



**RESOURCE MANUAL FOR**

# TRANSITION TO A NEW JAIL



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## Foreword

The *Resource Manual for Transition to a New Jail* describes a process for moving into a new detention facility and introduces different philosophical approaches to the facility's operations. It provides guidelines for developing a transition team and details the tasks associated with a successful transition effort.

Transition is not simply a matter of moving inmates and staff to a new facility. It is a complex set of tasks that requires staff and other resources working to ensure the move is successful. The transition process described includes steps for transition management; construction coordination; staffing; document development; training; purchase of furniture, fixtures, equipment, and supplies; and the actual logistics of the move to the new facility.

The process outlined in this document is the culmination of many years of experience and study. Practitioners who participated in their own agency transitions provided original materials and information that have allowed the National Institute of Corrections (NIC) to conduct training in the transition process (How To Open a New Institution). The information contained herein provides a foundation for agencies to plan properly their transition to a new facility.

We hope this resource document will assist agencies starting the process of planning for a successful transition to a new detention facility. We invite agencies to contact the NIC Jails Division for additional assistance, if needed.

**Morris L. Thigpen**

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## Preface

When a jurisdiction decides to make a major change to its jail facility, it commits to one of the most significant planning and construction projects it will ever undertake. Many jurisdictions focus on the capital aspects of these projects; they miss the essential operational aspects. It is not enough to “build the building.” Jurisdictions must also “build” their new operations as the buildings come out of the ground. When the buildings are complete, jurisdictions must merge their new operational plans with the new buildings to create a smooth transition into the new jail.

The dictionary defines “transition” as “the act of passing from one stage to the next,” “an event that results in a transformation,” and a “change from one place, state, subject, or stage to another.” In this manual, transition means all of the above. It is far more than a move from one building to another. Because jails are constructed infrequently and because their operational style tends to be driven by their design, a new jail almost always means a significant shift in how the agency operates the facility. This transformation is the heart of transition. These changes do not occur in and of themselves; they are conscious choices that are planned, developed, implemented, and nurtured through the transition process.

Transition is often presented as “the step in the planning process that follows construction.” In reality, transition begins as the project begins. During planning and programming, the operational philosophy is defined and new operational practices are identified. These are actually the first steps of transition. Then, many jurisdictions begin transition in a more significant way at about the time construction begins.

Regardless of where you are in your facility development process, in spite of how much—or how little—time remains until you occupy your new jail facility, this manual will be useful. Although the transition tasks are described for a fully staffed transition team with enough time to complete the work prior to occupancy, we have also attempted to offer strategies for transition in a less

than perfect world. We recognize that each jurisdiction is unique and that projects can be structured in many ways. These differences influence who does what in any specific project. They can shape the tasks the transition team completes and its role in the process.

As you develop and implement your transition project, recognize that this time offers a unique potential for positive change and for addressing issues within your organization. What is done to construct the new facility and develop the new operations will shape the environment for both staff and inmates. It will have a significant impact on your organization and your jurisdiction. Transition is both a challenge and an opportunity worth taking.

**Gail Elias**

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John Milosovich and Gail Elias who took the ideas and some of their own, and formed them into this manual.

And last but not least, the many practitioners in the corrections and criminal justice planning fields who have shared their transition experiences, both positive and negative, with NIC and with other agencies undergoing the same process.



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**CHAPTER ONE**



Introduction

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## CHAPTER ONE

# Introduction

### How To Use This Manual

The *Resource Manual for Transition to a New Jail* was created to assist users/owners of correctional facilities and transition teams who oversee building, opening, and moving into a new jail facility. This manual will help you with every aspect of the transition process from construction to staffing, training, and orientation to acquiring furniture, fixtures, equipment, and supplies (FF&E) to moving into the new jail.

