- Task 3.3 Determination of New Facility Staffing Requirements
- Task 3.4 Preparation of Personnel Budget
- Task 3.5 Assessment of Staff Equipment and Uniform Needs
- Task 3.6 Recruitment and Selection of Volunteers

Area Four: Transition Training Requirements Issues

- Task 4.1 Identification of Transition Training Goals and Objectives
- Task 4.2 Preparation of Transition Training Program
- Task 4.3 Selection of Transition Trainers
- Task 4.4 Development of Transition Training Arrangements and Curricula
- Task 4.5 Preparation of Transition Training Budget
- Task 4.6 Delivery of Transition Training Program
- Task 4.7 Delivery of Preservice Training for New Personnel
- Task 4.8 Evaluation of Transition Training Program Effectiveness

Area Five: Security and Safety Issues

- Task 5.1 Determination of Security Goals and Objectives
 - Task 5.2 Development of New Facility Security Approach
 - Task 5.3 Development of New Facility Safety Approach
 - Task 5.4 Development of Inmate Intake, Classification and Release System
 - Task 5.5 Preparation of Security and Safety Policies, Procedures, and Post Orders
-

Table 1 (concluded)

Area Six: Inmate Program Issues

- Task 6.1 Determination of Program Goals and Objectives
- Task 6.2 Development of New Facility Programs
- Task 6.3 Identification of Existing Program Resources
- Task 6.4 Development of Program Phasing Plan
- Task 6.5 Development of Program Policies, Procedures, and Post Orders

Area Seven: Support Services Issues

- Task 7.1 Determination of Support Services Goals and Objectives
- Task 7.2 Development of New Facility Support Services and Delivery Approach
- Task 7.3 Identification of Existing Support Services Resources
- Task 7.4 Development of Support Services Policies, Procedures, and Post Orders
- Task 7.5 Development of New Facility Maintenance Plan

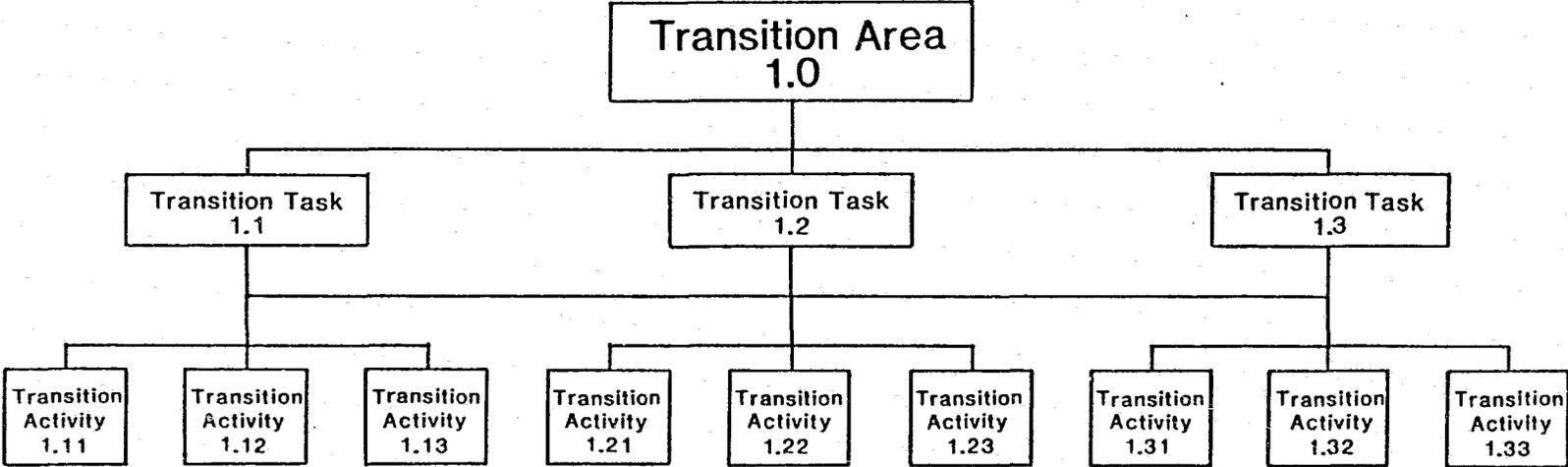
Area Eight: Move Logistics Issues

- Task 8.1 Establishment of Move Plan and Schedule
- Task 8.2 Determination of Movement Resources
- Task 8.3 Training of Movement Staff
- Task 8.4 Completion of New Facility Shakedown
- Task 8.5 Orientation of Inmates Regarding Movement

Area Nine: Post-Transition Issues

- Task 9.1 Maintenance of New Facility Physical Plant
 - Task 9.2 Evaluation of Transition Process
-

TRANSITION ORGANIZATIONAL FRAMEWORK



A Note About Terminology

Within these first few pages, numerous terms associated specifically with corrections have been used. Because this manual is intended for use by correctional administrators, it is assumed the reader is familiar with most of the terminology that is used. In instances where a word may not be known or may have several meanings, a definition is provided.

As noted earlier, the manual frequently relies upon generic terms to broaden its applicability. Thus, instead of sheriff, chief of police, jail administrator, warden or superintendent, the terms "correctional administrator" or "agency administrator" are used. Similarly, no specific facilities are mentioned although this manual is applicable to both prisons and jails. However, the reader should be able to easily substitute more definitive and appropriate language when such generalized terms are used.

Overview of the Transition Process

Transition is more than moving from one facility to another. It is a crucial part of facility development, involving a complex set of tasks that need to be completed prior to the actual move. Transition also extends into the months following occupancy, when the new facility must be evaluated. Thus, transition is actually a lengthy, involved process.

Approaching transition as a process is advantageous for three reasons. First, transition, operation, and maintenance issues may be integrated with design considerations. Second, the agency will be prepared to move in immediately upon acceptance of the facility. Third, a smooth, problem-free transition into ongoing operations and maintenance will be possible.

More specifically, the transition process encompasses such areas as:

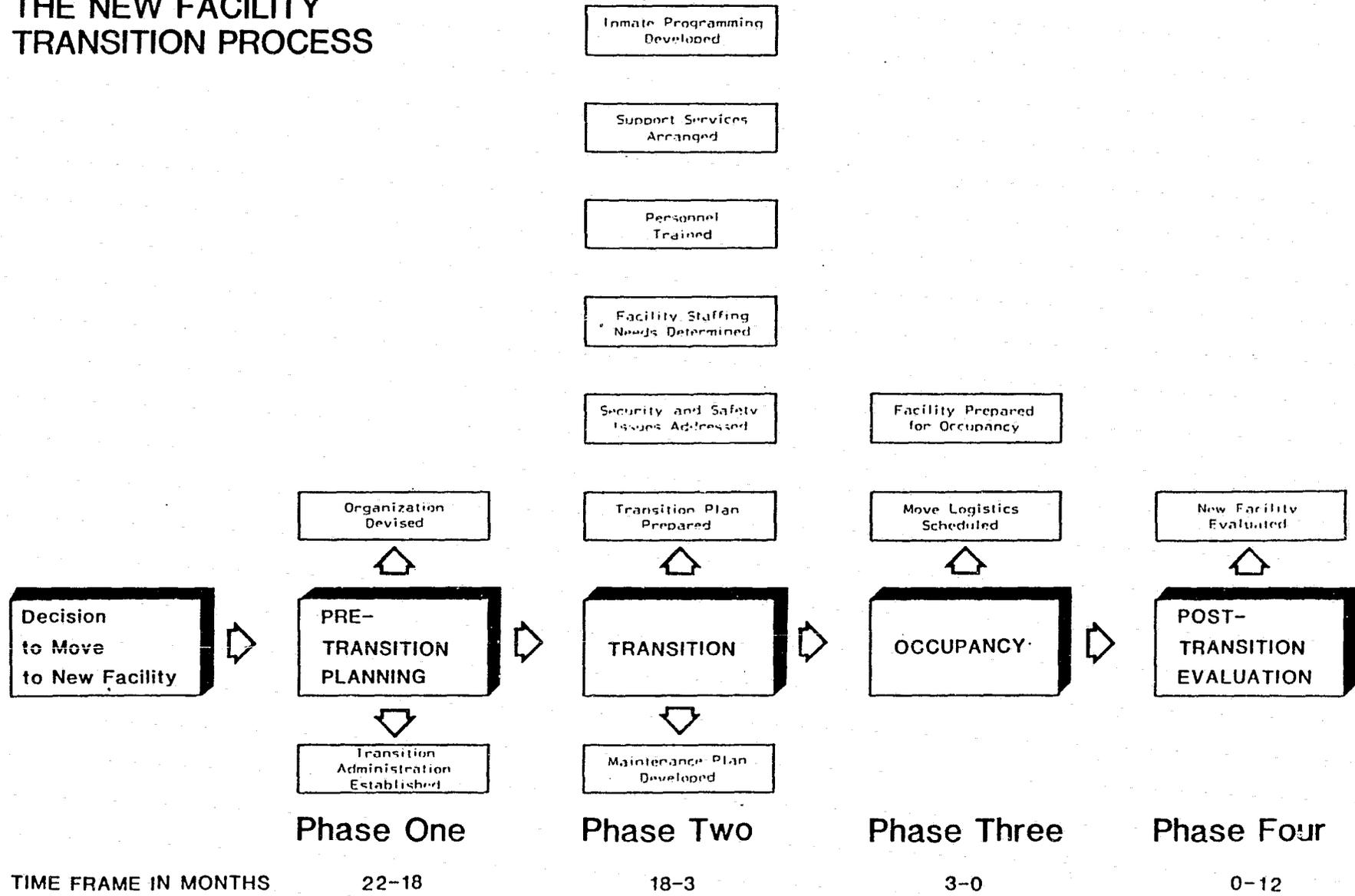
- Transition organization and administration;
- Facility staffing;
- Staff training;
- Security and safety;
- Inmate programs and services;
- Support services;
- Move logistics; and
- Post-transition evaluation.

As shown in Figure 2, these areas can be grouped into four phases that delineate the transition to a new correctional facility: the pre-transition planning phase, the transition phase, the occupancy phase, and the post-transition phase.

During the **pre-transition planning phase**, an agency must plan the overall transition process and establish an

Figure 2

THE NEW FACILITY TRANSITION PROCESS



organizational structure for completing it. While this portion of the transition process is discussed later in this manual, it is important to note that this phase includes the formulation of transition goals and objectives, the appointment of the transition coordinator, and the establishment of task forces. The latter two activities will lead to the formation of the transition team. In the context used in this manual, the **transition phase** refers to tasks that must be undertaken prior to the formal opening of the new facility. These would include determining staffing needs, training personnel, preparing security policies and procedures, and developing inmate programming. The **occupancy phase** addresses operational procedures and directives that will be implemented when the new facility opens. This phase begins on the day the facility is officially turned over to the agency from the general contractor. It also includes the period between this transfer and the date inmates are housed in the building. The **post-transition phase** refers to functions and procedures that staff must complete once the new facility has been occupied. It normally includes the gradual phasing in of some programs and support services to ensure they are implemented with a minimum of problems. This latter phase also should include an evaluation of the transition process and users' satisfaction with the new facility.

Need for Transition Planning

Time constraints on facility transition can be severe. They may range from serious operational pressures to court orders to anticipated increases in construction costs. As a result, it is all too easy for agencies to rush through the transition process--and have to start over due to inadequate planning.

As will be discussed throughout this manual, the need for a formal transition process is crucial. Regardless of the approach agreed on by your agency, it is necessary to begin pre-transition planning 18 to 24 months prior to occupancy. This will afford your agency sufficient time to obtain approval and adequate funding for the project. It will also provide the time frame needed to conduct tasks that warrant substantial effort, such as recruitment, employment, and training of new personnel. In addition, since the final months prior to opening are often (if not always) confusing and stressful, completion of pre-transition activities well in advance of your transfer date will help minimize many problems. Keep in mind that your new facility will present numerous differences when compared to your present one. Moreover, it will probably be the only facility ever opened by your agency. Given these conditions, experience in transition planning and facility occupancy will generally be limited among agency staff.

A review of the nine major transition areas shows that a minimum of 51 important tasks should be completed for successful transition to your new facility. This does not include the myriad of activities associated with each major task. One large Florida county identified over 700 activities necessary to satisfactorily complete all four phases. This is not to say that your transition process needs to be that elaborate but rather to emphasize that transition is a complex process that must be well thought out and planned.

Transition Principles

In developing this manual, the following principles were used as guidelines for the various tasks and activities associated with the transition process:

Principle Number 1: People are more likely to support what they are involved in and help create.

Principle Number 2: Agencies must take advantage of the facility planning, design, and occupancy process as most jurisdictions only construct a correctional facility every 50 to 100 years.

Principle Number 3: A new facility will not in itself solve all problems but can, with an effective transition process, aid in improving the security, programs, support services, and general operational concerns inherent in the confinement of pre-trial and sentenced prisoners.

Principle Number 4: The opening of a new facility provides an opportunity for close scrutiny and review of how institutional operations have been performed in the past and how they can be improved in the future.

Principle Number 5: The transition process should provide the agency with the opportunity to take control and manage the correctional system, particularly if it has been historically been dominated by or dependent on the prisoner population.<1>

Options for Agencies with Differing Needs

Every agency has special transition needs, depending upon whether it is merely contemplating a move to a new facility, has already begun preparations for such a move, or has recently occupied a new facility. Due to these variations, your agency may need to use some sections of this manual and skip others. Consequently, there are three options for using this manual.

<1> These principles are based on precepts developed by John Milosovich, National Institute of Corrections Jail Division, and David Dupree, Voorhis Associates, Inc.

Option 1: Agencies Considering the Transition Process

If your agency is just thinking about moving to a new facility, you will find it helpful to examine this introduction carefully. You also will need to consult with other agency personnel and elected officials to determine the feasibility of the move. If your agency decides to undertake the transition process, you will need to use the entire manual, adapting it, where necessary, to your own situation.

Option 2: Agencies Involved in the Transition Process

If your agency has already initiated transition to a new facility, you should review the list of transition areas and tasks in Table 1, and determine which you have not addressed. In addition, you may find it useful to review other areas, especially transition organization, administration, and training. These sections contain much valuable information that you may have overlooked.

Option 3: Agencies Having Completed the Transition Process

If your agency has just moved into a new facility, you should read Section II, Area Nine: Post-Transition Issues. This provides guidance in assessing your new facility and instituting a planned maintenance program to promote its effective operation.

Participants in the Transition Process

Many individuals, with varying interests and expertise, will be involved in your transition process. The level of their participation will also differ, ranging from advice on specific issues to management of the entire project. The following brief descriptions provide an overview of key participants and their roles in the transition process.

Agency Administrator and Staff

With immediate responsibility for correctional operations, agency personnel will play a crucial role in the transition process. The agency administrator will be in a sensitive position. He/she will likely have to defend the move to the new institution and any resultant changes in operations, while mindful of the concerns of individuals supportive of "the old ways." The administrator's commitment to and involvement in the transition will be essential if the move is to be successful.

Other agency staff--management, supervisory, and line--also have much to offer, both in time and ideas. They will probably be members of the transition team and transition task forces. The greater their

involvement in the transition process, the more enthusiastic they are likely to be in carrying out its results.

Transition Coordinator

The transition coordinator is the foundation of the entire transition process. He/she will chair the transition coordinating committee and be responsible for orchestrating and monitoring all transition activities. In addition, the transition coordinator will appoint the membership of the individual task forces and facilitate communications among them.

Transition Coordinating Committee

The transition coordinating committee is composed of the chairpersons of the transition task forces. This committee will be charged with overseeing the work of all the transition task forces. It will act as the final authority for approving task force decisions. The coordinating committee will also serve as a central forum for discussion and resolution of transition issues.

Transition Task Forces

While some agencies may not elect to use a task force approach to carry out the transition process, this approach is strongly recommended, for it allows segmentation of transition activities without severely compromising responsibility. Task forces will make up the primary work force during transition. They will be responsible for completing the tasks described later in this manual, analyzing available data, and resolving problems related to individual transition areas.

Elected Officials

Elected officials constitute an important component of corrections planning and will need to be involved in the transition process. County commissioners and legislators will be responsible for funding the transition planning, the new facility, and its operation. They should also be consulted about assistance required from other agencies over which elected officials have supervisory and/or funding authority.

Representatives of Other Criminal Justice Agencies

Law enforcement agencies, the courts, and probation and parole agencies make numerous decisions that affect correctional operations. As such, their input

and expertise will be valuable to the transition process. Representatives of these criminal justice agencies should be called on to assist with transition planning or participate as task force members.

For example, officials of local law enforcement agencies should be involved in the development of intake and booking procedures. They also may be asked to provide additional security during occupancy of the new institution, particularly when prisoners must be transported in large numbers over a considerable distance. Similarly, public defenders and probation and parole staff should be involved in the development of visiting procedures.

Consultants

Some agencies will hire outside consultants to help with certain transition tasks. Depending on the amount of in-house expertise, consultants may play major or minor roles. In either case, the agency must control the transition process. Even if consultants are used, the time and effort necessary for successful transition will require substantial involvement by the agency.

Planning for Transition: Allocating Time and Resources

The transition process will involve considerable time and resources. From the start of planning until the day of opening, a new facility can take from three to six years to construct. Planning for the move also entails a good deal of time and should begin no later than 18 months prior to occupancy. As noted earlier, the transition process can be broken down into four phases. However, some of the tasks comprising these phases can be accomplished simultaneously. The time required for an agency to complete the transition process will vary, depending upon such factors as project size and complexity, construction scheduling, and agency expertise. Nevertheless, it will be useful initially to have some reasonable time frames for allocating effort and resources. The table below provides estimates of the average time required to complete each of the four phases.

Time Frames for Transition Phases

<u>Phase</u>	<u>Time Frame</u> (months)
I: Pre-transition Planning	2 - 4
II: Transition	15 - 18
III: Occupancy	1 - 2
IV: Post-transition	1 - 12

Consideration of the following factors can help you adapt these average time frames to meet your agency's particular situation and needs.

Factors Influencing Transition Scheduling

<u>Decrease Time</u>	<u>Increase Time</u>
Small Project	Large Project
Overlapping Tasks	Sequential Tasks
Adequate Transition Staffing	Inadequate Transition Staffing
No Construction Delays	Construction Delays
Timely Employment of New Personnel	Delayed Employment of New Personnel
Substantial Access to Facility Prior to Occupancy	Limited Access to Facility Prior to Occupancy
Equipment/Fixtures Delivered on Time	Equipment/Fixtures Delivered Behind Schedule

Section Two: Transition Planning

Introduction

This section of the manual discusses the major issues that need to be addressed in an effective transition plan. These issues are grouped into nine areas:

- Transition Organization Issues
- Transition Administration Issues
- New Facility Personnel Issues
- Transition Training Issues
- Security and Safety Issues
- Inmate Program Issues
- Support Services Issues
- Move Logistics Issues
- Post-transition Issues

Each area is considered separately, enabling agencies in differing phases of the transition process to refer to those issues most relevant to their needs. Within each area is an examination of key tasks that should be completed to minimize occupancy problems. Also provided is a sample action plan that establishes the persons responsible for each task and a time frame for completion.

AREA ONE: TRANSITION ORGANIZATION ISSUES

Well-planned organization of the transition team is essential if the transition process is to work effectively and efficiently. Numerous agencies have begun the transition into their new facilities with little understanding of the way that their transition staff will be organized, the individuals who will be responsible for each task and/or activity, and the resources that will be required to move into a new facility with minimal problems and disruption.

At least seven tasks need to be carried out to organize and initiate the transition process:

- Task 1.1 Determination of Need for a Transition Team
- Task 1.2 Selection of Transition Coordinator
- Task 1.3 Determination of Transition Goals and Objectives
- Task 1.4 Development of Transition Task Forces
- Task 1.5 Determination of Need for Outside Funding and/or Technical Assistance
- Task 1.6 Preparation of Task Force Action Plans
- Task 1.7 Orientation and Training of Transition Team Members

Some agencies may identify several tasks that are not included here but are considered to have merit, while others may choose to combine or even eliminate one or more of these tasks. However, a particular transition function should be excluded only after careful consideration, for the transition process resembles a complex puzzle that can be solved only after all of the pieces are used.

TASK 1.1: DETERMINATION OF NEED FOR A TRANSITION TEAM

Obviously, this task is the cornerstone of transition organization. If your agency determines that a transition team approach is not warranted, then many of the subsequent tasks either will not be completed or will be addressed through a method that you believe will be more effective and efficient relative to the occupancy of your new facility.

As stated earlier, the transition process should begin at least one year prior to completion of your facility. The move should take place only when your transition strategy has been completed and those responsible are prepared to operate your facility. The move should not be initiated merely because your facility has been completed.

TASK 1.2: SELECTION OF TRANSITION COORDINATOR

The transition coordinator is the single most important individual in the transition process. In a sense, the coordinator serves as the central nervous system for the transition process--receiving and providing information, facilitating informal communication between the individual task forces, relaying messages, and integrating feedback so that a single unified response occurs.

The transition coordinator is responsible for establishing the overall objectives and structure of the transition process, including:

- Defining the role of the task forces in the decision-making process, either input/advisory or true decision-making;
- Establishing the memberships of the individual task forces;
- Establishing the general time parameters for the transition process; and
- Establishing the initial meeting schedules for the task forces.

In addition, the coordinator serves as the chief enforcer for the transition. He/she must constantly monitor the activities of the task forces to ensure that they are accomplishing their activities in an efficient and timely manner. The coordinator also chairs the transition coordinating committee, bearing primary responsibility for the objective quality of the task force decision-making process.

Finally, the transition coordinator serves as the principal motivator for the transition. He/she must maintain enthusiasm, mediate philosophical and operational disputes, and soothe wounded egos. The transition coordinator has the responsibility for minimizing the disadvantages to the task force approach that are discussed later.

Before selecting your transition coordinator, you should prepare a complete position description.<1> Your agency's personnel department should certify the position and calculate the salary and benefits if a comparable position is not already established within your jurisdiction. Remember, this should be a new position, albeit temporary, so funding for it must be incorporated into your agency's annual budget.

<1> A sample position description is provided in Appendix A.

The individual selected as your transition coordinator must possess a thorough knowledge of your correctional system. It is advisable that this person have a working knowledge of the major systems and equipment of your new facility prior to commencement of the transition.

Your coordinator must also have the confidence of your agency's top management. He/she must have demonstrated leadership qualities and proven ability to achieve. It is equally important that your transition coordinator be able to work full-time. For this reason, it is preferable to select an individual in a staff, rather than line, position. Should a line manager be selected as transition coordinator, he/she should be released from those management responsibilities.

The importance of this position requires that your transition coordinator begin overseeing the transition process at least 18 months before the anticipated occupancy date. In some jurisdictions, generally the smaller ones, the transition coordinator may also be the facility project coordinator. If these positions are filled by different individuals, it is important that they work closely together to promote efficiency and effectiveness in both efforts.

TASK 1.3: DETERMINATION OF TRANSITION MISSION STATEMENT, GOALS, AND OBJECTIVES

This task is critical if the transition process is to have direction from beginning through eventual occupancy and operation of your new facility.

Prior to developing specific goals and objectives, your agency should prepare a mission statement delineating the overall purpose of the transition process. At a minimum, this statement should include a description of the philosophy by which the correctional facility will be opened. Specifically, a mission statement defines the purpose of the transition process; the transition team's responsibilities to the agency and other major constituencies (such as local government, the local criminal justice system, governmental and community agencies providing services and programs for the new facility, and the public); and the philosophical direction of the facility.

All goals and objectives should be formulated in writing by your transition team and approved by you. They should furnish the framework for the entire transition process, and corresponding action plans, by providing a reference of not only what is to be accomplished and when, but also what limitations your transition team must operate under prior to formal occupancy.

A goal is a brief statement that defines, in general terms, an end result to be achieved in the transition and eventual occupancy of a new correctional facility. Like a mission statement, a goal reflects an ideal toward which those responsible for opening the facility should be striving. A goal differs from a mission statement in that it relates to a specific aspect of the transition approach and is, therefore, much more narrow in focus.

While goals are the general translation of your agency's mission, objectives should be attainable, specific, clearly written, and concise. An objective describes an activity or group of activities required to achieve an end result. An objective has fixed time parameters, and must be measurable. The use of objectives in transition action planning is discussed in Task 1.6.

While the mission statement and goals may appear, on the surface, to be relatively simple documents, their development should not be taken lightly. Careful thought must be given to the major decisions that provide direction to the transition process, and, ultimately, determine its success or failure.

TASK 1.4: DEVELOPMENT OF TRANSITION TASK FORCES<1>

Some agencies elect to create full-time or part-time paid positions to help staff their transition effort. Another effective approach to planning for a new facility is the use of task forces. They provide a highly organizable source of personnel through which the myriad of activities associated with the opening of the facility can be accomplished. Frequently, the job is too large for one person to accomplish with any degree of effectiveness on a timely basis. The use of task forces allows the segmentation of transition activities into management units without severely compromising authority and responsibility.

Why Task Forces Work

In a number of controlled exercises, it has been proven that there is more knowledge and information in a group than in any of its individual members. Since the transition decision-making process is highly dependent on the availability of knowledge and information, the utilization of task forces in decision-making holds a distinct advantage over individual decision-making. The transition process tends to heighten the needs for interdependence and

<1> Much of the material in this task description was drawn from an article by John Milosovich and David Dupree entitled "Opening New Prisons, Jails, and Community Centers," in NIC's How To Open a New Institution.

coordination as the new environment, equipment, operating procedures, and, often, personnel force a redefinition of functional relationships. Effective use of task forces ensures that the necessary level of interdependence and coordination is achieved by involving all principal functional areas in the planning and implementation of each activity. The task force approach affords a broader perspective on each activity. It also allows a greater number of approaches to a particular problem, as each task force member brings to the problem-solving process the concerns, interests, and vantage point of his/her functional area. Finally, involving a variety of agency staff in planning for a new facility tends to minimize problems during the transition process.

Task Force Responsibilities

Task forces represent the primary work force for the transition process. In general terms, they are planning bodies responsible for:

1. Identifying functional area and facility-wide needs as they relate to a specific system or activity;
2. Collecting and analyzing available data about a specific system or activity in order to determine how that system or activity can best meet the needs of those functional areas involved in its utilization;
3. Addressing unresolved issues or problem areas related to the utilization of the system or activity; and
4. Developing written policies and procedures to ensure accuracy and consistency in the utilization of the system or activity.

Organizational Structure

The number and types of task forces depend on size and the complexity of the new environment, its systems, equipment, and work force. In developing your task forces, you should make every effort to ensure that all major activities related to the transition are included.

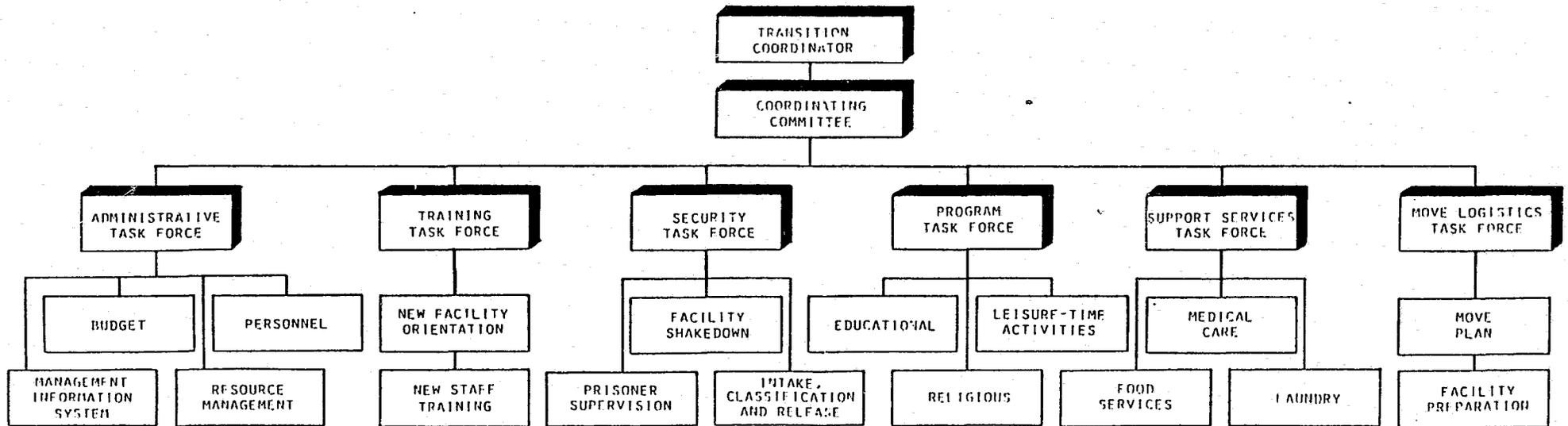
On the following pages, possible organizational structures are presented for large correctional facilities (generally in excess of 100 staff and/or 300 prisoners), medium-size correctional facilities (generally in excess of 50 staff and/or 100 prisoners), and small correctional facilities (generally less than 25 staff and/or 50 prisoners). Obviously, a variety of organizational scenarios exist for any size agency. Choose the one that best addresses the transition issue facing your agency.

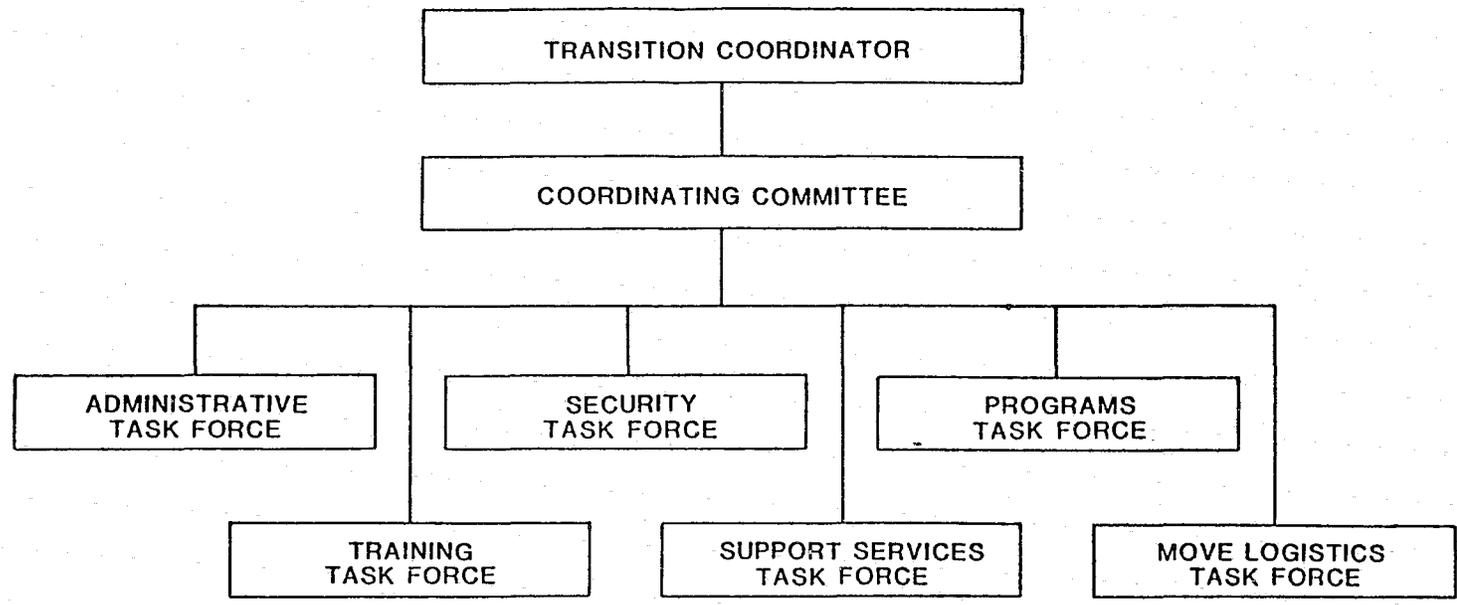
Any task force approach, however, should include the following three task forces: **administration, security systems, and move logistics.**

TRANSITION ORGANIZATION CHART

(Large Size Facility)

Refers to facility generally in excess of 100 staff and/or 300 prisoners

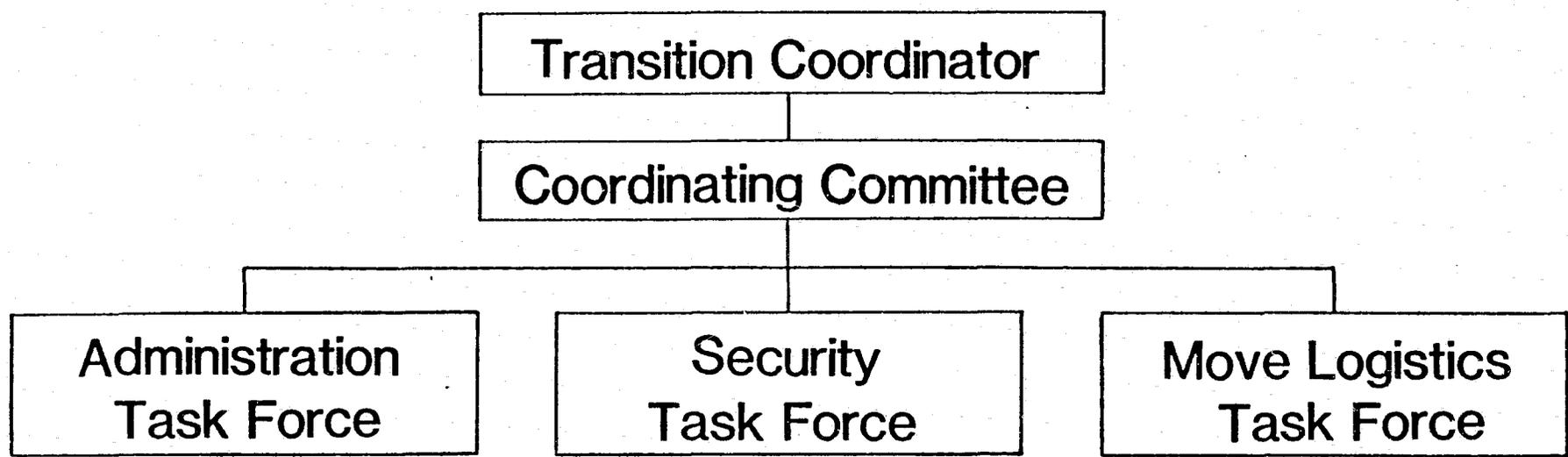




TRANSITION ORGANIZATION CHART

(Medium Size Facility)

Refers to facility generally with less than 100 staff and/or 300 prisoners



TRANSITION ORGANIZATION CHART

(Small Size Facility)

Refers to facility generally with less than 25 staff and/or 50 prisoners

The **administration task force** should plan all activities for personnel recruitment and selection, records, and filing, budgeting, and facility administration. If your agency does not have separate task forces for programs and support services, the administration task force should assume all planning activities for the following functional areas and systems: food service, laundry, supplies and storeroom maintenance and janitorial services; mail service; and commissary. The administration task force should also plan all activities for intake and classification systems; court liaison; social services (caseworkers); and treatment services, including religious, educational and recreational services, work release, and similar programs.

The **security systems task force** should bear responsibility for planning activities related to all security systems and equipment, such as internal and external movement of inmates after the transition.

The **move logistics task force** is responsible for planning all physical movement of equipment, materials, personnel, and inmates from the old facility to the new one. Duties of this task force include establishing the move timetable based on completion and acceptance of the new facility. In addition, it must identify internal and external personnel and transportation resources for the move; define roles of all involved personnel; develop written agreements (if necessary) for the participation of personnel from outside agencies; prepare a written scenario for the move; and coordinate equipment movement from the existing facility.

Task Force Membership

Selection of the membership of each task force is as important as the development of the task forces. Generally, members should be selected from among facility management and supervisory personnel and line staff. In smaller correctional facilities, individuals from outside the facility may be asked to participate on task forces to augment management and supervisory staff. Great care should be taken, however, to ensure that such individuals have a working knowledge of the functional areas or systems encompassed by the task force on which they are asked to serve, as well as a genuine interest in assisting with the transition.

Each task force should be composed of individuals who have a principal interest in both the operation and utilization of a system or activity. For example, a task force responsible for planning food service in a new facility should include both the individual with overall responsibility for food preparation and the individual responsible for food service.

The size of the task force depends on the number, complexity, and magnitude of activities for which it is

responsible. However, it should be limited to a manageable and workable group--not less than three persons or more than ten. Individuals can serve on more than one task force.

The selection of chairpersons for task forces is a highly subjective matter. The chairpersons should, however, be those members with the greatest knowledge and expertise regarding the activities for which the task forces are responsible, individuals with proven leadership skills, or members of the transition team. These criteria may be weighted differently for each individual task force.

**Transition
Coordinating
Committee**

The coordinating committee is responsible for overseeing the activities of all task forces involved in the transition. It serves as the final administrative authority for approving decisions, policies, and procedures. In addition, the coordinating committee provides a forum for the discussion and resolution of issues beyond the scope of any single task force.

Your coordinating committee should be composed of your task force chairpersons, your transition coordinator, your facility's chief administrative officer, and your agency's director. In addition, it may be helpful to the overall transition effort to include a representative of the legislative body responsible for your new facility. While this individual may be of little objective value to the decision-making process, his/her participation serves to keep the legislative body informed of the transition process, and may avert unnecessary political problems.

**Task Force
Planning and
Schedule**

You should establish your task forces at least 12, and ideally 18 to 24, months prior to completion of the construction project. Thus, the transition process should be considered in the early planning and design phases. This will ensure that funds are available for your transition coordinator, task force members, orientation and training, hiring additional personnel (if necessary) before completion of the facility, and other needs.<1>

TASK 1.5: DETERMINATION OF NEED FOR OUTSIDE FUNDING AND TECHNICAL ASSISTANCE

Many agencies do not possess the staff and other resources necessary to plan and effect a successful transition program. Even if they do, there is generally some initial

<1> A sample transition budget is provided in Appendix B. In keeping with the objective to maintain narrative to a minimum under each task, you are also requested to refer to Appendix C, which contains information on points each task force should consider during the transition process.

difficulty in understanding just what activities must occur during transition and how they should be carried out.

In this event, your agency may choose to employ outside expertise either to provide initial direction for the transition process and/or to assist in one or more specific functions. Securing technical assistance can help you avoid the pitfalls experienced by other agencies and identify shortcuts that may hasten various transition activities.

There are a number of areas for which outside assistance may prove valuable. This is particularly true for medium- and small-size facilities, which may not have the necessary in-house expertise. Examples of areas for which technical assistance may be warranted include:

- Computerization of transition plan;
- Training of staff in new facility operation;
- Development of a new prisoner classification system;
- Shakedown of the new facility;
- Identification of program and support service needs;
- Development of a facility staffing plan;
- Preparation of a new recordkeeping system; and
- Guidance in preparing new facility policies and procedures, particularly when existing regulations have been found to be inadequate.

Prior to seeking outside assistance, you should make every attempt to identify what talents exist among your present staff, within other local agencies, or in the community. During transition, many agencies have discovered staff skills that lay dormant or unrecognized during operation of their old facilities.

Outside assistance, unless volunteered from the community, does not come without some expense. Once you have determined both the scope and amount of assistance required, you should prepare a preliminary budget to determine the level of funding necessary to pay for the needed aid. Ideally, your agency will have sufficient funds on hand or able to be budgeted to cover these costs. If not, your first activity should be to prioritize those areas of assistance that are critical to your transition process on through those tasks or activities that would be helpful but are not essential.

In selecting consultant assistance, you should make sure that the individual or firm has prior experience in opening a new correctional facility. It is not sufficient to have knowledge of the transition process for other types of institutions, for the correctional facility presents numerous issues that are unlikely to be encountered in the opening of a school, office building, etc.

The National Institute of Corrections Jail Division can also be of assistance. Staff from the Jail Division or consultants retained for short-term technical assistance can visit your agency, preferably during the initial stages of transition, and work with your transition team to develop a comprehensive transition plan or assist in identifying issues and problems that must be resolved during the course of opening your new facility.<1>

TASK 1.6: PREPARATION OF TASK FORCE ACTION PLANS

An important component of pre-transition planning is the development of an action plan for each of your task forces. An action plan is a short-range plan defining the steps that need to be taken to accomplish an intended outcome. The plan also identifies the individuals responsible for a particular action and specifies a completion date.