The manual is divided into nine chapters, each of which provides detailed information that will help the user/owner with each function necessary for a successful transition:

- Chapter one, Introduction, provides an overview of the transition process, including the purpose of transition, the principles that guide transition, the need for transition, how transition fits with the other steps in the facility development process, and the goals and outcomes of transition.
- Chapter two, Transition Management, discusses how to organize the transition process, including selecting a transition coordinator and transition team, developing a transition budget, and creating an action plan for accomplishing each of the tasks detailed in the succeeding chapters.
- Chapter three, Construction, describes transition duties related to facility construction.
- Chapter four, Staff/Human Resources, reviews staffing and other personnel issues.
- Chapter five, Document Development, analyzes both general and individual requirements for documents (e.g., policies and procedures, post orders, schedules) that must be developed during transition.
- Chapter six, Training and Orientation, details typical transition training activities, including training and orientation for staff, inmates, and other users of the jail.

- Chapter seven, Furniture, Fixtures, Equipment, and Supplies, outlines transition tasks related to acquiring FF&E, including selection, purchasing, receipt, and installation.
- Chapter eight, Move Logistics, identifies the tasks associated with the actual move, including pre-move activities, the move itself, and activities related to the continued operation or shutdown of the old facility and closing the transition office.
- Chapter nine, Transition Themes, discusses strategies for managing change and building community relations.

Appendixes to the chapters can be found at the end of the individual chapters. These appendixes include terms lists; sample forms, checklists, and worksheets for the transition team to use in planning and organizing the transition; and sample formats for selected documentation that the transition team will need to prepare.

This manual uses the term “jurisdiction” to refer to the *governmental entity*, i.e., a city, county, or state, that operates the facility. The term “department” refers to the *agency that oversees the facility*, i.e., the sheriff’s department or department of corrections.

To help users get started, the remainder of this chapter discusses what transition is, what it is designed to accomplish, what principles underlie it, why transition is essential, and where it fits into the facility development and the contributions that the other steps in the process make to transition, and what its outcomes are.

## What Is Transition?

During the marathon process of planning and designing a new jail or prison, jurisdictions focus their financial, political, and human resources on one goal—a new building. Although this focus is natural, it is equally essential for jurisdictions to “build” the new facility’s operations. “Building the new operation” is the task of “transition.”

Most jurisdictions build new facilities infrequently. As a result, they do not know what to expect when they begin planning for a new building, except by way of “war stories” from other jurisdictions that have gone through the process. Jurisdictions tend to think of transition as moving to the new facility, like moving to a new home. Although moving to a new jail is similar in some ways to moving into a new home—both involve moving a lot of possessions and fixing last-minute details that the contractor didn’t get quite right—the differences are great. Many of these differences stem from the fact that operations must continue in the old jail during the move. Corrections personnel must still receive and release inmates, serve meals, and respond to medical emergencies. For most of us, a move doesn’t significantly change how we perform the basic functions we carry out in our homes. We don’t supervise our children or cook differently. We don’t have a host of new family members who are joining us for the first time and who don’t know how we do things, and we don’t typically have family members who are intent on exploiting the situation to their own advantage with potentially dangerous results.

## What Is Transition Meant To Do?

Transition involves a complex set of tasks that must begin before the move and often continue for some time afterward. It is both the anticipation and preparation that will make the new facility effective when it opens.

Transition has three main purposes:

- To develop and implement an operational plan.
- To teach staff how to operate the new facility.
- To anticipate and resolve building problems before occupancy.

Imagine you are starting a totally new institution. If you had never operated a jail before, what would you need to open the doors and start accepting prisoners? Although the building in which you will operate is essential, think of all the other things you would need. Those other things are the products of transition. It is essential that all of the tasks necessary for a smooth transition be identified and completed. To do so requires a tremendous amount of coordination among those who work in, use, service, and visit the jail.

Transition implies change. Many people in corrections think of it only as a change from an old to a new facility. However, it is as much a change of operations as a change of building, even if the jurisdiction has essentially replicated its current building. The new facility will incorporate new technology and equipment, and it is likely that its components and spaces will be arranged differently. Therefore, facility operations will change even if the jurisdiction's basic philosophy and approach to inmate management

remain constant. More likely, both the philosophy and style of inmate management will change to some degree, making the operational changes even more significant.

## What Principles Guide Transition?

Transition is based on underlying principles about change, human behavior, and good correctional practice that include the following:

- People support what they help create. Considerable evidence shows that people resist change, but support for change increases when they have an opportunity to participate in the process. Transition helps build support by involving a variety of individuals and groups in the change.
- A new building is only a part of the solution. A principle of jail operations is that safety and security come from the effective interaction of three components: a strong physical plant, well-trained staff, and effective and appropriately used technology. In older facilities, technology is seldom current and the physical plant has weaknesses. A competent well-trained staff provides much of the security. People often assume that replacing the physical plant will somehow eliminate the need for the other two components. Nothing could be further from the truth. All three will be necessary for effective future operations.
- Transition provides jurisdictions with a “once in a lifetime” opportunity to shape the future and significantly improve jail operations.

Transition provides jurisdictions with a “once in a lifetime” opportunity to shape the future and significantly improve jail operations.

## Why Is Transition Essential?

Transition is essential for many reasons:

- No matter how skilled in current operations staff are, they will not know where everything is and how it works in the new facility. Beyond that, other users, e.g., other law enforcement agencies, bonding agencies, and the public, will need to know how those parts of the facility they interact with will work.
- No matter how good the architect and the contractor are, some things will not work as anticipated when the facility is finished and will need fine-tuning. You need to know what these are before you move into the new jail. It's not good to discover after the prisoners are moved in that the electronic security system isn't working. Adequate testing of all building systems (called shakedowns in this manual) and searching the facility will minimize the potential for escapes and other potentially dangerous and embarrassing incidents.
- Rumors about the new facility will arise among staff and inmates. The unknown can create anxiety for everyone. Part of the transition process is to provide the right amount (and kind) of information to the right people to reduce the level of tension associated with the move.
- Opening a new facility often requires hiring new staff. This new staff has to be integrated with current employees in a way that makes them all competent in the new operation and promotes consistency.
- Finally, like much of what is done in corrections, a good transition

process should minimize future liability, not only during the transition and initial occupancy but also for the life of the facility. The work done during transition to develop policies and procedures, create post orders, and train staff goes a long way in protecting long-term interests.

## How Does Transition Fit in the Facility Development Process?

Transition is one of the five stages of the facility development process, as illustrated by the flowchart (exhibit 1-1):

- **Planning.** This comprises all the activities that occur before design. These typically include needs assessment, economic feasibility analysis, and architectural programming and planning.
- **Site analysis.** This comprises all the activities involved with evaluating and selecting a site.
- **Design.** This comprises all the activities required to translate the functions and spaces defined in the previous steps into a physical form. It creates the documents from which the contractor bids the job.
- **Construction.** This is the process of building the facility.
- **Transition.** This is the process of planning, developing, and integrating the new operation with the building.

Facility development is often presented as a linear, multistep process in which one activity occurs after the other. Although many later steps depend on the results of previous steps, at least some of this process must be concurrent. Transition cannot wait until

No matter how skilled in current operations staff are, they will not know where everything is and how it works in the new facility.



construction is complete. Activities that occur during the planning and design stages are the foundation on which transition is built.

To some degree, the arrows in the first row of exhibit 1–1 represent the *facility* development process and the arrows in the second row represent the *operational* development process.

As exhibit 1–1 illustrates, transition is linked to all of the previous (and concurrent) activities in the facility development process. These links are particularly important for generating the documentation that the transition team must rely on to perform its functions and develop its own documentation for the facility’s operations (see chapter five):

- Planning produces a mission statement for the facility that directs its design and operating philosophy. Materials developed during transition should be consistent with this philosophy.