Action plans will enable your task forces to determine what activities are necessary to meet your transition objectives. They will provide direction in assessing various alternatives for addressing these objectives and in selecting the most appropriate approach.

In most instances the individual task forces will be preparing their own action plans, which will be incorporated into an overall transition plan based upon each task force's agendas. While this process can be done manually and reviewed monthly, weekly, etc., there does exist the possibility of computerizing the transition action plan, enabling automatic reviews, updates, and task/activity completions to be recorded.<2>

TASK 1.7: ORIENTATION AND TRAINING OF TRANSITION TEAM MEMBERS

The final task in the area of transition organization involves the orientation and training of your transition team (task force) members. Although each transition team member should receive an orientation to the transition process, it cannot be assumed that each will be adequately versed in the various occupancy issues and functions of other task forces.

<1> Additional information concerning the NIC Jail Division, as well as other sources of outside assistance, can be found in Appendix D.

<2> Please see Appendix E for a more detailed discussion of transition action plans.

As soon as possible, all mem' rs should have escorted access to the construction site with simultaneous instruction on the layout of your new facility, using floor plans. Training should be provided by agency staff relative to the proposed operational plan for the facility and the way it will likely influence transition. Similar presentations should be delivered by the architect concerning the design and its limitations, the engineer on structural, mechanical and electrical systems, and the security equipment vendor.

In addition to on-site training, you should provide transition team members with successful transition plans for the opening of other correctional facilities. Budget permitting, as many members as possible (at least all task force chairpersons) should also visit a model facility that has opened within the past three years and discuss the "ins and outs" of that facility's transition with agency personnel.

Finally, all members should receive formal instruction in the following areas:

- Project Management
- Transition Concepts
- Design Review
- Action Planning
- Scenario Development
- Policy and Procedure Preparation
- Post Order Development

FACILITY TRANSITION ACTION PLAN

SAMPLE

Agency: Smith County Sheriff's Department

Transition Area Number: 1.0

Transition Area: Transition Organization Issues

Area Manager: R. Mazouch

Task Number	Task	Person(s) Responsible	Date Initiated	Scheduled Completion Date	Date Completed	Resources/Comments
1.1	Determination of Need for Transition Team	Sheriff	1/86	2/86	2/86	
1.2	Selection of Transition Coordinator	Sheriff/Jail Administrator	1/86	2/86	2/86	
1.3	Determination of Transition Goals and Objectives	Sheriff/Jail Administrator	2/86	3/86	3/86	Input from Transition Coordinator
1.4	Development of Transition Task Forces	Transition Coordinator/Jail Administrator	3/86	3/86	3/86	Approval by Sheriff and Jail Administrator
1.5	Determination of Need for Outside Funding and/or Technical Assistance	Sheriff	3/86	3/86	3/86	Input from Senior Staff
1.6	Preparation of Task Force Action Plans	Transition Coordinator	4/86	5/86	5/86	
1.7	Orientation and Training of Transition Team Members	Transition Coordinator/Organization Task Force Chairperson	5/86	5/86	5/86	Development of Goals and Action Plans

AREA TWO: TRANSITION ADMINISTRATION ISSUES

Effective administration of the transition process and eventually your new facility will result primarily from the development of a management and operational approach that clearly underscores the mission and goals of the facility. With this in mind, eight tasks should be considered:

- Task 2.1 Determination of Administration Transition Goals and Objectives
- Task 2.2 Development of New Facility Management Plan
- Task 2.3 Preparation of Transition Budget
- Task 2.4 Determination of System for Inmate Information Management
- Task 2.5 Requisition of New Facility Equipment and Supplies
- Task 2.6 Arrangement for Media Coverage of Transition Process
- Task 2.7 Arrangement of Facility Tours and Opening Ceremonies
- Task 2.8 Review of New Facility Policies, Procedures and Post Orders

TASK 2.1: DETERMINATION OF ADMINISTRATION TRANSITION GOALS AND OBJECTIVES

Your administrative task force should prepare a written statement of the philosophy, goals, and policies for your new facility. While this statement was probably proposed during planning for your new facility, it is necessary to specify, with respect to all transition activities, your agency's goals and objectives as they relate to the basic operational concepts for the new facility. This document should provide the foundation for other task force efforts, balancing the goals and objectives of the transition with available resources. Your administration's goals and objectives should be made available to all staff and include provisions for interim operations of your present facility.

TASK 2.2: DEVELOPMENT OF NEW FACILITY MANAGEMENT PLAN

It is vital for your agency to develop a management plan that describes the organization of your new facility and its operational concepts and procedures. Specifically, a chart should be prepared depicting the organizational structure of your new facility and grouping similar functions, services, and activities into administrative subunits. Lines of authority and responsibility should be clearly shown. In addition, using input from other task

forces, you should prepare a policies and procedures manual. It should be sufficiently detailed to assist employees in understanding and completing their assigned tasks and to ensure uniform daily operation of your new facility.

Your management plan should be shared with all staff to familiarize employees with not only the general approach to management of the facility but also their respective positions in carrying out the plan. Facility procedures for dealing with sensitive operational issues such as disturbances, escapes, etc. should be restricted to personnel on a "need to know" basis.

TASK 2.3: PREPARATION OF FIRST-YEAR OPERATIONS BUDGET

Your transition planning must also include the development of a budget for the first year in which your facility will become operational. This may mean developing an operations and maintenance budget more than a year before construction is complete. The budget may also be divided between two of your agency's fiscal years.

Typically, the budgeting process, procedures, and forms will be dictated by the operating agency or budget office. The following guidelines should be utilized if they are compatible with your agency's prescribed budgeting methods.

- You should permit the managers (task force chairpersons) who will have responsibility for your operating units and programs to devise preliminary budget estimates. If, for example, individual support-service managers are held accountable for operating within their budgets, then they should prepare those budgets.
 - Your agency should build budgets from the ground up for each organizational entity. That is, you should develop requirements for personnel, supplies, and services needed to operate each functional unit or program at a level which will meet your established objectives. If these objectives have not been determined, you should develop them as part of the budgeting process. Alternative service levels should also be developed to provide policy-makers with decision packages if budgets have to be reduced. Documentation should be assembled so that policymakers know exactly what they are buying with the dollars allocated to the new detention facility. These functional or programmatic budgets may then be combined to develop the budget document required by
-

your operating agency or budget office. (Sample budget items are included on the next page.)

- Your transition coordinator and administration task force should carefully review all proposed budgets to ensure that they are adequate to meet the goals and objectives of your new facility.

TASK 2.4: DETERMINATION OF SYSTEM FOR INMATE INFORMATION MANAGEMENT

Early in the transition process, you should consider the system for inmate information management. In most instances, the information and internal communication process will have been addressed in the planning and design of the new facility. However, the actual information requirements are unlikely to have been assessed then and will require identification prior to facility occupancy.

If your existing information system is considered inadequate and will not be transferred in its present form to your new facility, there are several options available for developing a new system for the management of data pertaining to prisoner intake, booking, classification, property, medical needs, security assignment, release, etc.

Your first option is to form an inmate management system task force whose objective would be to develop and implement a system for data control and communication. While this is a sound approach for developing a data management system in that it involves existing personnel, it may prove to be lacking in that present staff may not possess the programming and computer expertise required for this task.

Your second option is to contract with a consultant firm experienced in the development of dedicated inmate information systems. Though often more costly initially, this approach is likely to save money over the long run by providing an effective system that produces minimal problems.

Your third option is to purchase a packaged inmate management system such as JAMS, Mesquite, or Jail Star. While you can obtain these systems on a more timely basis and generally at less cost than a tailored system, you will also sacrifice some unique data management capabilities that may be needed by new facility staff.

Components of a First-Year Operating Budget

SALARY EXPENSE

Administrative
 Clerical and secretarial
 Client training
 Social services
 Specialist
 Instructor/houseparents
 Supportive
 Client

EMPLOYEE BENEFITS EXPENSE

Social Security
 Workmen's compensation
 Group insurance
 Retirement

PROGRAM SUPPLIES EXPENSEConsumable (non-food) Supplies

Office supplies
 Program supplies
 Other supplies
 Duplicating supplies & expense
 Postage

Non-Consumable Supplies

Office supplies
 Program supplies
 Other supplies

PROGRAM OPERATION EXPENSE

Rent
 Insurance
 Electricity
 Fuel
 Sanitation, sewer, water
 Telephone

PROGRAM MAINTENANCE EXPENSE

Upkeep of facility
 Replacement/repair equipment

OTHER PROGRAM EXPENSEStaff Development

Inservice training
 Conference/conventions
 Books, subscriptions
 Other training

Staff Travel

Mileage
 Lodging, meals, transportation
 Gas for vehicle
 Other vehicle expense

Consultant Travel

Vehicle lease
 Gas for vehicle
 Mileage payments
 Other vehicle expense

Contracted Services

Consultant fees
 Training fees
 Accounting services
 Medical services
 Legal services
 Other services

CAPITAL OUTLAY EXPENSE

Purchase of equipment/furniture

FOOD EXPENSE

TASK 2.5: REQUISITION OF NEW FACILITY EQUIPMENT AND SUPPLIES

This fifth task involves identification of equipment not provided via the construction process ("fixed" versus "unfixed" equipment) that must be purchased by your agency. Examples of fixed equipment include inmate bunks, lavatories and sinks, most kitchen equipment, and lighting fixtures. Examples of unfixed equipment include desks, chairs, exercise equipment, and clerical devices.

Prior to construction, the architect and/or contractor should provide you with a comprehensive list of fixed or attached equipment. This list is vital in determining what equipment and supplies your agency must purchase.

Using the design development drawings or architectural program for your new facility, you should conduct an area-by-area analysis to identify the equipment needs for cell, room, dayroom, office, control room, etc. This analysis should pinpoint both the type and amount of equipment and its tentative location within the specific area.

When you determine supply needs, your current operational requirements (e.g., cleaning materials, foodstuffs, forms, office supplies) should be computed and then proportioned for your new facility. Of course, operational differences, if any, should be considered in assessing occupancy and first-year supply requirements.

TASK 2.6: ARRANGEMENT FOR MEDIA COVERAGE OF TRANSITION PROCESS

As your facility nears completion, a media or public-relations program should be initiated. This should include news releases and educational articles concerning your new facility, its opening, history, background, and mission. You should make every attempt to keep the media informed of construction progress and the unique aspects of correctional facility construction. In addition, any anticipated delays should be reported, detailing the reasons for the delay and the expected impact on the original occupancy date. If possible, one representative from each news service should be invited to the facility prior to formal occupancy and afforded a personal tour by your transition coordinator or his/her designate.

Always remember that the media can provide substantial support for not only the transition process but also the eventual operational management of your new facility.

TASK 2.7: ARRANGEMENT FOR FACILITY TOURS AND OPENING CEREMONIES

A variety of optional activities may be conducted immediately prior to formal occupancy to acquaint the general public and local officials with the facility and its intended management plan. These include:

- Open houses for the public.
- Tours for friends and families of the employees.
- Tours for local, state and federal officials, possibly involving an overnight stay for key officials and community leaders.

In addition, you may choose to prepare a brochure on your new facility that would be made available to the general public, media, and members of your local criminal justice system. Examples of excellent brochures have been prepared by such jurisdictions as Multnomah County (Portland), Oregon; Contra Costa County (Martinez), California; and Larimer County (Fort Collins), Colorado. Copies of these brochures can be obtained by contacting the counties' public/community relations coordinators.

TASK 2.8: REVIEW OF NEW FACILITY POLICIES, PROCEDURES, POST ORDERS

Your administration task force is responsible for reviewing all policies, procedures, and post orders prepared by other staff or task forces. Below is a brief definition of these three components of the facility occupancy process.

Policies and procedures are written statements guiding the operations of the correction facility.

- A policy is a statement of position on an issue central to the effective operation of the facility.
- A procedure is a detailed, step-by-step description of activities that will lead to operations consistent with a stated policy.

Policies and procedures should:

- Provide direction to staff by communicating the organization's philosophy and work programs;
- Promote consistency;
- Increase efficiency and professionalism;
- Provide a reference and training document for new employees;
- Serve as a formal introduction to new methods of operation;
- Ensure compliance with legal requirements; and

- Ensure meeting state and national correction standards.

Policy and procedure development should be guided by your agency's mission statement, goals and objectives, and correctional philosophy, as well as by the facility's design. The drafting of policies and procedures should be a participatory process, including representatives from the key functional units or task forces in your new facility.<1>

Policies should be:

- Complete sentences;
- Action oriented;
- General in nature but as concise as possible;
- Clear and understandable; and
- Based on a stated rationale.

Procedures should:

- Be related to a policy;
- Appear sequentially;
- State who should take what action, when and where; and
- Include decision criteria and/or degrees of authority.

Before your new facility is opened, all policies and procedures should be thoroughly tested and "debugged." Prior to move-in, procedures should also be reviewed with all who will be using them.<2>

Once policies and procedures are developed, post orders may be prepared. A post order is a written description of the operation of each position in the facility, detailing what is to be done, what type and/or level of staff should perform the function, and when and under what conditions it should be conducted.

Post orders should:

- Be related to policies and procedures;
- List tasks in order of priority; and
- Describe assignment functions in detail.

<1> An effective participatory method for developing and testing policies and procedures uses transition scenarios. This approach is discussed in detail in Appendix F.

<2> Jail administrators seeking further information on the development of policies and procedures may wish to examine "A Proactive Approach to Basic Jail Management: Operational Procedures and Policy Development," a document available from the National Institute of Corrections Jail Division.

Prior to occupancy, all policies and procedures, as well as post orders, should receive final approval from your transition coordinating committee.

FACILITY TRANSITION ACTION PLAN

SAMPLE

Agency: Smith County Sheriff's Department

Transition Area Number: 2.0

Transition Area: Transition Administration Issues

Area Manager: D. Liebert

Task Number	Task	Person(s) Responsible	Date Initiated	Scheduled Completion Date	Date Completed	Resources/Comments
2.1	Determination and Administration of Transition	Jail Administrator	1/86	1/86	1/86	
2.2	Development of New Facility Management Plan	Sheriff/Jail Administrator	2/86	2/86	2/86	Original architectural program plan
2.3	Preparation of Transition Budget	Sheriff/Jail Administrator/ Transition Coordinator	3/86	3/86	3/86	Sheriff's annual operating budget
2.4	Determination of System for Inmate Information Management	Jail Administrator/Administrative Task Force Chairperson (or equivalent)	4/86	5/86	5/86	Access to other jail MIS systems
2.5	Requisition of New Facility Equipment and Supplies	Jail Administrator/ Administrative Task Force Chairperson (or equivalent)	4/86	5/86	5/86	Needs list from all task force chairpersons
2.6	Arrangement for Media Coverage of Transition Process	Sheriff/Jail Administrator	11/86	Ongoing	N/A	Media packages developed
2.7	Arrangement for Facility Tours and Opening	Transition	12/86	12/86	12/86	Brochures
2.8	Review of New Facility Policies, Procedures, and Post Orders	Sheriff/Jail Administrator/ Transition Coordinator	1/87	Ongoing	N/A	Draft policy and procedures manual

AREA THREE: NEW FACILITY PERSONNEL ISSUES

The objective of this transition area is to meet the personnel needs identified in the staffing analysis described later in this section. A new facility must recruit and select new staff carefully as well as deploy existing personnel appropriately. Failure to do so will likely result in numerous operational problems and concerns. Moreover, properly assigning staff to posts in the new facility and directing their daily activities will require an understanding of their specific functions and job descriptions.

The following tasks should be completed to adequately address personnel issues in the new facility:

- Task 3.1 Determination of New Facility Staffing Requirements
- Task 3.2 Identification of New Facility Personnel Goals and Objectives
- Task 3.3 Preparation of Personnel Budget
- Task 3.4 Assessment of Staff Equipment and Uniform Needs
- Task 3.5 Recruitment and Selection of Volunteers

TASK 3.1: DETERMINATION OF NEW FACILITY STAFFING REQUIREMENTS

As a part of the planning and design process for your new facility, it will be necessary to analyze the staffing required to conform to current standards and to provide adequate supervision of the facility. A staffing guide is also required by some states (e.g., Florida and Washington) at the completion of design. In addition, a staffing analysis can serve as a useful tool to examine the relative operating costs of varying configuration options.

Since 80 to 90% of an operating budget is used for salaries and fringe benefits, staffing and manpower analysis is a vital concern in new facility budget planning and control. For example, the diagram on the next page shows that staffing expenditures for the average correctional facility are an estimated 78% of all costs through the 30-year life cycle of a detention facility. Correctional administration is almost unique among public programs, in that it involves an around-the-clock operation, rather than the traditional 40-hour week which characterizes most other public services.

The growing concern over the limited financing for governmental activities requires a rational, systematic approach to manpower planning and control. One such technique is Staffing and Manpower Analysis, which involves at least two distinct processes:

- The calculation of manpower requirements to support the established staffing patterns; and
- The development of a staffing pattern that reflects the type and level of staffing needed to accomplish the management objectives arrived at earlier in the transition process.

Staffing and Manpower Analysis will allow you to perform such important activities as assessing your new facility's operations, identifying staff duties, and apportioning those duties consistently.<1>

TASK 3.2: IDENTIFICATION OF NEW FACILITY PERSONNEL GOALS AND OBJECTIVES

Due to the fact that your new facility may be larger and more complex, and offer a greater variety of services than your existing institution, it is likely that your agency will have to hire new personnel. For operations to begin upon completion of the facility, new personnel will also have to be trained prior to occupancy. In addition, it will be necessary to provide additional training to your existing personnel. Hiring and training must be scheduled so that personnel will be available when needed. Training issues associated with new facility transition are discussed in Area Four.

Before hiring new personnel, your agency should complete an analysis comparing employees available to staff new positions with anticipated personnel needs. This should be done after preparing job descriptions for all positions in the new facility. Such an analysis will identify the number and types of staff who must be hired.

You should also prepare a schedule for hiring and training. It is best to develop this schedule by working backward from the anticipated move-in date. Schedule employee arrival so that proper sequencing is achieved; for example, supervisors should arrive before their employees. Be sure to provide adequate time to prepare for the move, train employees, and obtain supplies and equipment. You will probably find it necessary to set up shift schedules.

In addition, it is important that you identify the desired level of experience and education for potential employees. A balance must be struck between the level of skills and abilities desired and the likelihood of obtaining them given existing time constraints, recruitment potentials, labor markets, and wage rates for the open positions.

<1> Staffing and Manpower Analysis is discussed in greater detail in Appendix G.

To complete the hiring process, it will be necessary to prepare:

- Recruiting plans;
- Selection procedures;
- Specific test instruments; and
- Job announcements.

Remember, hiring and training must be closely coordinated so that, for example, training programs do not begin before the persons to be hired are on board.

TASK 3.3: PREPARATION OF PERSONNEL BUDGET

Expenditures for personnel services will comprise a large percentage of your first-year operating budget, especially if needed furnishings and equipment are included in your construction costs. As indicated previously, personnel expenses will likely be at least 70% of your overall first-year operating budget and could go as high as 90% if your facility proves to be extremely staff-intensive. In preparing the operating budget for your new facility, several issues should be considered:

- Have recruitment, selection, and training costs been considered for new staff?
- Are compensation and benefit costs considered for all personnel?
- Are compensation and benefits for correctional staff the same as for law enforcement personnel?
- Are employee travel, training, and miscellaneous expenses considered in the operating budget? and
- Are pay increases provided for all employees who will be promoted or be subject to a merit increase during the first year of occupancy?

TASK 3.4: ASSESSMENT OF STAFF EQUIPMENT AND UNIFORM NEEDS

Not only will new staff likely be needed to operate your new facility, but they will also require uniforms and appropriate security equipment (e.g., emergency response radios and riot batons). Existing personnel will have similar requirements.

In assessing uniform and equipment needs, your agency should determine the following:

- Number of sworn or correctional officer staff who will require uniforms versus civilian personnel who will wear street clothes;
- Number of anticipated uniform changes;
- Types of uniforms to be worn (e.g., military style, blazer/slack ensembles, tactical unit uniforms);
- Types and number of equipment to be provided staff as well as anticipated wear and replacement time frames; and
- Exchange history for all uniforms and equipment.