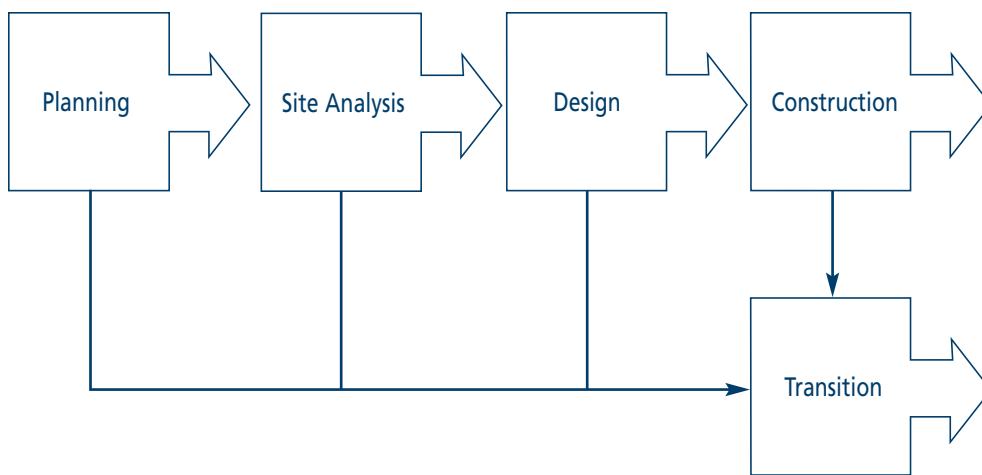
- Programming provides a statement of the functions carried out in the new facility and a staffing analysis. Statements of how various functions should be carried out form the basis of detailed scenarios to be developed.
- Design provides the floor plans, specifications, and other construction documents, which define in words and drawings how the facility will be constructed and what equipment and materials will be required.
- Construction produces other types of drawings that will be important resources for transition as well as the facility itself.

Ideally, transition is a 12- to 18-month process. However, many jurisdictions must complete the transition process in far less time. If that is the case, there are three key issues for transition:

- How can tasks be prioritized into those that must be done before occupancy and those that can be

Planning produces a mission statement for the facility that directs its design and operating philosophy.

**Exhibit 1–1. Facility Development Process**



Use individual skills needed for transition without regard to title, position, or rank.

deferred without jeopardizing the safety, security, and integrity of the institution?

- How can more resources be made available for transition to accomplish as much as possible before occupancy?
- Is the situation so acute that occupancy should be deferred until the jurisdiction is better prepared?

Decisions about each of these key issues must be made by the department, preferably with the support of the county administration.

### **What Are the Outcomes of Transition?**

As mentioned earlier, the desired outcomes of the transition process fall into three categories:

- To develop and implement an operational plan.
- To teach staff how to operate the new facility.
- To anticipate and resolve building problems before occupancy.

In addition to the specific outcomes related to the operation of the new jail, a well-designed and well-executed transition process realizes goals and byproducts that improve the operation of the department as a whole. The following are the goals of a typical transition process:

- To develop the skills and knowledge of the new jail's staff.
- To re-create and improve operations, starting with a clean slate.
- To anticipate and solve building and operational problems prior to opening.

- To include a wide range of users to promote ownership.
- To enhance the credibility of the jail as an equal partner within the department.
- To use individual skills needed for transition without regard to title, position, or rank.
- To recognize and plan for a smooth transition to the new facility for all inmates and staff, whether the staff is full time or part time.

Beneficial byproducts of transition for the department include the following:

- A cadre of highly skilled and more knowledgeable employees who are capable of taking on a variety of challenging assignments.
- Improved working relationships with a variety of agencies both inside and outside of government.

Because most communities construct a county jail only once every 50 to 100 years, transition provides a unique opportunity to do it right. Transition gives the criminal justice and corrections community a new opportunity to meet the needs of inmates, enhance public safety, and improve the entire criminal justice system.

### **What Comes Next?**

Now that you've had a brief exposure to transition, you may wonder how you're going to put together your department's approach to this challenging task. Chapter two, Transition Management, offers some suggestions on how to get started.