TASK 3.5: RECRUITMENT AND SELECTION OF VOLUNTEERS

Volunteers offer an excellent resource, when used properly. However, a successful volunteer program entails the commitment of correctional managers and staff.

Effective use of volunteers requires an assessment of needs that could be met by volunteers. As you identify specific needs, develop job descriptions for each position similar to those prepared earlier for staff. You should then recruit prospective volunteers to fill each position, using both formal and informal methods to make your needs known. You should interview each prospective volunteer and select those who meet all of your criteria.

Prior to assigning a volunteer to a position, you should provide him/her with orientation and training. You should assure, for example, that each new volunteer understands your operations and rules, as well as the tasks he/she is expected to perform. In addition, you should assign a staff member to supervise volunteers. Make sure volunteers know what to do. Also be sure their experience with your new facility is positive. Keep regular records of each volunteer's service.

Finally, you should evaluate volunteers regularly. Share the results of the evaluation with them and discuss any problems.

FACILITY TRANSITION ACTION PLAN

SAMPLE

Agency: Smith County Sheriff's Department

Transition Area Number: 3.0

Transition Area: New Facility Personnel Issues

Area Manager: M. O'Toole

Task Number	Task	Person(s) Responsible	Date Initiated	Scheduled Completion Date	Date Completed	Resources/Comments
3.1	Identification of New Facility Personnel Goals and Objectives	Administrative Task Force Chairperson (or equivalent)	2/86	2/86	2/86	Consistent with management philosophy
3.2	Identification of New Facility Personnel Issues	Sheriff/Jail Administrator	3/86	3/86	3/86	
3.3	Determination of New Facility Staffing Requirements	Sheriff/Jail Administrator/ Transition Coordinator	4/86	4/86	4/86	Personnel Task Force, if formed, to assist
3.4	Preparation of Personnel Budget	Jail Administrator/ Transition Coordinator	4/86	5/86	5/86	Approval by Sheriff
3.5	Assessment of Staff Equipment and Uniform Needs	Jail Administrator/ Transition Coordinator	6/87	6/87	6/87	Input from Administrative Task Force Chairperson
3.6	Recruitment and Selection of Volunteers	Jail Administrator/ Personnel Task Force Chairperson (or equivalent)	6/87	6/87	6/87	

AREA FOUR: TRANSITION TRAINING ISSUES

The transition training process includes verifying staffing needs and skill deficiencies, and developing, scheduling, and managing training programs to match personnel resources with the needs of the new facility. Without a comprehensive staff orientation and training program, it is unlikely that occupancy will be successful.

A minimum of seven tasks should be conducted in order to develop, implement, and evaluate an effective transition training program:

- Task 4.1 Identification of Transition Training Goals and Objectives
- Task 4.2 Preparation of Transition Training Program
- Task 4.3 Selection of Transition Trainers
- Task 4.4 Development of Transition Training Arrangements and Curricula
- Task 4.5 Preparation of Transition Training Budget
- Task 4.6 Delivery of Transition Training Program
- Task 4.7 Delivery of Preservice Training for New Personnel
- Task 4.8 Evaluation of Transition Training Program Effectiveness

It should be pointed out that a clear distinction exists between Tasks 4.6 and 4.7. Task 4.6 is the delivery of training for both existing and newly employed personnel; it is specific to the occupancy and operation of the new facility. Task 4.7, on the other hand, is preservice training for employees hired as a direct result of the need for additional staff to operate the new facility; it concentrates on topics designed to address the staff development needs of individuals starting work with the agency.

TASK 4.1: IDENTIFICATION OF TRAINING GOALS AND OBJECTIVES

The first task in preparing your transition training program is the development of goals and objectives, encompassing specific tasks for which staff will be held accountable. Your training task force will find several key questions useful in selecting areas to be addressed:

- What is most relevant to participants?
 - What knowledge and skills are most needed?
 - What knowledge and skills are the most difficult?
 - What knowledge and skills are most likely to be retained and used?
 - What knowledge and skills can be taught, given the limits of resources?
-

Once your goals have been identified, you should prepare goals statements. For example, one goal of a transition training program may be "to provide staff with a thorough working knowledge of new facility operation."

Formulating training objectives is the next and most difficult activity. Objectives are a series of specific statements that describe the training results to be achieved and by whom, in order to attain a training goal. Objectives are quantifiable and/or observable achievements that can be measured within a given time and specified conditions. To illustrate, an objective related to the goal of increasing new facility operational knowledge could be: "By January 1, 1987, 75% of all staff will be able to describe in written format the intake and release procedures for the new facility."

Training objectives should satisfy several criteria:

- Specify transition training outcomes;
- Address specific tasks and responsibilities staff are expected to know;
- Provide consistency and integration among the diverse elements of the transition process; and
- Establish a basis for training evaluation.

TASK 4.2: PREPARATION OF TRAINING PROGRAM

Your next task is to determine the skills and abilities of your available personnel and compare them with the skill levels desired for each of the positions required in the new facility. This comparison will yield a list of skill deficiencies. From this list, your actual training needs may be identified.

Based on identified needs, you can begin development of a training program. First, decisions will need to be made concerning:

- The amount of generalized training for larger groups of employees versus specialized training for a relatively few positions;
 - Whether training will be conducted by existing staff or by consultants;
 - Whether training will be delivered on-site or in schools, programs, or other institutions; and
 - Responsibility for developing and conducting in-house training.
-

Next, you will need to identify training resources available through state programs, the National Institute of Corrections, other private providers, in-house staff, or consultants.

At this point, it should be possible to develop your anticipated training plan and schedule. The responsible person should make necessary arrangements well in advance for securing consultant services or sending persons to outside programs.

Your training process should also include a comprehensive orientation for persons who will work in your new facility. Those needing orientation include administrative, maintenance, security, service, and program personnel. An orientation program should consist of at least the following:

- A building tour conducted by the design team to explain the project background, design concepts, and intended uses of the facility.
- Facilities, equipment, and special systems review sessions covering control, security, alarm, fire, and communication systems. Such sessions should include the engineer and architect, appropriate consultants, and manufacturers' representatives.
- Additional in-depth sessions for security and maintenance personnel dealing with operation and maintenance of the security system. Such sessions should address the attributes of the design as well as actual operations. They should also include a review of the maintenance and operations manual, particularly routine maintenance, repairs, and troubleshooting. Again, the architect, consultants, and manufacturers' representatives should participate.

TASK 4.3: SELECTION OF TRANSITION TRAINERS

Another important consideration in your transition training program should be the selection of instructional staff. Instructors should be chosen on the basis of their expertise and teaching ability. Involvement in the transition process, while helpful, does not necessarily mean that participants can translate that knowledge to agency staff. Instructors may be drawn from a variety of sources within the agency, such as the targeted staff itself and administrative personnel, and from professional fields outside the agency.

Selecting instructors from each of these areas has advantages and limitations. An instructor from staff will be familiar with the other participants; however, fulfilling the role of both co-learner and instructor is difficult unless all staff are given the opportunity and this is clarified beforehand. Transition planners run the risk of being unable to break out of this role and may be seen by other agency staff as having a vested, and possibly overly zealous, interest in the operation of the new facility. Outside instructors can play the role of experts more easily, but they may be out of touch with both the new facility and the job realities of agency staff. Clear lesson plans, personal contacts with agency staff, and last-minute briefings will help minimize these risks.

TASK 4.4: DEVELOPMENT OF TRANSITION TRAINING ARRANGEMENTS AND CURRICULA

Once you have developed a transition training program plan, several activities must occur:

- Identification of training program content;
 - Arrangement of material in most appropriate order for learning;
 - Selection of instructional methods, which should vary according to type of material to be learned and role of participants;
 - Preparation of training schedule consistent with staff availability and transition activities;
 - Assignment of trainer roles and responsibilities;
 - Preparation of physical arrangements for training, including classrooms, audio-visual aides, and training supplies;
 - Development of training program documents, including program plans, reports, and transparencies;
 - Maintenance of contacts with staff prior to training to keep them informed of program development and their training responsibilities; and
 - Determination of staff participants in transition training.
-

TASK 4.5: PREPARATION OF TRANSITION TRAINING BUDGET

Training for transition does not come without some financial expense. As soon as your training program has been agreed upon, estimates should be made as to what the various training topics will cost to prepare, deliver, and evaluate. Expenditures should be computed for staff, training consultants (if applicable), training equipment and aids, classrooms, training documents, and related training materials.

You should then prepare a preliminary budget that provides an estimated cost for the "ideal" transition training program. In preparing your budget, you should not overlook the costs associated with staff attendance and the necessity to compensate replacement personnel through overtime payments or time off. Should agency funds be limited with respect to your desired training program, several options are available. The first is to seek outside assistance through appropriate state agencies, the National Institute of Corrections, or private funding sources. Second, those firms responsible for designing the facility and providing security equipment can be requested to provide training specific to institutional operations and security. Finally, should outside resources be unavailable, you may choose to eliminate training areas less important to the success of facility transition.

TASK 4.6: DELIVERY OF TRANSITION TRAINING PROGRAM

This task is intended to ensure that all transition training is delivered on schedule, that the content is covered, that physical arrangements are as planned, that participant interest and involvement is maintained, and that, most important, staff understand those components of the transition and facility occupancy process in which they will be involved.

Prior to training delivery, your agency should assess several important training objectives:

- Assurance that the training employs a variety of approaches;
- Continuity and cohesion of the training process; and
- Assurance that staff interests are included in the training.

TASK 4.7: DELIVERY OF PRESERVICE TRAINING FOR NEW PERSONNEL

You should not forget that numerous personnel will be hired during the transition process to assist existing staff in the operation of the new facility. These new staff will require not only training in occupancy and operation of the new facility but also preservice training in all areas of facility operation and management. The majority of these staff will not have worked in a correctional environment and will require the same level of preservice training as your present personnel.

In general, a training program of 160 hours is recommended, including information on security and search procedures, use of force regulations and tactics, supervision of inmates, report writing, inmate and staff rules and regulations, rights and responsibilities of inmates, emergency procedures, interpersonal relations, social/cultural life styles of the inmate population, communication skills, and first aid.

TASK 4.8: EVALUATION OF TRANSITION TRAINING EFFECTIVENESS

Effective evaluation of your training process accomplishes two purposes:

- It determines the extent to which your objectives have been realized; and
- It provides a mechanism for modifying the program, if necessary, during the course of transition training.

Various approaches to conducting a training evaluation are available:

- **Interviews** with staff to assess impact of training;
 - **Questionnaires** to enable staff to comment on and rate various aspects of training;
 - **Tests** to measure staff mastery of knowledge and skills the program sought to impart;
 - **Observation** to assess the behavior of staff regarding specific responsibilities, such as control room operation;
 - **Expert opinion** such as that presented by security equipment consultants, who can assess the ability of staff to operate new facility emergency systems; and
-

- **Informal feedback** such as off-the-record comments by staff, which can provide trainers with another perspective on training program effectiveness.

Once you have determined the most appropriate evaluation approach(es), you should assess the transition training program, concentrating on the interest and relevance of the content, the effectiveness of the order in which material was presented, instructional methods, instructors, training equipment and materials and, most important, the value of the training to the transition process.

FACILITY TRANSITION ACTION PLAN

SAMPLE

Agency: Smith County Sheriff's Department

Transition Area Number: 4.0

Transition Area: Transition Training Issues

Area Manager: J. Katz

Task Number	Task	Person(s) Responsible	Date Initiated	Scheduled Completion Date	Date Completed	Resources/Comments
4.1	Identification of Transition Training Goals and Objectives	Transition Coordinator/ Training Task Force Chairperson (or equivalent)	4/86	4/86	4/86	Pre-service, OJT, and in-service need to be addressed
4.2	Preparation of Transition Training Program	Training Task Force (or equivalent)	9/86	12/86	12/86	All staff involved with transition to be trained
4.3	Selection of Transition Trainers	Training Task Force (or equivalent)	1/87	1/87	1/87	
4.4	Development of Transition Training Arrangements and Curricula	Training Task Force (or equivalent)	1/87	1/87	1/87	Curricula consistent with job task analysis and needs assessment
4.5	Preparation of Transition Training Budget	Training Task Force Chairperson (or equivalent)	2/87	3/87	3/87	Meet with budget officials and CEO
4.6	Delivery of Transition Training Program	Training Task Force (or equivalent)	5/87	5/87	5/87	
4.7	Delivery of Pre-service Training for New Personnel	Training Task Force (or equivalent)	6/87	12/87	12/87	Based on approved standards
4.8	Evaluation of Transition Training Program	Transition Coordinator/ Training Task Force Chairperson (or equivalent)	6/87	Ongoing	N/A	

AREA FIVE: SECURITY AND SAFETY ISSUES

The primary purpose of any correctional facility, old or new, is the protection of the public from individuals committed to its authority. It also is responsible for providing a safe environment for staff, inmates, and visitors. Citizens expect the correctional system and its administrators to maintain an adequate level of security and will not tolerate security breaches in a new facility, particularly one planned and designed to correct deficiencies in an existing physical plant. Similarly, a new facility must be safe for those that occupy it either permanently (inmates) or temporarily (staff and visitors). To maximize the security and safety of the new facility, the security systems task force should address the following transition tasks:

- Task 5.1 Determination of Security Goals and Objectives
- Task 5.2 Development of New Facility Security Approach
- Task 5.3 Development of New Facility Safety Approach
- Task 5.4 Development of Inmate Intake, Classification and Release System
- Task 5.5 Preparation of Security and Safety Policies and Procedures

TASK 5.1: DETERMINATION OF SECURITY GOALS AND OBJECTIVES

The goals of a correctional facility relative to security and safety should be approximately the same; that is, the protection of the public and the safety and welfare of staff and inmates. Three primary objectives stem from this goal:

- Ensure the safety of both inmates and staff;
- Maintain order within the facility; and
- Prevent escapes.

It is assumed that these objectives will be comparable to those you developed in planning your new facility. The effectiveness of the security and safety systems in your new facility will depend on your staff's ability to use the new physical plant to successfully address these three objectives.

TASK 5.2: DEVELOPMENT OF NEW FACILITY SECURITY APPROACH

Your agency should prepare a security and inmate supervision approach well in advance of facility occupation. This

approach should be thoroughly communicated to personnel via comprehensive training.

In determining an approach to inmate supervision, you should carefully assess your agency's needs in regard to the two most prominent concepts: indirect surveillance and direct supervision. Indirect surveillance is characterized by minimal direct contact between staff and inmates. Staff are assigned to secure observation booths, where they can watch inmates and request assistance as needed. Direct supervision, on the other hand, relies on face-to-face contact between staff and inmates. Each officer is responsible for controlling inmate behavior in his/her unit as well as for minimizing tension.<1>

In addition to inmate supervision, your new security system should address the following areas:

- Inmate escort outside of the facility;
- Control of contraband;
- Inmate counts;
- Tool, key, dangerous materials and weapons control;
- Control of drugs and medication;
- Use of security equipment; and
- Emergency plans for escapes, riots, disturbances, and hostage situations.

TASK 5.3: DEVELOPMENT OF NEW FACILITY SAFETY APPROACH

While security and safety are directly intertwined, they pose separate problems in opening a new facility. The key to effective safety management in your new facility will be a viable emergency plan. This plan should address the physical plant and equipment, personnel, policy and procedures, prisoner understanding of the plan, and staff training with a focus on fire prevention and control and response to other natural disasters. Generally, an effective fire plan will include the same provisions incorporated in an overall emergency plan.<2>

Other issues that you should include in your new facility's safety plan include:

- Provision of a qualified fire and safety officer;
- Selection of fire-resistant furnishings;
- Proper containment of flammable materials;

<1> Each of these approaches is examined further in Appendix H.

<2> Guidelines for developing a fire plan may be found in Fire Behind Bars (Miceli and Golden, 1979) and the current edition of the National Fire Protection Association's Life Safety Code Handbook.

- Adequate marking of emergency exits;
- Tests of power generators at required intervals;
- Written plan for evacuation; and
- Training of personnel in the implementation of emergency plans.

TASK 5.4: DEVELOPMENT OF INMATE INTAKE, CLASSIFICATION AND RELEASE SYSTEM

Initial intake and admission into your new facility is an important aspect of security operations. It requires clear policies and procedures, documentation and records, staff training, and supervision in the following areas:

- Law enforcement vehicle entry and exit;
- Admissions into the facility;
- Searches of new inmates;
- Use of holding cells;
- Commitment documents;
- Medical and mental health screening;
- Inmate booking information;
- Fingerprinting and photographs;
- Personal property management;
- Clothing and bedding issue;
- New inmate orientation; and
- Admittance to confinement.

In planning your intake and booking procedures, you should also ensure that the proposed process lends itself totally to the physical layout of the admittance area.

Another important aspect is a classification system tailored to the housing and program capabilities of your new facility. This will require either merging your present classification approach with the policies and procedures proposed for your new facility or developing a new system, possibly one based on an objective model. Objective classification employs standardized factors and factor weightings to obtain valid, consistent security and custody decisions. Objective classification can also match inmate security needs with new facility resources and inmate program and service requirements. Your classification system should include a plan for assigning custody level, housing, and programs for each inmate. It should also contain provisions for changing an inmate's status and handling special management inmates, such as those requiring protective custody, disciplinary or administrative segregation, and medical isolation.

The final component of the inmate management process is the positive release of inmates from your new facility. Planning for your new facility's release system resembles the intake process in reverse. Ideally, a separate area

will be available in your new facility for release activities. All policies and procedures pertaining to release should accommodate the physical layout of this area.

TASK 5.5: PREPARATION OF SECURITY AND SAFETY POLICIES, PROCEDURES AND POST ORDERS

This final task will require the development of policies and procedures for both security and control, and safety and emergency operations.

With respect to security and inmate control, you should address the following procedural areas:

- Communication system between control center and inmate living areas;
- Operation of emergency alarm system;
- Control of entrance/exit and internal door locking;
- Use of audio or visual electronic surveillance;
- Regulation of inmate movement;
- Supervision of inmates in living areas;
- Inspection of facility;
- Searches of facility and inmates;
- System for physically accounting for inmates;
- Control and seizure of contraband;
- Control and use of firearms, chemical agents, and related security devices;
- Control and use of keys;
- Control and use of tools and culinary and medical equipment;
- Response to escapes and attempted escapes;
- Response to situations such as riots, hunger strikes, disturbances, and hostage taking;
- Continuance of operations in the event of a work stoppage;
- Use of physical force;
- Procedures to be followed in the event of a mass arrest;
- ^a Maintenance of security logs;
- Transportation of inmates outside the facility;
- Intake, identification, and booking of inmates;
- Initial classification and reclassification of inmates, including those with special management concerns; and
- Release of inmates from facility.

In addition, written post orders should be prepared establishing the function of each security position and the procedures necessary to carry out the assignment.

Procedural statements should be developed for new facility safety and security issues, including:

- System to be employed for adherence to local or state fire codes;
 - Specification of facility's fire prevention regulations and practices;
 - System for notifying local fire department in the event of a fire;
 - Training of staff in fire safety procedures;
 - Testing of emergency equipment; and
 - Evacuation plan in the event of an emergency.
-

FACILITY TRANSITION ACTION PLAN

SAMPLE

Agency: Smith County Sheriff's Department

Transition Area Number: 5.0

Transition Area: Security and Safety Issues

Area Manager: R. Nelson

Task Number	Task	Person(s) Responsible	Date Initiated	Scheduled Completion Date	Date Completed	Resources/Comments
5.1	Determination of Security Goals and Objectives	Jail Administrator/ Transition Coordinator/ Security Task Force Chairperson (or equivalent)	2/86	2/86	2/86	Reference state and federal standards
5.2	Development of New Facility Security Approaches	Security Task Force Chairperson and Task Force (or equivalent)	2/86	11/86	11/86	Test during shakedown of facility
5.3	Development of New Facility Safety Approach	Security Task Force (or equivalent)	2/86	9/86	10/86	Obtain assistance from OSHA regional office
5.4	Development of Inmate Intake, Classification, and Release System	Security Task Force (or equivalent)	3/86	7/86	8/86	Input from classification staff
5.5	Development of Security and Safety Policies, Procedures, and Post Orders	Security Task Force (or equivalent)	3/86	8/86	8/86	Consistent with approved format

AREA SIX: INMATE PROGRAM ISSUES

In making the transition to a new facility, administrators will recognize that additional space has been provided for inmate programming such as social services, religious programs, indoor and outdoor recreation, leisure-time activities, educational and vocational programs and library services. Effective use of this new space will depend on considered attention to the following tasks:

- Task 6.1 Determination of Program Goals and Objectives
- Task 6.2 Development of New Facility Programs
- Task 6.3 Identification of Existing Program Resources
- Task 6.4 Development of Program Phasing Plan
- Task 6.5 Development of Program Policies, Procedures and Post Orders

While this section concentrates on programs that an agency would like to provide, it must be emphasized that the agency should prepare alternative plans in case the staffing and funding levels required to conduct the program as designed are not forthcoming.

TASK 6.1: DEVELOPMENT OF NEW FACILITY PROGRAM GOALS AND OBJECTIVES

The first task in developing and implementing inmate programs for your new facility is to determine what you want to accomplish via the use of programs. To do so, you must delineate your goals and match them with general program offerings. Each goal statement should then define an end result to be achieved in inmate programming.

Your program goals should directly reflect both the management philosophy for your new facility and current professional and constitutional standards. For this reason, your new facility's mission statement, state and national standards, and recent corrections-related court decisions should be considered primary reference documents. Unlike inmate services, programs are often viewed as expendable and thus require as much justification as possible. Consensus on the end result for each goal is essential. Your program goals must also be unambiguous, attainable statements. An example would be:

"To provide recreation to the inmate population that will meet the recommendations of the American Correctional Association's Standards for Adult Local Detention Facilities."

Your program objectives, on the other hand, should describe an activity or group of activities required to achieve a

goal. An objective has fixed time parameters and must be measurable. To attain the goal referenced above, several objectives may be:

"To recruit, employ and train a full-time recreational coordinator by October 1, 1987";

"To purchase all outdoor recreational equipment by September 15, 1987";

"To develop indoor recreational policies and procedures by September 9, 1987."

TASK 6.2: DEVELOPMENT OF NEW FACILITY PROGRAMS AND DELIVERY APPROACH

During this task you will need to identify what programs you wish to provide, how they will be provided, who will deliver them, and when they will be provided. The basis for establishing these programs should be provided through Task 6.1.

The first activity is to identify what programs will be provided in your new facility. While this may have been completed during initial facility planning and design, it probably was done under some time constraints and without knowledge of what programs your new physical plant will accommodate.

In selecting these programs, four activities should be conducted:

- Identification of program priorities based on legal requirements, standards, and inmate interest;
- Clarification of program parameters, including the number of inmate participants, physical location of programs, and qualifications for staff;
- Clarification of program objectives, specifying end results; and
- Determination of program feasibility by identifying any internal or external constraints such as lack of funding, insufficient staff, and inadequate equipment.

Once programs have been selected, you should prepare a development plan. For many existing programs, only minor modifications will be needed to accommodate the layout of your new facility. However, new programs will require you to:

- Review the need for a proposed program by checking its purpose, timing, and constraints, as well as inmate interest;
- Consider alternatives, ranging from a fully developed and program to the consequences of not implementing a program;
- Outline the development plan, including staffing, schedule, eligibility criteria, etc.; and
- Prepare a preliminary program budget.

Finally, you should determine how the program will be delivered. In many instances this issue will have been addressed in the program development plan. However, specific attention should be paid to whether you have the in-house resources to provide adequate program delivery or will need outside support.

TASK 6.3: IDENTIFICATION OF EXISTING PROGRAM RESOURCES

After your programs have been finalized, you must identify what resources are available and what resources must be generated to provide the level of programming desired. As you are aware, today's economy and resultant budget limitations force careful examination of all facility programming to achieve maximum utilization of allocated funds.

One obvious resource for program development and implementation can be found in the community. Community resources can be obtained from private or public organizations or from any individual providing a legitimate service that can be used in your new facility.

Community groups may provide programming at no charge through volunteers or donation of goods. Some will deliver programs, such as mental health and substance abuse counseling, without charge although the service is paid for through another funding source. Most programs entail some financial expense. However, it is usually less expensive to purchase them as needed rather than attempt to provide them in-house. Such analyses should be conducted during the pre-transition period so that you have a clear understanding of not only what programs will be offered but also which will be provided internally and which, externally.

The following list presents examples of programs available through community groups and individuals:

<u>COMMUNITY RESOURCE</u>	<u>EXAMPLE OF PROGRAM</u>
Volunteers	Inmate programs (counseling, recreation, etc.)
Library	Books, tutors
Professionals (public or private)	Facility evaluations, technical aid
Churches	Religious services/counseling
Business and civic groups	Public awareness and education
YM/YWCA	Recreation facilities/programs
Interested citizens	Support for better budget and program options
Schools	Facilities and equipment, teachers
Colleges/universities	Education for inmates, train staff
Public agencies	Inspections, technical assistance
Fire department	Fire safety inspections, technical assistance
Hospital	Health care, staff training
Businesses	Donations (equipment, supplies)
Armed forces reserve	Services, equipment, supplies
Human service agencies	Services for inmates, employment assistance
Public safety agencies	Institutional security improvements
Retired/elderly citizens	Visits to inmates, family assistance
Students	Staff education and training
Banks	Funding
Employers	Jobs for inmates (work release or after release)
Health department	Inspections, standards compliance assistance
Grants	Special project funding
Media	Needs and accomplishments publicity

TASK 6.4: DEVELOPMENT OF PROGRAM PHASING PLAN

During the initial occupancy of your new facility, you may choose to phase in programs and activities such as leisure-time activities, academic and vocational training, and library programs. The move will be hectic enough without attempting to introduce all programming at the same time. Even with the best planned transition training program, your staff will be frustrated in ensuring that visits are conducted safely and on schedule, meals are delivered on time and at the right temperature, mail is delivered efficiently, etc. Introduction of many programs can be delayed until your operations are running smoothly. Most

administrators have found it better to inform inmates that certain programs will be delayed or gradually introduced rather than commit to a program delivery schedule that cannot be honored.

TASK 6.5: DEVELOPMENT OF PROGRAM POLICIES, PROCEDURES, AND POST ORDERS

Once you have finalized your programs and identified needed resources, you can prepare policies and procedures for each program.

It should be relatively easy to translate your program goals into policy statements. In addition, you should address the following issues:

- Inmates should have the option to refuse participation in programs except those required by statute;
- Equal program opportunities should be provided males and females; and
- Plans should be made for the identification and use of available community resources.

You should also prepare written procedures for the following program areas:

- Drug and alcohol addiction programs;
 - Religious and counseling programs;
 - Out-of-cell leisure-time activities;
 - Outdoor and indoor recreation and physical exercise;
 - Educational programs, vocational counseling and, when available, vocational training;
 - Library services; and
 - Volunteer coordination and program involvement.
-

FACILITY TRANSITION ACTION PLAN

SAMPLE

Agency: Smith County Sheriff's Department

Transition Area Number: 6.0

Transition Area: Inmate Program Issues

Area Manager: J. Russell

Task Number	Task	Person(s) Responsible	Date Initiated	Scheduled Completion Date	Date Completed	Resources/Comments
6.1	Determination of Program Goals and Objectives	Jail Administrator/ Transition Coordinator/ Program Task Force Chairperson (or equivalent)	2/86	2/86	2/86	Consistent with management philosophy and approved standards
6.2	Development of New Facility Programs	Program Task Force Chairperson (or equivalent)	2/86	8/86	8/86	
6.3	Identification of Existing Program Resources	Program Task Force Chairperson (or equivalent)	3/86	4/86	4/86	Address both internal and external resources
6.4	Preparation of Program Phasing Plan	Program Task Force Chairperson (or equivalent)	5/86	8/86	9/86	
6.5	Development of Program Policies, Procedures, and Post Orders	Program Task Force Chairperson (or equivalent)	4/86	10/86	10/86	Consistent with approved format

AREA SEVEN: SUPPORT SERVICES ISSUES

A variety of inmate support services must be planned and delivered in a new facility. Support service areas include medical and health care, visitation, food services, mail and telephone communications, laundry, personal hygiene services, commissary, property management, storage, and housekeeping.

Several tasks are important to the introduction of support services in a new facility:

- Task 7.1 Determination of Support Services Goals and Objectives
- Task 7.2 Development of New Facility Support Services and Delivery Approach
- Task 7.3 Identification of Existing Support Services Resources
- Task 7.4 Development of Support Services Policies, Procedures and Post Orders
- Task 7.5 Development of New Facility Maintenance Plan

Moreover, all support services should be ready for implementation the day a new facility opens.

TASK 7.1: DETERMINATION OF SUPPORT SERVICES GOALS AND OBJECTIVES

Procedural development of goals and objectives for your support services is identical to that for your inmate programs. The principal difference is that inmate services are not to be regarded as privileges, for your agency will be held liable and face possible court action for failing to provide services required by the courts or local and professional standards. Therefore, by developing services goals and objectives, you are establishing delivery mechanisms that will not only enhance facility operation, but also protect you and your agency against legal action.

TASK 7.2: DEVELOPMENT OF NEW FACILITY SUPPORT SERVICES AND DELIVERY APPROACH

Although the type of support services your new facility will provide is generally determined by outside agencies and organizations, you can control who will provide them, where they will be delivered, when they will be provided, and what they will cost.

First, however, you should assess existing resources by answering the who, where, when, and what questions for support services in your present facility. You can then

determine what additional support services and resources will be needed in your new facility.

The support services development process should begin with the following activities:

- Review of which standards, codes, and guidelines are to be applied;
- Assessment of current trends that may need to be considered (e.g., delivery of frozen food to housing units for heating by microwave ovens located in pods);
- Examination of those provisions that should be considered for future needs;
- Evaluation of workload and resultant staffing requirements;
- Review of service delivery concepts (e.g., Will visitation be centralized or dispersed; contact, non-contact, or both?); and
- Determination of a general budget for delivery of support services.

These activities should result in detailed delivery plans for each of your support services, identifying their users, safety and security issues, schedules, staffing needs, and parameters. Service parameters refers to the extent to which each service will be provided. For example, will your dental program (if provided) offer a basic dental examination or a full range of services? Such questions should be answered prior to occupancy in order to minimize confusion and frustration. The use of scenarios can help you identify and answer these questions.<1>

TASK 7.3: IDENTIFICATION OF EXISTING SUPPORT SERVICES RESOURCES

If you currently provide all inmate services in-house, you should consider using existing community resources, particularly if the support service demands of your new facility exceed anticipated capabilities. You can broker or arrange for services, either having the service provider come to the facility (e.g., private food service contractor) or taking the inmates to the provider (e.g., specialized medical care). This system decreases the burden on your agency, allows staff to devote more time to facility management, provides inmates access to more

<1> Development of transition scenarios is discussed in Appendix F.

specialized services, and develops community awareness and support.

TASK 7.4: DEVELOPMENT OF SUPPORT SERVICES POLICIES, PROCEDURES, AND POST ORDERS

The final task in this area is the preparation of policies and procedures for each support service, along with staff post orders. At a minimum, you should develop policies and procedures that address the following:

- Delivery of health care services, including medical, dental and mental health services, under the control of a designated health authority;
- Provision of a nutritional diet that is reviewed and approved by a registered dietician;
- Regulation of inmate correspondence and access to telephones;
- Management of inmate visiting, including official visitors, contact and non-contact visitation, and special visits;
- Control of the commissary or canteen, especially strict management of its operation and use of accepted accounting procedures;
- Cleaning and issue of inmate clothing, linen, and bedding supplies;
- Distribution of personal hygiene articles to inmates;
- Regular sanitary inspection of all institutional areas;
- Housekeeping and maintenance of all areas of the facility; and
- Inmate access to staff and programs.

TASK 7.5: DEVELOPMENT OF NEW FACILITY MAINTENANCE PLAN

A planned maintenance program is the key to protecting your facility and ensuring its long-term trouble-free operation. Planned maintenance can, in fact, increase its life and usefulness. Your maintenance program should include:

- Careful management of sanitary conditions;
- Accurate control of temperature and ventilation;
- Systematic inspection and care of facility components, especially safety and security systems;
- Preventive maintenance to avoid unacceptable deterioration of components and excessive repairs.

To maintain your new facility properly, you should establish a centralized, on-site maintenance and operations department with a full-time manager. He/she should be knowledgeable of new facility operations and capable of maintaining accurate records, which are essential to a preventive maintenance program.

Your maintenance program should be planned well in advance of occupancy of your new facility. The basic steps in planning your program include:

- Identification. Determine which items in your new facility will need to be maintained.
- Techniques and procedures. Establish the maintenance procedure and frequency for each item. Maintenance and operations manual and manufacturers' data will be helpful in establishing these schedules.
- Records system. Develop a comprehensive system for recording all maintenance performed as well as the conditions found when maintenance is routinely performed. Keep records of all unscheduled maintenance, equipment failures, and any other problems with the facility or its components. With computer facilities available at most institutions, the maintenance records may be computerized. This will permit such conveniences as a printout of scheduled maintenance activities.
- Personnel. Most of the activities in your planned maintenance program may be performed by facility personnel. Other tasks requiring technical skills or equipment not available on-site should be performed through maintenance contracts with qualified providers. In addition, some maintenance items may require observation or testing by professional consultants such as mechanical or electrical engineers. Arrangements to secure such services should be made early in the development of your maintenance program.

Prior to final approval, your planned maintenance program should be reviewed by your transition and design teams.

FACILITY TRANSITION ACTION PLAN

SAMPLE

Agency: Smith County Sheriff's Department

Transition Area Number: 7.0

Transition Area: Support Services Issues

Area Manager: C. Unger

Task Number	Task	Person(s) Responsible	Date Initiated	Scheduled Completion Date	Date Completed	Resources/Comments
7.1	Determination of Support Services Goals and Objectives	Support Services Task Force Chairperson (or equivalent)	2/86	2/86	2/86	Consistent with management philosophy and approved standards
7.2	Development of Support Services and Delivery Approach	Support Services Task Force Chairperson (or equivalent)	3/86	9/86	9/86	
7.3	Identification of Existing Support Services Resources	Support Services Task Force Chairperson (or equivalent)	3/86	4/86	5/86	Address both internal and external resources
7.4	Development of Support Services Policies, Procedures, and Post Orders	Support Services Task Force Chairperson (or equivalent)	4/86	10/86	10/86	Consistent with approved format
7.5	Development of New Facility Maintenance Plan	Support Services Task Force Chairperson (or equivalent)	4/86	11/86	11/86	Consistent with approved standards

AREA EIGHT: MOVE LOGISTICS ISSUES

Actual occupancy of a new facility is the culmination of the successful, timely completion of the seven previous tasks. Move logistics involves five major tasks:

- Task 8.1 Establishment of Move Plan and Schedule
- Task 8.2 Determination of Movement Resources
- Task 8.3 Training of Occupancy/Movement Staff
- Task 8.4 Completion of New Facility Shakedown
- Task 8.5 Orientation of Inmates Regarding Movement

In addition, scenarios should be developed to simulate how the facility will operate once occupied by the inmate population.<1>

TASK 8.1: ESTABLISHMENT OF MOVEMENT PLAN AND SCHEDULE

Preparing for the move itself is a complex task. Again, careful planning and control helps ensure that all activities are completed. Your transition coordinator should identify all tasks that must be concluded prior to move-in. He/she will need to rely on the move logistics task force to assist with this endeavor and to perform the actual work.

This task force, working with other task forces, should complete the following activities before occupying the facility:

- Assure that all equipment specified in the construction contract has been delivered, inventoried, and tested for safety and security standards;
- Obtain other equipment, such as typewriters, dictating equipment, cameras, communication equipment, and law enforcement materials;
- Arrange for efficient transfer of any equipment to be moved from the old facility;
- Install all furnishings and movable equipment;
- Order supplies, including administrative supplies, correctional and security materials, food service supplies, and medical supplies;
- Stock stores and commissary;

<1> A complete discussion of scenario development is included in Appendix F.

- Make space assignments;
- Ensure that all posts have supplies such as paper, pencils, and waste cans;
- Arrange for new utility service, including garbage and telephone;
- Obtain insurance for the facility;
- Balance the heating, cooling, and ventilation systems;
- Negotiate contracts for any operation or maintenance services not provided by agency staff, including vehicle maintenance, backup medical, or testing services;
- Set up records and filing systems;
- Obtain tools and required maintenance equipment;
- Set up emergency and severe-weather plans;
- Test all operating procedures;
- Identify the need for additional procedures and ensure that each functional area has established adequate procedures;
- Plan and schedule the move-in of administrative staff, corrections and security personnel, service staff, and program staff;
- Plan and schedule the arrival of all inmates.<1>

All these activities must be coordinated. For example, inmates cannot be housed unless food service and medical services are operational.

TASK 8.2: DETERMINATION OF MOVEMENT RESOURCES

After you have planned the various movement tasks, you must determine what resources exist internally to assist in facility occupancy and which will need to be obtained from outside agencies and private vendors. You should then:

<1> For further information concerning move logistics, please see the "Activation Manual" published by the U.S. Department of Justice, Federal Prison System, and the NIC publication "How to Open a New Institution."

- Arrange for bids for such items as vehicles, movers, and hydraulic lifts (If your policy permits, inmate trustees could assist with moving equipment, provided appropriate insurance coverage is available.);
- Select outside vendors and services; and
- Orient vendors to non-sensitive features of movement plan.

TASK 8.3: TRAINING OF OCCUPANCY/MOVEMENT STAFF

Movement training should be viewed as distinct from your transition training program in that it provides training only for functions tied to moving into your new facility. As such, this will be "one-time" training, involving a limited number of personnel in the actual occupancy, although all staff will be involved to some extent in opening your new facility.

Movement training should concentrate on the following activities:

- Facility shakedown process;
- Non-fixed equipment and furnishings movement plan;
- Inmate movement and cell assignment procedures; and
- Immediate occupancy inmate processing and support services start-up plan.

TASK 8.4: COMPLETION OF NEW FACILITY SHAKEDOWN

Prior to formal occupancy, you will need to thoroughly inspect the entire facility to make sure that it is secure, that everything works, and that nothing has been left behind which could be used by inmates to escape or cause injury. The shakedown process should also include:

- Checking emergency equipment and fire alarm systems;
 - Checking security, warning, CCTV, and audio communication systems;
 - Making sure all security doors and entrances function as planned;
 - Checking the integrity of external and internal glazing;
 - Checking all wall finishes, grates, railings, ceilings, and floors to ensure no areas are available
-

- for contraband concealment and no components are loose enough to be fashioned into weapons;
- Determining the working condition of all food service equipment;
 - Ensuring that all sinks and lavatories function properly;
 - Checking the HVAC system to ascertain proper heating, cooling, and ventilation;
 - Understanding the emergency operation of all electrical, mechanical, and life-safety systems, including shut-off locations and procedures;
 - Knowing how and whom to call for emergency repairs, including emergency off-duty telephone numbers;
 - Determining what fixtures, equipment, etc., could be employed by inmates in suicide attempts; and
 - Checking the outside of the facility to assess what areas may be vulnerable to intrusion by the public or inmate associates.

Following completion of the facility, a construction contract audit, if applicable, should also be scheduled by the state or involved federal agencies. As a part of the transition process, you should review project files to ensure that all required documentation is included and that a clear audit trail has been established. This should permit a favorable audit, minimize time demands on operating personnel, and avoid charges or negative findings that can lead to unfavorable publicity and operational disruptions.

TASK 8.5: ORIENTATION OF INMATES REGARDING MOVEMENT

While most of this manual has concentrated on tasks that your staff should complete prior to and during facility occupancy, it is imperative that you apprise inmates of the impending move and its ramifications on their future living conditions. Remember, while the transition process may be an extreme headache to your agency, it affects the day-to-day confinement of inmates in various ways. They will not know, for example, unless adequately oriented, how, when, and where they will visit their families; under what conditions they will be entitled to recreation; and what the meal service program will involve--all issues vital, from their perspective, to their daily well-being.

Inmate orientation may be conducted in a variety of ways:

- Video or slide presentation;
- Live presentation by agency staff; and
- Peer presentation by inmates who have been briefed on movement to the new facility.

While orientation should be fairly explicit, it should not include references to tasks or activities that may jeopardize the security of the move. Thus, you should avoid informing inmates in advance of the specific date and time of the move, new facility security features, and mode of transportation to be used. Moreover, due to inmate turnover, you should not schedule orientation so far in advance that a large segment of the inmate population has not been informed about transition.

Finally, based on serious problems experienced by several jurisdictions during facility occupancy, it is recommended that you not make significant changes in policies and procedures that reduce inmates' general welfare. Inmates are likely to associate such changes with the new facility and may take out their frustrations on its structure, equipment, and furnishings. An excellent, albeit unfortunate, example, is a county that instituted a regulation prohibiting smoking in its new jail. The inmate population initially responded with anger, followed by several hundred thousand dollars' destruction.

FACILITY TRANSITION ACTION PLAN

SAMPLE

Agency: Smith County Sheriff's Department

Transition Area Number: 8.0

Transition Area: Move Logistics Issues

Area Manager: K. Whitlow

Task Number	Task	Person(s) Responsible	Date Initiated	Scheduled Completion Date	Date Completed	Resources/Comments
8.1	Establishment of Move Plan and Schedule	Move Logistics Task Force Chairperson (or equivalent)	7/86	7/86	7/86	Coordinate with outside agencies, e.g., Highway Patrol and police departments
8.2	Determination of Movement Resources	Move Logistics Task Force Chairperson (or equivalent)	8/86	8/86	8/86	
8.3	Training of Movement Staff	Training Task Force (or equivalent)	11/86	11/86	11/86	
8.4	Completion of New Facility Shakedown	All Task Force Chairpersons (or equivalent)	12/86	12/86	12/86	
8.5	Orientation of Inmates Regarding Movement	Training Task Force Chairperson (or equivalent)/ Security Task Force Chairperson (or equivalent)	12/86	2/87	2/87	Use of video tape encouraged to enhance discussions

AREA NINE: POST-TRANSITION ISSUES

A number of important activities should be undertaken once the facility has been occupied. Two important tasks are involved:

- Task 9.1 Maintenance of New Facility Physical Plant
- Task 9.2 Evaluation of New Facility

TASK 9.1: MAINTENANCE OF NEW FACILITY PHYSICAL PLANT

When your new facility is completed, your agency will be responsible for maintenance of a large, complex, and technologically sophisticated capital investment. Maintenance covers a variety of activities, ranging from emptying wastebaskets and vacuuming carpets to calibrating thermostats and servicing complex equipment. These activities should be covered in the maintenance plan you developed prior to occupancy (Task 7.5), and your maintenance and operations department should now begin implementing this plan.

You should also conduct ongoing monitoring and evaluation to ensure that your maintenance program is being effectively carried out. This should include performance and reliability summaries for all items covered by the program and routine analysis of these data to determine whether maintenance frequencies should be increased or decreased to reduce down time, enhance productivity, or lower costs.

TASK 9.2: EVALUATION OF NEW FACILITY

As part of the transition process, you should also conduct a post-occupancy evaluation. This assessment should occur six to twelve months after occupancy and address:

- User satisfaction with facility;
 - Agency satisfaction with design team;
 - Ability of facility to meet its mission, goals and objectives, and the agency's correctional philosophy;
 - Conformance with specifications, space allocations, and budgetary policy;
 - Efficiency of operations;
 - Budgetary policy;
 - Maintenance and life-cycle economy; and
 - Satisfaction with contractor.
-

Participants in your evaluation should include agency representatives; the facility administrator; managers or key staff from functional, support, and programmatic units; representatives from the design team; and other appropriate consultants.

The results of your evaluation should be used to make operational changes that will permit the original intent of the facility to be more fully realized. Information gleaned from this experience may also be useful on future construction projects. It is constructive to continue such evaluations every six months to a year.

In addition, a post-occupancy energy evaluation should be conducted to determine whether your energy consumption conforms to projections. If it does not, you should identify the reasons and take corrective action. Finally, you should document energy-conscious design recommendations for future facilities.

FACILITY TRANSITION ACTION PLAN

SAMPLE

Agency: Smith County Sheriff's Department

Transition Area Number: 9.0

Transition Area: Post-Transition Issues

Area Manager: E. Gant

Task Number	Task	Person(s) Responsible	Date Initiated	Scheduled Completion Date	Date Completed	Resources/Comments
9.1	Maintenance of New Facility Physical Plant	Transition Coordinator/ Jail Administrator/ Maintenance Head	8/86	12/86	12/86	
9.2	Evaluation of Transition Process	Transition Coordinator/ Jail Administrator/ Sheriff	1/87	Ongoing	N/A	

Section Three: Transition Problems

An agency that is moving to a new facility can enhance its transition process by capitalizing on the experiences of others. Knowledge of obstacles encountered by other agencies enables the correctional administrator to anticipate various transition problems and take a proactive approach to resolving them. These problems typically fall into three major areas:

- Planning;
- Construction and design; and
- Transition team operations.

Transition Planning Problems

Insufficient Time for Transition Planning

One of the most common problems in transition planning is failure to allot sufficient time for completion of the process. You must be especially careful not to underestimate the period needed for pre-occupancy activities. As stated earlier, you should initiate transition planning at least 12 months, and preferably 18-24 months, before your move-in date. Adequate time should also be provided for conduct of individual tasks and activities.

In establishing the time frame for the transition process, you may wish to consider a technique known as the Program Evaluation Review Technique (PERT). Simply stated, PERT

has a number of distinguishing characteristics that make it a very valuable tool in the transition process, particularly when a substantial number of tasks and activities must be completed. These include:

- Providing transition administration with the ability to plan the best possible use of resources to achieve a successful transition within overall time and cost limitations;
- Enabling transition administration to effectively manage the transition process by sequencing important events and activities on a network, which in turn determines the importance of each task; and
- Providing transition administration with a system to determine time estimates for each activity on a three-way basis, normally optimistic, most likely, or pessimistic elapsed time figures.<1>

Ineffective Planning

Many correctional systems enter the transition process without adequate plans for this major undertaking. As a result, these agencies encounter a variety of problems that could have been resolved, had an effective approach been considered at the beginning. This implies an organized strategy for disseminating information about problems faced in planning, as well as progress being made. It entails participatory planning.

Participatory planning in the transition process serves different functions at different levels. Three levels are considered here: long-range planning, mid-range planning, and immediate planning.

Long-range planning is concerned with what you ought to do and why. Transition planning falls into this framework because the planning process is long-range in nature and involves numerous questions about how your correctional facility will operate over time.

Mid-range planning is concerned with what you can do and how, both before and after occupancy of your facility. This level of participatory planning involves widespread user involvement.

Immediate planning, on the other hand, is concerned with what you will do and when. Issues associated with this level of planning, by their increasingly technical nature, call mainly for the input of professionals and specialists during the transition period. While your line staff are

<1> An excellent discussion of PERT can be found in Robert W. Miller's "How to Plan and Control with PERT," listed in the manual's references.

familiar with the daily operations of the present facility, it is important for you to include the technical expertise of specialists in determining short-term transition activities that may be overlooked because staff cannot see "the forest for the trees."

A planning process employed by a number of agencies during transition is the Nominal Group Technique (NGT). This technique has proven to be an efficient, effective method for identifying a wide range of problems and solutions confronting individuals involved in a transition process. The Nominal Group Technique is designed to:

- Identify potential problems and solutions through groups of individuals with common concerns about the transition but diverse backgrounds and frames of reference;
- Involve every individual on the various transition task forces in the group to a maximum degree;
- Capture individual perceptions of transition problems without undue pressure from those who occupy positions of power and authority in the facility;
- Enable the group to establish a common ranking of transition problem statements so that individual members are not influenced by superiors; and
- Enhance creativity and interest in identifying transition problems and solutions, including those that pertain to occupancy of the new facility.<1>

Exclusion of
Users from
Transition
Planning

Another common, but serious, problem related to transition planning is the exclusion of key personnel who will eventually use the new facility. While it is difficult to understand how an agency could fail to consider the users' role, the problem surfaces quite often in large and medium-size agencies that rely on planning staff who may or may not be directly associated with the user agency. For example, one large county in the Midwest assigned the transition process to its planning and personnel department. The end result was a transition plan that excluded most of the important users of the new jail, including intake and booking staff, security staff, training personnel, and, for the most part, the detention administrator. Not only did jail personnel become disenfranchised from the occupancy activities, they also tended to view the new facility as another county building, with no particular personal investment.

<1> A more complete description of the Nominal Group Technique is included in Appendix F.

While it is very difficult to involve all of your facility personnel in transition planning, it is paramount that representatives from each major department (e.g., administration, security, booking, programs, and support services) participate. While their involvement may not be extensive throughout the transition approach, there will be times when these personnel must be called upon for input regarding how they visualize the new facility operating versus how it was intended to operate. Given early enough involvement, your facility can be altered physically to accommodate the expectations of user personnel.

**Construction
and Design
Problems**

Inability to
Understand
Blueprints

The majority of correctional officials have not been trained to be architects. Thus, you may have little familiarity with reading and understanding what are traditionally known as blueprints. These blueprints, or design of the facility, should be a program of your space requirements. Since they reflect your needs, they should be prepared by you and then reviewed with the architect, who can suggest changes based upon his or her knowledge and experience. This exchange generally results in three design documents.

The first, termed the schematic design, is a series of diagrams of the interrelationships of various spaces in your new facility. These schematic drawings usually include a site plan, showing the general relationship of the new building to the site, small-scale drawings of the principal floor plans, explanatory sketches, and a statement of the probable construction costs. If you are now beyond the schematic design stage and are involved with a building under construction, some of the subsequent discussion may seem irrelevant. However, it is important, no matter what stage either your design or building is in, to understand the latter two sets of documents prepared by the architect if you wish to end up with a building that truly meets your jurisdiction's correctional needs.

The second set of drawings is normally titled design development drawings. Their purpose is to "fix and describe the size and character of the entire project." These drawings are prepared in greater detail to illustrate more aspects of the proposed design. The floor plans indicate all rooms in the correct size and shape. Sections through the building are drawn, as are elevations showing the exterior treatment. The site plan is refined further with grading and general landscaping. Outline specifications are prepared, listing all the major materials and room finishes, along with a general description of the mechanical and electrical systems. A much more accurate statement of probable construction costs can be developed from these drawings.

At this stage, you as the client must keep in mind the original program and budget criteria. In your mind, "walk" through the building. Does the circulation work well? Does each space serve the purpose intended? How does the building "feel"? Are you happy with its appearance? Do you fully understand the reasons for the selection of the structural, mechanical, and electrical systems? Do you agree with the choice of floor, wall, and ceiling finishes? The door types? The windows? Are there design features that impede effective security and custody supervision? And so forth.

The final set of drawings consists of construction documents. Here the architect prepares detailed drawings and specifications upon which the contractor will establish the construction costs. These documents will be used for actual construction. You are less likely to be involved in this period of the project's development since it includes the technical elaboration of the ideas developed earlier. However, periodic communications and contact to review the progress and answer any questions are in order. Furthermore, this is the time for you to think about furnishings for the building.

Excessive
Change Orders

Even the best planned and designed correctional facility will include one or more structural features that you or a member of the transition team wish to change. In construction terminology this can result in a change order, which is a formal agreement between the contractor and agency to alter the original design of the building. Typical causes of change orders include obstructions impeding supervision of inmates and building components capable of compromising security, such as lighting fixtures that can easily be accessed by inmates, sharp corners that can endanger both staff and inmates, and equipment that is inadequate relative to the security requirements of the inmate population.

While some change orders are obviously required to ensure the safety and security of the facility, others are often a result of changes in operational philosophy, many of which can be accommodated if construction has not progressed too far. However, extreme changes in operational philosophy frequently cannot be addressed without substantial construction expenditures. An example of this is a recently opened jail where the facility administrator belatedly decided upon a direct rather than an indirect supervision facility, based upon personal visits to several direct supervision jails. The problem was that his indirect supervision facility was approximately 80% complete, making conversion to a direct supervision jail financially impractical.

Improper
Discussions/
Negotiations
with Management

A number of problems are likely to surface during the design and construction of your facility, including bad weather, delays in delivery of important security equipment, labor strikes, defective construction requiring substantial modifications, substantial change orders, and, in many instances, the contractor's underestimate of the time required to complete the building. You or other agency staff may have no control over some of these problems. However, in many instances solutions can be facilitated if you establish clear and timely communications with the architect and contractor to keep apprised of potential problems and the role, if any, your agency can play in minimizing and eliminating construction delays.

The architect and/or construction manager should have created a project strategy to minimize construction and design problems. This should consist of defining basic bid packages, the cost to be in the contract before construction starts, and required approvals. They also should have identified the financial risk inherent in the overlap of design and construction while defining management procedures necessary to control this risk.

As the client, you should work with the architect and contractor to establish a reporting hierarchy and network. You should assist them in developing flow charts to identify who communicates with whom about what. It is advantageous to make a project roster, including home phone numbers, for key representatives of the building owner, the construction manager, the architect, and the various contractors. Remember, some problems will not wait until the architect or contractor is available during office hours.

Another important strategy for minimizing construction and design problems is effectively monitoring the work of your respective contractors. Naturally, you want a cost-effective project delivered on time. However, a schedule that says that it can be done does not mean that it will be done. In monitoring design and, particularly, construction, three common types of reports should be required:

- Monthly reports to summarize costs and schedule status and the status of project contracts;
 - Weekly reports to summarize the major activities for the full-time project team and keep a list of current major project issues in front of everyone; and
 - Daily site reports to record the weather, work done, personnel on-site, and the day's visitors.
-

These strategies should prove useful in combatting common construction and design problems.

Delay in
Accessing
Building by
Transition Staff

It will be difficult, if not impossible, to train staff in the actual use of the building without hands-on experience. This means that staff must be able to access the building in a timely fashion. In some locales, laws prohibit any use of the building, even for training purposes, without a certificate of occupancy. In others, contractors will prohibit any non-construction staff from entering the building, because the contractor is concerned about insurance liability issues or believes that non-construction personnel will hinder construction. In any event, it will be important to access the building as soon as possible. Like most jurisdictions, you are probably in need of the bed space at the capacity available in your new facility. Given this situation, it will be important to make the transition from the existing facility into the new building as quickly as possible. However, this may also preclude some agencies from taking the proper time and effort to familiarize staff with the building before formal occupancy.

With respect to problems in accessing the building, several alternatives are available. One alternative, which has been employed in several locales, is the construction or partial construction of one wing or part of the building that can be used for training purposes while the remainder of the facility is completed. For example, the new Arapahoe County Jail, located in Aurora, Colorado, requested that the contractor initially complete one of the facility's four 96-bed pods. This provided jail staff the opportunity not only to learn the layout of a typical housing pod but also to operate the various security and life safety equipment important in daily housing unit operations.

Another alternative is to work directly with the contractor and accommodate your training within the parameters that he or she establishes. These may include wearing of hardhats by all trainees, avoiding areas of the facility under construction, not "socializing" with construction personnel, and, most important, accessing the building during hours established by the contractor. A good example of this latter approach occurred in Broward County (Fort Lauderdale), Florida, where, during the latter stages of construction, the contractor and Sheriff's Department staff arranged for agency staff to use one floor of the building during the afternoon hours of each work day. Using this schedule, construction staff knew that they would be unimpeded in their work during the morning hours but were also aware that jail personnel would be on-site participating in training scenarios during the afternoon.

While a number of obstacles may hinder your accessing the building in a timely fashion, it is important that all your staff have a working familiarity with the layout and operation of the building well in advance of inmate transfer. You want to work out as many "bugs" as possible in the building's construction and operation prior to inmate occupancy. Serious consequences can result if you wait until that date.

Testing
Building
Equipment

A final problem experienced by some agencies is the failure to adequately test and retest all building equipment prior to its daily use by inmates and staff. In a new prison in the Southwest, for instance, staff were given but several hours of training in a master control room that in many respects paralleled the NASA Space Command Center. Only when correctional officials conducted a mock disturbance did they discover that staff were not properly trained to use this sophisticated control and communication equipment. Such inadequate training could have resulted in tragic consequences in the event of a riot, major fire, or other life-threatening incident.

The testing of building equipment, particularly security items, should be a formal part of your transition process. As suggested earlier in this document, testing and training of building equipment should occur at least 60 days prior to occupancy. At a minimum, and in coordination with the manufacturer's representative, you should test the following building equipment: security doors, including cell, corridor, and building access; all security and non-security glazing; detention locks, including gang locking and remote control locking devices; interior and exterior lighting; heating and air conditioning; plumbing; all facility-related electrical systems; kitchen and laundry equipment; medical and health care equipment; and administrative and office equipment.

Transition
Team Problems

Inadequate
Staffing

Many problems also center around inadequacies in an agency's transition team. For example, staff may not be appropriately assigned to the transition efforts. Some may not have the experience and knowledge needed to effect a successful move, while others may be placed on task forces for which they lack adequate expertise. In a number of instances, the transition team has included staff who are either too busy with assigned posts or are simply uninterested in the process and fail to perform adequately. While it is true that you must involve some individuals (e.g., the security manager), the interest and willingness of your staff to actively serve is a critical ingredient in a successful transition. Remember the adage, people support what they are involved in, but they must want to be involved since much effort will be required, often without financial compensation or time off. In smaller jurisdictions especially, transition may be hindered by

insufficient staff. A lack of transition staff can result in work overloads and a narrowing of expertise in formulating plans, thus delaying the move to a new facility.

Inadequate Training

One of the most serious requirements in the transition process is the need to train both existing and new personnel for occupancy of the facility. Many jurisdictions make a great effort to understand their new facility and its operation. However, some of these agencies fail to adequately train their personnel in the day-to-day operation of the physical plant. In addition, a notable weakness in the training approach of a number of agencies is the failure to prepare comprehensive lesson objectives and plans, as well as include "hands-on" and written testing to determine the extent to which trainees master the operation of the institution prior to move-in. Most new correctional facilities today include sophisticated security systems to monitor inmate movement and intrusions into unauthorized areas, along with various fire and smoke alarm and response mechanisms. Effective operation of these systems will require your agency to provide a substantial amount of training time and effort. Without such training, your staff are likely to experience difficulties in operating the facility during routine shifts, a problem that will be compounded when attempting to control prisoner behaviors during a major disturbance or attempted escape.

Ineffective Decision-making

Transition may also be hampered by ineffective decision-making. These problems may stem from a lack of communication and coordination among transition staff, they may signal inadequate definition of transition roles and responsibilities, or they may be a consequence of inappropriate staff assignment. At the outset of the transition process, it is important that you determine who can make what decisions and then establish reliable lines of communication.

Many agencies have found it helpful to use the system of responsibility charting to develop and maintain effective communication in decision-making. Responsibility charting is a group-consensus technique that can be used to structure your transition process. This technique enables your agency to systematically identify decisions that need to be made during transition, along with the level of responsibility to be assumed by those individuals involved in decision-making. Thus, responsibility charting can be used to direct your transition efforts and establish performance standards. It can also eliminate both ambiguities that lead to inefficient or inadequate activities and overlaps that result in duplication of effort. Finally, since all participants help to determine

key decisions and associated responsibilities, conflict and resistance to change are reduced considerably.<1>

Insufficient
Funding

A final problem is an inadequate budget for transition team efforts. Many jurisdictions believe that the transition process can be completed with minimal financial expense. However, even a superficial review of the numerous transition activities should reveal that planning to occupy a new facility is by no means cheap.

At a minimum, there will be costs for transition staff, including overtime; transition office equipment, supplies, and support services; training materials; and related indirect costs, such as staff from other agencies who must be compensated for their time and effort. A good rule of thumb is to develop a transition budget that is approximately 1% of your total construction costs. For example, agency staff involved in occupying a \$15 million facility should anticipate a transition budget of approximately \$150,000. However, even this budget may prove to be deficient when substantial use is made of outside consultants or when multiple trips are made to examine the transition process completed by other jurisdictions.<2>

**General Methods
to Minimize
Transition
Problems**

In addition to being aware of these specific types of problems, it is helpful to know some general methods of minimizing transition difficulties.

Technical
Assistance

If your agency is relatively small or lacks the expertise needed for a successful transition, you should consider obtaining technical assistance from the National Institute of Corrections or a private consulting firm. These groups can provide much useful information and suggestions for improving the transition process. However, you should always assure that your agency continues to manage the overall process.<3>

Task Forces

The use of task forces can also advance your transition efforts. Task forces offer an organizable source of personnel and a broad perspective on transition activities. They enable you to break down the process into manageable units, thus increasing efficiency and effectiveness. In essence, the use of task forces enhances all aspects of transition decision-making. The number of task forces that your agency employs will depend upon its size and complexity. However, you should establish at least these

<1> See Appendix I for a step-by-step discussion of responsibility charting.

<2> A sample transition budget is presented in Appendix B.

<3> Additional information about technical assistance is presented in Appendix D.

three task forces: administration, security, and move logistics.<1>

Action Plans

Transition effectiveness is maximized by careful planning. A crucial component of such planning should be the preparation of action plans for your task forces or transition staff. These are short-range plans that define the specific actions needed to accomplish an intended outcome. Action plans can facilitate your transition process by organizing a series of related activities, assigning responsibility for each action, and establishing a completion date for each activity. They also enable your staff to assess various alternatives for achieving an outcome and select the most appropriate means.<2>

Correctional Standards

Another means of minimizing transition problems is to address standards developed by state and national correctional organizations. These standards will not only facilitate the move to your new facility but also enhance its operation and reduce the potential for inmate litigation.

Policies and Procedures

Finally, you can avoid many difficulties by developing policies and procedures for your new facility early in the transition process. This can help guide the work of your transition staff or task forces throughout the process. Moreover, the new policies and procedures will be available for use in staff training, helping to ensure that all personnel function professionally and consistently. It is important that your new policies and procedures be clearly written. They should also be based on input from representatives of the task forces or key functional units in your new facility.

If you anticipate and plan for potential problems and adapt this manual to meet your agency's needs, the move to your new facility should be efficient and successful. The keys are prudent planning throughout your transition process and long-term commitment to your plans.

<1> Use of task forces is discussed in greater detail in Section II, Area One, Task 1.4.

<2> Preparation of action plans is addressed more fully in Appendix E.

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APPENDIX A
SAMPLE POSITION DESCRIPTION: TRANSITION COORDINATOR

The following position description is intended to guide you in developing a description of the duties and responsibilities of your transition coordinator. It can and should be modified to meet the needs of your specific transition process. In addition, it can serve as a tool to determine whether an existing employee is qualified to assume the position or whether an outside individual should be recruited and hired.

POSITION DESCRIPTION
TRANSITION COORDINATOR

General Description of Duties

The Transition Coordinator serves as chairperson of the transition coordinating committee, and he/she is responsible for orchestrating and monitoring all transition activities. The Transition Coordinator reports to the agency's Chief Executive Officer.

Specific Responsibilities

In addition to his/her general responsibilities, the Transition Coordinator is required to carry out the following specific functions:

- Communication of all transition activities to Chief Executive Officer;
- Development of transition task forces;
- Appointment of transition task force members;
- Approval of task force transition project tasks and activities;
- Chairperson of all transition task force meetings;
- Review of all new facility policies and procedures;
- Preparation and disbursement of transition budget;
- Approval of move logistics plan;
- Development of transition schedule; and
- Review and approval of all transition project documents.

**APPENDIX B
SAMPLE TRANSITION BUDGET**

The following budget has been prepared to serve as a guideline for determining your agency's transition budget. It represents what medium-size jurisdictions typically have allocated to adequately finance a 12-month transition process. Larger agencies generally will expend more funds, while smaller agencies may spend considerably less. In any case, prior to initiating the transition process, it is important that you identify the categories of transition expenditures as well as the actual amount of funds to be expended in each category. Remember, no successful facility transition has been achieved without some financial cost. A good rule of thumb, as suggested earlier in this manual, is to develop a budget that is approximately 1% of your new facility's overall construction costs.

Your transition coordinator should be responsible for controlling the budget and submitting monthly financial reports to your agency's fiscal office.

SAMPLE TRANSITION BUDGET (12 MONTHS)

Personnel (Including Fringe Benefits)<1>

Transition Coordinator<2>	\$30,500
Secretary<3>	16,000

Subtotal	\$46,500

Consultants<4>

45 Days @ \$250 Per Day	Subtotal	\$11,250
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-
- <1> Funding for transition staff should include normal agency fringe benefits unless staff are hired on a contractual basis.
- <2> The transition coordinator may be a current staff member already budgeted for. However, funding should be allocated to fill the position vacated by the transition coordinator until the transition process is complete.
- <3> Full-time secretarial and clerical assistance is recommended. Generally, this will require employment of a new secretary or comparable position because transfer of an existing employee will cause other agency clerical functions to suffer.
- <4> Funding should be allocated for consultant personnel based upon "in-house" expertise and the types of tasks necessitated in an agency's particular transition process.

Travel/Per Diem

Five 2-person Round Trip Airfares, Agency Site to Other Agencies<5>	\$1,500
Ten Days Per Diem @ \$75	750
Local Ground Transportation	250

Subtotal	\$2,500

Miscellaneous

Training Materials and Supplies<6>	\$2,500
Copying and Reproduction	1,200
Graphics	500
Postage	350
Telephone	600
Office Supplies and Policy/Procedure Manuals	800

Subtotal	\$5,950

Contingencies<7> Subtotal \$6,620

TOTAL PROJECT BUDGET \$72,820

- <5> Funds should be set aside for agency staff to travel to other jurisdictions that have completed a transition process within the past three years. While five trips may not be required, funding to provide for both in-state and out-of-state travel should be available in the event that site visits are deemed necessary.
- <6> It is difficult to determine in advance what training materials and supplies will be required. However, sufficient funding will be needed to provide all personnel with adequate training in use of the new facility as well as deliver pre-service training to new staff.
- <7> At least 10% of the overall budget should be set aside as a contingency fund in the event that initial estimates prove insufficient.

APPENDIX C
TRANSITION TASK FORCE ISSUES

Listed below are a number of general issues that all transition team members should address, as well as specific points that should be considered by each task force.<1>

General Transition Issues

Here is a partial list of items to consider during the transition process:

- (1) What is the role (advisory or decision-making) of the task forces and coordinating committee?
- (2) How will the transition be coordinated with the architect contractor? Who will approve visits to the facility during construction?
- (3) Who will "accept" the building on behalf of the agency? Will the transition occur before final completion and acceptance?
- (4) Is the moving date flexible? (Original building completion dates often are not met.)
- (5) How are staff to be kept informed of task force and coordinating committee meetings and progress? (Posting minutes and special transition newsletters?)
- (6) Have written schedules for each task force been developed and approved by the transition coordinator? Have they been shared with other task forces?
- (7) Are equipment operational manuals clear and understandable? Do they need to be translated into your policy and procedures format?
- (8) Are functional task forces prepared to write complete and thorough policy and procedure manuals for their areas?
- (9) Are task forces prepared to continue operating after the move date? (It may be necessary.)
- (10) Is there a system to monitor the operation after occupancy?
- (11) Have staff been reassured that they will not be terminated after the transition? Have they been reassured you will train them to operate the new equipment and facility?
- (12) Is the transition being regarded as an opportunity to develop personnel? (Transition experiences allow staff to excel and to demonstrate their supervisory and managerial skills.)

<1> These lists are based on materials developed by John T. Milosovich of Voorhis Associates, Inc.

Administration Task Force

- (1) Is there an operation budget for the new facility advising the funding agency of your needs? (If possible, a budget draft should be prepared during the pre-transition planning phase.)
- (2) Will the new facility require a new type of staff or additional personnel? (If necessary, work should begin with the funding agency personnel office as soon as possible. The facility administrator should be brought on a year prior to opening, unit supervisors about six months prior, and line staff, three months.)

Support Services Task Force

Many of the following items may already have been addressed by the architect and/or contractor. Before beginning on these items, check with your consultants to see what has been done. It certainly does not hurt to double-check every detail.

- (1) Have the new equipment and fixtures been installed in the facility, and the necessary supplies been identified? (Examples of this are lighting systems that require fluorescent bulbs, or a new size of paper towel.)
- (2) Do the finishes in the new facility require new cleaning supplies and/or equipment? If the new facility is much larger, will cleaning equipment with greater capacity be necessary?
- (3) Are additional waste cans, bulletin and chalk boards, desks, chairs, and file cabinets required? (Allow ample time for ordering and delivery of these items.)
- (4) Is there a directory of all communication systems, including telephones and intercoms?
- (5) Is there a change in the service delivery system to inmates? Will services be taken to inmates, or inmates to services?
- (6) Will staff be able to maintain and service the new equipment? Are additional staff necessary? Service contracts? Will maintenance and upkeep of the new facility be dependent upon inmate assistance?
- (7) Do telephones need to be moved from the old facility?
- (8) Are vendors prepared to make deliveries to the new facility?

Programs Task Force

- (1) Will volunteers/community resources be utilized in the new facility? Is there a screening process?
- (2) Is program development based upon the needs of inmates?

- (3) Is there an intake and classification plan for the facility? Has it been developed with input from custody staff?
- (4) Are staff members available to escort inmates to program areas?
- (5) Do program schedules conflict with established practices of feedings, counts, etc.?
- (6) What is the budget for program section?
- (7) Does the program support the mission of the institution?
- (8) Has an inmate rule book been prepared?
- (9) Do program staff fully know and understand what space in the new facility is available for programs?
- (10) Will work release operate out of the facility? Will inmate participants mix with other classification categories?

Security Task Force

- (1) Is there a key log book identifying every door, lock, and key in the facility? Do all the keys work, and only work the doors indicated?
- (2) Is the shakedown of the entire facility upon acceptance, and again prior to occupancy, understood as a necessity?
- (3) What are internal and external flow patterns for routine and emergency situations?
- (4) Is glazing material secure and adequate?
- (5) Are shutoffs to plumbing and electrical systems accessible and known to staff?
- (6) Have posts been clearly identified? Are there post orders for each position?

Move Logistics Task Force

- (1) What is the budget for the move? Are there contingency funds for unforeseen equipment/materials needs?
- (2) How will coordination of planning, ordering, receiving, and distribution of new equipment, supplies, food, clothing, and bedding be handled?
- (3) What is the best timetable for the move of inmates? Should they be moved all in one day or over an extended period?
- (4) How will contraband in the new facility be eliminated?
- (5) How will a manual records system be computerized?

- (6) When will new book-ins be accepted?
- (7) How will repair/replacement of broken equipment be provided?
- (8) What modes and routes of transportation should be utilized?
- (9) How far in advance should the move logistics task force become operational? Size and composition?
- (10) How will the old and new facilities be staffed during the move?
- (11) How should inmate input during the opening process be obtained?
- (12) How and when should inmate support services (food, service, commissary, laundry, etc.) be moved?
- (13) What should residents be allowed to take to the new facility as personal property?
- (14) How should old equipment be disposed of or reused?
- (15) What are potential bottlenecks in the inmate moving process? What alternatives can resolve them?
- (16) How and when should the public be informed of the move? Also, when should law enforcement agencies and inmates on work release be told?

Orientation and Training Task Force

- (1) Will training be based upon constitutional issues, statutes, and standards? Will the policy and procedure manual be emphasized during training?
- (2) Have other task forces had input into training?
- (3) Has the community been kept informed of the transition? (This provides an excellent opportunity to share your system with them.)
- (4) Are staff knowledgeable of and comfortable with the new equipment? Facility?
- (5) Are staff prepared to operate the facility on all days of the week, on all shifts, and in the absence of those who "really" know the building?
- (6) Has every detail of the operation been field tested prior to receiving inmates?
- (7) What is the budget for paying trainers, and for paying staff to be trained?

- (8) How will staff be trained when the existing facility must still be operated? Will you run staff short, pay overtime, hire additional or temporary help?
- (9) Has training been coordinated with employment of new personnel?
- (10) Have outside agencies that use the facility been oriented to it? To changes in policies and procedures?
- (11) Where will training take place? Is equipment available to deliver training?
- (12) When should training be started?
- (13) What portions of training must be conducted on-site in the new facility?
- (14) How much training can be conducted via large orientation sessions, audio-visual presentations, or written materials?
- (15) Should the transition team conduct training, or should line staff or supervisors be used?

APPENDIX D
SOURCES OF TECHNICAL ASSISTANCE AND TRANSITION INFORMATION

There are many sources of information and help for agencies opening a new correctional facility. Much of this help is free to the user and offered to improve the quality of the transition process.

This appendix provides an overview of the kinds of available resources. Two kinds of resources are listed here:

- Agencies that offer help in the form of advice, counseling, or technical assistance; and
- Sources that offer printed or other information.<1>

Technical Assistance

A variety of governmental, professional, and charitable organizations offer technical assistance and other less formal help to correctional agencies. Some of these services are paid for by taxes, charity, or membership dues. For others, there may be a small fee, generally nominal in relation to the services performed.

California Board of Corrections

600 Bercut Drive
Sacramento, CA 95814
Telephone: (916) 445-5073

The State Board of Corrections is a major resource in almost all areas of the needs assessment process. The Board is quite familiar with a variety of jail operations as a result of its bi-annual inspections. It can supply help in understanding the steps involved in the correctional planning process, including technical questions about data gathering and analysis. The Board can provide examples of how other agencies have handled common transition problems and can usually recommend contacts who would be willing to share their experiences.

Committee on Accreditation for Corrections

American Correctional Association
6110 Executive Boulevard
Suite 750
Rockville, MD 20852
Telephone: (301) 770-3097

The American Correctional Association's Committee on Accreditation for Corrections has promulgated standards for adult correctional facilities and adult local detention facilities. It also offers an accreditation system for jails or other correctional institutions that wish to document their success in meeting standards.

<1> Most of the listings that follow were compiled for the California Board of Corrections by Farbstein/Williams & Associates.

The National Institute of Corrections

The National Institute of Corrections (NIC) is a branch of the Federal Bureau of Prisons (Department of Justice) whose mission is to provide training and technical assistance to corrections systems around the country.

NIC will respond to specific requests for assistance and may provide small grants for certain purposes. In addition, NIC offers several training programs that may help considerably with planning efforts. NIC is composed of four divisions, two of which are especially useful in transition planning: the Jail Division and the Prison Division.

NIC Jail Division

1790 30th Street
Suite 140
Boulder, CO 80301
Telephone: (303) 497-6700

The Jail Division's most notable training program is called "Planning of New Institutions"--or "PONI" for short. PONI consists of two phases. The first phase is an intensive, one-day, on-site meeting with many of the people who would eventually comprise the transition team. An overview of jail planning issues is combined with identifying--and making a commitment to solving--major problems. The second phase, also held on-site, involves a one and one-half to three day working session for three to five county representatives who can learn in greater depth how to follow through on the facility planning and transition process.

Other training programs that may be of interest include "Jail Design Review and Transition" held three times a year in Boulder, "County and Corrections," which focuses on the county's role in providing correctional services; "Management Training," which covers techniques of achieving effective jail organizations, and "Legal Issues," which explores state and national standards, constitutional requirements, and numerous other legal issues.

NIC Prison Division

320 First Street, NW
Washington, DC 20534
Telephone: (202) 724-8300

The Prison Division offers several programs pertinent to opening a new facility. It conducts a one-week seminar on architectural design and a one-week seminar on construction management. In addition, it works with the Jail Division to extend the PONI program to prison administrators.

National Sheriffs' Association

1250 Connecticut Avenue, NW
Washington, DC 20036
Telephone: (202) 872-0422

The National Sheriffs' Association audit system can assist with evaluations of jail facilities. Compliance with ACA operation and design standards is stressed, and methods for organizing efforts to solve problems

are suggested. If technical assistance is requested, practical suggestions for improvement will be offered.

Pretrial Services Resource Center

918 F Street, NW
Suite 500
Washington, DC 20004
Telephone: (202) 638-3080

The Pretrial Services Resource Center, funded by several federal agencies, provides a number of services that could be useful to your county as it examines its own pretrial practices and considers alternatives to incarceration. Services include references, publications, technical assistance, and training.

In addition to these agencies, there are a number of private organizations that provide technical assistance with transition. These organizations can be identified through the NIC Information Center.

Information

The following agencies are valuable sources of information on a variety of subjects related to corrections and criminal justice. The range of topics and services is indicated for each source.

American Bar Association (ABA)

1800 M Street
Washington, DC 20036
Telephone: (202) 331-2295

The ABA publishes the Association's standards as well as booklets reporting ABA studies of the costs of alternative programs and other topics.

American Correctional Association (ACA)

4321 Hartwick Road, Suite L-208
College Park, MD 20740
Telephone: (301) 864-1070

The ACA publishes directories of correctional agencies and a variety of other documents on corrections topics.

American Institute of Architects (AIA)

Committee on Architecture for Justice
1735 New York Avenue
Washington, DC 20006
Telephone: (202) 626-7300

The Committee on Architecture for Justice occasionally publishes documents on jail and justice facility design. One of these, the 1980 Design Resource File: Planning Justice Facilities, is a particularly valuable reference. Documents are available through the AIA Publications Office, which also offers other publications on facility development.

National Association of Counties

Criminal Justice Program
1735 New York Avenue
Washington, DC 20006
Telephone: (202) 785-9577

The National Association of Counties has published a series of pamphlets on correctional and criminal justice issues from the point of view of county citizens and governments.

National Criminal Justice Reference Service (NCJRS)

User Services
Box 6000
Rockville, MD 20850
Telephone: (800) 851-3420

Sponsored by the National Institute of Justice, the NCJRS publishes the monthly "Selective Notification of Information," available upon request to help agencies keep abreast of a variety of criminal justice topics as information is published. NCJRS will also conduct literature searches and supply abstracts of books and articles on particular subjects. (There may be a fee for the latter service.)

National Fire Protection Association (NFPA)

Battery Marsh Park
Quincy, MA 02269
Telephone: (617) 328-9290

The NFPA publishes the Life Safety Code Handbook, which covers all aspects of building design for fire safety, including a special section on correctional institutions. NFPA also provides information and training on fire safety for corrections.

National Institute of Corrections/National Information Center

1790 30th Street
Room 314
Boulder, CO 80301
Telephone: (303) 444-1101

The NIC National Information Center maintains a comprehensive collection of documents on all facets of corrections. The center usually will help agencies find information on specific topics and provide a copy of materials other than books.

National Sheriffs' Association

1250 Connecticut Avenue, NW

Washington, DC 20036

Telephone: (202) 872-0422

The National Sheriffs' Association publishes a series of pamphlets on jail management, including one on jail architecture and a more recent one on guidelines for planning a detention facility.

APPENDIX E
PREPARATION OF TASK FORCE ACTION PLANS

An action plan is a short-range plan that defines the activities needed to accomplish an intended outcome, responsibility for those activities, and a completion date. In most instances, individual task forces will prepare their own action plans, which will then be incorporated into a comprehensive transition plan.

There are six key steps in developing an action plan:

Step 1: Define the Specific Transition Issue or Problem

This first step is to describe the needs and impacts of a particular issue or problem on your agency's transition process. This activity may point out that there are in reality several considerations requiring individualized responses. For example, you may believe that delay in access to your new facility will impede only your shakedown process when it may also affect on-site training, identification of furniture requirements, etc.

Step 2: Determine Transition Objectives

Early in the transition process, you should have developed a transition mission statement and corresponding goals and objectives. This step requires you to determine the activities necessary to address each objective.

Step 3: Describe the Ideal Solution

In this step you are asked to describe the best possible solution to each problem or issue, while stretching your agency's limits possibly past its sources. This description should include the activities necessary to achieve the solution.

Step 4: Identify Alternative Solutions

This fourth step involves identification of alternative solutions and assessment of their impacts on the transition process. The assessment should also include the obstacles each alternative may encounter as well as the resources required to implement it successfully.

Step 5: Recommend the Most Appropriate Solution

Based on your work in the previous four steps, you will be able to recommend the alternative best suited to resolution of the transition problem or issue. This step is essential if you are submitting your recommendation(s) to a higher level manager for approval of the recommendation(s) and associated activities.

Step 6: Prepare the Action Agenda

This final step involves the development of an agenda for your action plan. Your action agenda should spell out the activities necessary to accomplish each task. It should also identify the responsible individual and completion date for each activity. A blank action plan is presented on the next page. This form can be copied and used to prepare your action agenda.

FACILITY TRANSITION ACTION PLAN

Agency: _____

Transition Area Number: _____

Transition Area: _____

Area Manager: _____

Task Number	Task	Person(s) Responsible	Date Initiated	Scheduled Completion Date	Date Completed	Resources/Comments

APPENDIX F
DEVELOPMENT OF TRANSITION SCENARIOS<1>

An important task in the successful occupancy and initial operation of a new facility is the development of detailed scenarios describing the functions and activities to be performed there. This process is also important because scenarios serve as the foundation for writing policies and procedures and, eventually, post orders. The scenario development process involves a minimum of eight steps:

Step 1: List the functions and activities to be performed in the new facility.

This step should be completed by the transition team and/or task forces, using brainstorming or the Nominal Group Technique.

Brainstorming is the process of assembling key transition staff and requesting them to identify every pre-transition/transition activity they can think of. These are then recorded, duplications are combined and, finally, activities are ordered according to their importance to the overall transition process.

The Nominal Group Technique (NGT), in contrast, provides for more systematic feedback.<2> NGT identifies key transition activities through a structured but relatively uncomplicated process:

- Participants are divided into small groups (5 to 8 members), which maybe formed according to predetermined characteristics (position, experience, etc.).
- Members of each group spend approximately 15 minutes in silence, writing down independently as many potential transition problems as come to mind. Members should also identify an activity to resolve each problem.
- The group leader then asks participants, one at a time, to name one pair of problems and solutions on their lists, while a recorder lists each, exactly as stated, on a large flip chart.
- When all problems and activities have been named and listed, the recorder leads the group in a 30-minute discussion, addressing each pair of problems and activities separately. New problems and activities may be added to the list as a result of discussion.

<1> This appendix is excerpted from materials prepared by Gary Frank of Voorhis Associates, Inc.

<2> The Nominal Group Technique was developed by Dr. Andrew Van de Ven, a professor at the Wharton School of Economics, the University of Pennsylvania.

- Each participant is asked to identify the ten most important activities on the list and then rate them from 1 to 10 according to their perceived importance.
- Individual rankings are presented and tallied, and a group ranking of the ten most important transition activities is derived.
- Each group reports back to the general session, where an overall ranking of activities is obtained by presenting and tallying group ratings.

Step 2: Diagram each function or activity.

This involves a step-by-step analysis of all activities or functions via narrative scenarios, flow charts, or task time lines.

Step 3: Identify the users in the new facility.

This step requires an assessment of all individuals who are involved in a function or activity, not the recipients. Again, brainstorming and the nominal group technique are good methods to ensure everyone is included.

Step 4: Record the types of anticipated behaviors that are associated within each function or activity.

This step involves identifying the behaviors that occur as part of each function or activity, as well as their implications for the scenario. Important to this process is the determination of what behaviors and responses will differ in the new facility as a result of its design.

Step 5: Record the equipment and materials used in each function and activity.

This step is concerned with ensuring that the equipment and materials necessary to conduct each function and activity are or will be available. It will be helpful to answer the following three questions:

- Are the right equipment and materials present?
- Do they work as intended?
- Can they be altered or changed if necessary?

Step 6: Record facility policies, administrative rules, and other general information.

In completing the scenario development process, it is important to note whether existing policy is adequate or whether a new policy must be drafted to carry out the function or activity. In addition, this process will generate new rules and regulations, which should be recorded as they arise.

Step 7: Check the scenario on-site.

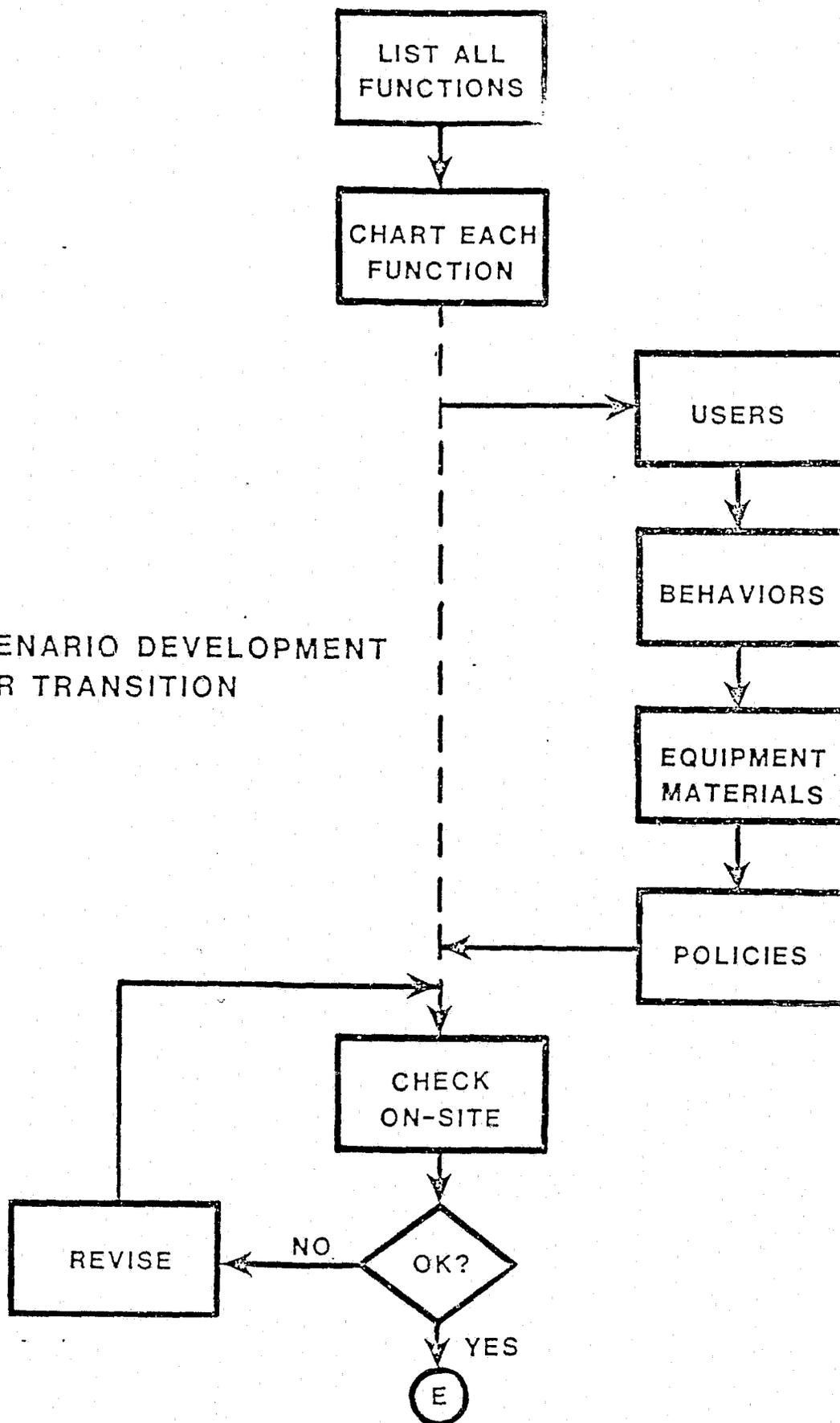
Once a scenario is complete, it should be checked on-site to ensure its effectiveness. In this step, the task force visits the new facility and walks through the scenario. At a minimum, Steps 3 through 6 should be checked to see whether the scenario produces the intended result. Other criteria for making such a judgment will become readily apparent to the task force in the process; for example, distance, time, access, and observability.

Step 8: Revise the scenario as necessary.

Depending on the outcome of Step 7, a scenario may need revision. Revision does not usually require completion of the entire development process, but only a simple accommodation. Any changes, even minor ones, should be documented. This is important because the steps of the scenario will become procedure and eventually the content of the new facility training program. You will want to ensure accuracy at this point.

The chart on the next page depicts the scenario development process in graphic form.

SCENARIO DEVELOPMENT
FOR TRANSITION



APPENDIX G
STAFFING AND MANPOWER ANALYSIS

The growing concern over the limited resources for financing the activities of local government requires a rational, systematic approach to manpower planning and control. One such technique is Staffing and Manpower Analysis, which involves at least two distinct processes:

- The calculation of manpower requirements to support the established staffing patterns; and
- The development of a staffing pattern that reflects the type and level of staffing needed to accomplish the management objectives arrived at earlier in the transition process.

Your new facility will be required to provide around-the-clock services, 365 days a year. As such, the 40-hour week presents some practical management problems, such as determining personnel levels and scheduling shifts. Staffing and Manpower Analysis is designed to permit precise determination of your manpower requirements. Essential to the process, however, is the development of a manpower relief standard.

Calculation of Estimated On-Duty Days

A base figure of 365 days, representing the number of days in the fiscal planning period, serves as a starting point. But since every employee does not work 365 days, the days that the average employee will not be available for duty must be subtracted from the base figure. The figures in the example below illustrate this process.

Calculation of Average Estimated On-Duty Days
for a Sample Correctional Facility

Planning Base in Days		365
Normal Days Off	104	
Holidays	10	
Annual Leave	10	
Sick Leave	12	
Training Leave	5	
Total Average Off-Duty Days		<u>-141</u>
Estimated On-Duty Days, Correctional and Noncorrectional staff		224

The off-duty days listed in the example are defined as follows:

- **Normal Days Off.** It is assumed that each employee will be authorized to take two days off each week, or a total of 104 calendar days annually.

- **Holidays.** Whether an employee is actually off duty on an authorized holiday or is paid overtime or given compensatory time off for working is of little consequence. Sufficient personnel and/or funds must be budgeted to compensate for the average 10 authorized holidays observed in the example.
- **Annual Leave/Vacation.** The amount of leave taken by individual staff members may vary according to length of service and other factors. Leave records provide sufficient information for estimating the average days off taken for this purpose, which has been determined to be 10 days for both correctional officer staff and non-custodial personnel.
- **Sick Leave.** This factor can also be determined by a brief analysis of available records. The average of 12 days is used for planning purposes and will vary among the different age groups represented in the work unit.
- **Training Leave.** Estimated at five days per year for all staff.

Subtracting the total off-duty days from the base figure gives an estimate of the number of days the "average" employee will actually be available for duty. In this example, 141 off-duty days is subtracted from the base of 365 to produce an estimate of 224 on-duty days for correctional and noncorrectional personnel.

Calculation of Full Coverage Factor

The next logical question is this: if a given position must be manned 365 days each year, how many personnel must actually be included in the personnel services budget to ensure full coverage? The following formula is applied:

$$\frac{\text{Number of manned days per week}}{\text{Estimated number of on-duty days}} = \text{full coverage factor}$$

On the basis of the data in this example, this formula would yield a full coverage factor of 1.63. This means that in order to achieve full coverage for any single position to be staffed 365 days a year, the equivalent of 1.63 personnel must actually be included in the facility's operational budget.

Job Analysis

Once you have determined the full-coverage factor for your new facility, you can apply it to the facility's staffing pattern. Your staffing pattern should be prepared prior to this activity and be based on a thorough job analysis for each position.

Job analysis is a procedure used to identify the requirements for performing specific jobs at your new facility. Job analysis has two distinct components:

- (1) Job Analysis--the process of describing a particular job in terms of its duties and tasks; and
- (2) Task Analysis--the process of breaking down each task into steps, identifying the skills and knowledge needed to properly perform them.

A description and definition of the key elements of job analysis are provided below:

Job: A job is defined as a designated worker position, which is usually identified by a specific title and description. Examples of jobs are correctional officer, facility administrator, food service supervisor, and booking officer.

Duty: A duty is defined as a broad area of responsibility assigned to a specific job. A job usually has more than one duty. Duties assigned to a correctional officer, for instance, might include processing incoming prisoners, escorting inmates to and from court, and providing first aid.

Task: A task is defined as a specific, identifiable unit of work, which is usually performed by a single worker. Tasks have specific beginnings and endings. Examples of tasks include placing inmates in a holding cell, reviewing inmate commitment papers, and photographing prisoners.

Task Step: Each task should be broken down into a series of single actions necessary to complete a task. A step is the smallest practical unit of work. For instance, task steps associated with photographing prisoners might include positioning prisoners in front of a camera, instructing a prisoner to maintain a stance, and setting an ID plate in place.

In summary, a job is composed of duties, a duty is composed of tasks, and a task is composed of steps.

Job analysis allows you to thoroughly analyze all aspects of your new facility's operations, consider duties that must be assigned to staff, and to divide those duties in a consistent manner.

APPENDIX H
MAJOR APPROACHES TO INMATE SUPERVISION

This appendix discusses the two most prominent forms of inmate supervision. While neither may address your proposed supervision system exactly, one or the other should be similar enough to adapt for your own purposes.

The majority of new correctional facilities are being designed as podular institutions employing a supervision approach based upon either direct or indirect/remote supervision. The podular concept calls for the configuration of generally 40 to 50 prisoner rooms or cells around a shared living area. This design provides a view of all prisoner housing areas from a central point in the unit, thus improving inmate supervision.

The most prominent use of the podular design utilizes an indirect mode of prisoner supervision. This approach facilitates a reactive management style since it responds to prisoner problems rather than attempts to anticipate and prevent them. Staff are assigned to secure observation booths, where they have minimal direct contact with prisoners, but are in a position to observe behaviors and request assistance when prisoners act out. The indirect management strategy also controls prisoner movement and behavior by employing security doors automatically operated from the secure control room. Similarly, cell and day rooms are usually equipped with vandal-proof equipment and furnishings.

The second inmate management approach, direct supervision or "new generation," is considered a proactive strategy because it attempts to prevent misconduct before it happens. It relies on staff capability to supervise prisoners face to face. Each officer is responsible for controlling prisoner behavior in his/her unit, while also minimizing tension. Management's role is to structure both the design and the environment to facilitate staff ability to demonstrate proactive control.

A direct supervision facility is generally less expensive to construct when compared with an indirect/remote supervision facility, primarily because its housing units are equipped with commercial grade fixtures and furnishings rather than costly indestructible security equipment. In addition, maintenance costs are assumed to be lower because most destructive prisoner actions are effectively controlled at their outset.

Specific principles for managing a direct supervision facility have been developed, which, when applied, facilitate the "open" design of the institution so that consistent positive prisoner responses result.

Proponents of the direct supervision approach have lauded its numerous advantages since its inception. Specifically, they have claimed that direct supervision demonstrates the following advantages:

- It minimizes prisoner assaults, both physical and sexual;
- It thwarts suicides and suicide attempts;
- It reduces the introduction of contraband;
- It minimizes the likelihood of prisoner disturbances;

- It reduces the ability of prisoners to commit vandalistic acts;
- It requires less costly equipment and furnishings; and
- It is less staff intensive, thus reducing overall personnel costs.

Appendix I

Responsibility Charting

The roles of key actors in the transition process may sometimes appear ambiguous or overlapping, with the result that certain individuals feel uninvolved in or unaccountable for planning decisions. Such feelings, in turn, may lead to ineffective transition efforts or resistance to change. Consequently, it is important during the pre-transition planning phase to delineate all roles and responsibilities. An effective means of clarifying the interactional relationships among participants is responsibility charting.

Responsibility charting is a powerful technique for establishing the roles of participants in specific decisions. It helps identify decisions in which roles are ambiguous, brings into the open differences related to decision-making involvement, and resolves discrepancies through the efforts of the individuals affected. The end result is a systematic description of decisions that have to be made and a clear definition of the role that each person should play in relation to these decisions.

Responsibility charting can be viewed as a process composed of five steps.

Step 1: Identify key decisions and relevant participants.

The initial step in this process is to determine what decisions must be made during transition. This can be accomplished by soliciting ideas from transition team members and/or task force leaders. This group will most likely generate a large number of decisions. On close inspection, some of these will be found to overlap, while others essentially duplicate one another. Such replication should be discussed and eliminated, resulting in a list of discrete decisions. The decisions should be worded so as to exclude all action verbs or any other clues that may influence assignment of responsibility or suggest the perspective of the agency's administration. At this point, it is helpful to group the decisions into major areas such as those used in this manual (e.g., administrative, security, training, and move logistics). A similar technique can be employed to create a list of all individuals who may in any way be involved in transition decision-making.

The lists of decisions and participants or actors should then be entered on a series of responsibility charts, one for each major area, as demonstrated below.

<1> Much of the material in this appendix was drawn from T. Gilmore and R. Nelson's "Responsibility Charting in Corrections," Federal Probation (June 1978), to which the reader is referred for additional information and examples.

RESPONSIBILITY CHART

New Facility Security Issues

ACTORS DECISIONS	Agency Administrator	Transition Coordinator	Transition Coordinating Committee	Chair, Security Task Force	Representative, County Commission	Etc.
Determination of Goals and Objectives						
Approach to Inmate Supervision						
Development of Fire Plan						
Preparation of Intake Policies and Procedures						
Etc.						

Step 2: Develop a common language to describe degrees of participation.

The next step in responsibility charting is to develop terms that clearly convey the degrees of responsibility or participation associated with decision-making. To the extent possible, these should be terms that are widely and similarly understood within the agency. As a starting place for developing agency-specific language, the following four terms can be used:

Responsible (R)--the person who takes the initiative in a particular area, devises alternatives, analyzes situations, and makes an initial recommendation.

Approve (A)--a person who either endorses or vetoes a decision before it is effective, or chooses from alternatives developed by the "R" actor.

Consult (C)--a person who is conferred with prior to a final decision, but has no veto power.

Informed (I)--a person who must be notified following a decision, but need not be consulted.

The symbols for these terms, along with others identified by the agency, will eventually be entered on the responsibility charts to indicate degree of

involvement in each decision. For example, in the chart presented on page 106, an "R" could be assigned to the square bounded by the chairperson of the security task force and the decision to develop goals and objectives, while the "A" actor in this decision would likely be the agency administrator. A square that is left blank denotes a lack of involvement by an actor in a particular decision. It is also useful to have a "DK" (Don't Know) symbol to differentiate between ignorance and non-involvement.

Step 3: Vote on perceptions of decision-making involvement and tabulate results.

Once responsibility charts have been outlined and responsibility levels delineated, individuals involved in the transition process must jointly determine who should be involved in each decision and at what level of responsibility. An effective means of reaching these determinations is anonymous balloting, which lessens undue influence by peers or supervisors. Prior to balloting, participants should review each decision to eliminate confusion. Individuals can then fill in blank copies of responsibility charts, using the agreed-upon symbols.

Step 4: Solicit and discuss feedback on the balloting, with the aim of achieving consensus.

In most instances, balloting will reveal discrepancies among individuals' views of who should play which roles in transition decision-making. These should be noted on draft versions of the responsibility charts so that people can compare their responses with those of others. The partially completed chart below presents one way of recording individuals' responses.

DRAFT RESPONSIBILITY CHART

New Facility Security Issues

ACTORS	Agency Administrator	Transition Coordinator	Transition Coordinating Committee	Chair, Security Task Force	Representative, County Commission
Development of Goals and Objectives	R 1 A 7 C 3 I 0	2 2 1 0	3 1 4 2	6 0 2 0	0 0 2 10

Participants should then discuss the differing perceptions, striving to achieve consensus on actors' levels of responsibility. When disagreement persists, it is helpful to present specific examples, real or hypothetical, to illuminate important issues. After all views have been expressed, either the group should reach agreement on actors' roles in each decision or the top manager should specify the varying responsibilities. In either event, the mechanisms for resolution should be clearly specified in advance so that outcomes will be accepted by all. The decision-making roles ultimately assigned to each actor can then be entered on the responsibility charts.

Step 5: Enact agreed-upon roles and responsibilities, affording opportunity for follow-up evaluation.

The charts resulting from the previous steps serve as guides in carrying out transition functions, tasks, or activities. They provide an explicit statement of participants' involvement in all key decision-making activities. Equally important, they establish standards for evaluating actual performance. The agency's administrator, or designee, should periodically check to ensure that everyone is fulfilling his or her prescribed roles, resolving any problems or confusion encountered.

Responsibility charting, thus, offers an important tool for structuring and implementing the transition process. It not only identifies crucial decisions and responsible actors, but also enhances accountability, a factor consequential to any successful transition.