**CHAPTER TWO**



Transition  
Management



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## CHAPTER TWO

# Transition Management

This chapter begins with an overview of the individual transition tasks that will be discussed in greater detail in the remaining chapters of this manual. Following this general overview, the remainder of the chapter discusses the organization of the transition process in more detail, including organizing and housing the transition team, developing and following a transition budget, and developing an action plan.

### Transition Tasks

Transition tasks can be organized in various ways, but tend to fall into these seven groups:

- Organizing the transition team.
- Monitoring the construction process.
- Acquiring staff for the new operation.
- Developing the documents needed for the new operation.
- Training the staff in how to operate the new facility.
- Acquiring the furniture, fixtures, equipment, and supplies (FF&E) that are not part of the general contract.
- Planning the logistics of the move.

All of these tasks play a significant part in a successful transition, and a number are related to or depend on successful completion of previous tasks. They will not all take an equal amount of time and it is likely that each will have periods of ebb and flow. This chapter and each of the following chapters focuses on one of these primary tasks following the brief description below.

### Organizing the Transition Team

At a minimum, organizing the transition team involves the following tasks:

- Selecting the transition coordinator and transition team members.
- Requesting and obtaining the transition budget.

In the best of all possible worlds, transition teams would have all the time they need.

- Locating the transition office.
- Developing an overall transition plan and schedule.
- Identifying transition team training needs.
- Establishing a reporting structure.
- Identifying transition tasks.
- Prioritizing and assigning tasks.

The first group of transition tasks are about getting organized. This involves not only selecting the team members, but also developing the resources to support the team—such as a budget and office space. Because transition teams rarely come with the necessary skill sets fully developed, some training will likely be required. The individuals on the transition team will work closely together over an intense period, which can lead to difficulties if team members do not understand each other's work styles and have no mechanism to resolve issues that arise. Therefore, it may be a good idea to kick off transition with a team-building activity.

Once the transition team is organized, the next series of tasks is to develop an overall transition plan, including a schedule. This often takes the form of action planning to identify all required tasks and their time sequence and due dates, the resources needed to complete the tasks, and who has overall responsibility for completing the tasks.

In the best of all possible worlds, transition teams would have all the time they need to do all of the transition tasks before occupancy of the building. However, sometimes reality diverges from the ideal. As a result, transition teams need to focus first on those tasks that must be done before occupancy and defer those that can occur after the

building is operational. In prioritizing tasks, it is important to focus on those tasks that have implications for training, affect the safety and security of the facility and its staff, or require long lead times for acquiring essential equipment and supplies.

### Monitoring the Construction Process

At a minimum, monitoring the construction process involves the following tasks:

- **Determining/clarifying the roles of the transition team's construction specialist, the owner's representative or project manager, and the contractor.** The scope of this transition task can vary widely from jurisdiction to jurisdiction, depending on how the project is being managed. Even if the jurisdiction has a totally separate project management structure, the transition team will still play a role in monitoring construction activities. It is important to be very clear on what the transition team's role will be in monitoring the construction process and how input from the team can be integrated to enhance the construction process.
- **Clarifying when and how the transition team will gain access to the site.** One of the givens is that the transition team will need access to the site, not only for walkthroughs, but also for testing transition work products, such as scenarios and policies and procedures. Transition team members must learn how to behave while on the site to ensure that they do not create conflicts or safety issues.

- **Establishing a plan to gain access to shop drawings.** The transition team will need to put in place a process that will allow them to get shop drawings that are of particular interest to them. These will typically involve security-related items. In some cases, the team may want a copy of all shop drawings, particularly if it is not familiar enough with the project to determine which are important to them.
- **Securing and maintaining as-built drawings.** The transition team needs to ensure that the building contractor's drawings that describe how the facility is actually built are provided, stored, and secured for future use.
- **Preparing for the facility to be turned over to the jurisdiction.** As occupancy draws nearer, the transition team will be increasingly involved with construction. Team members typically participate in punchlists (a list of work to be corrected or completed by the contractor after substantial completion), walkthroughs, and the shakedown of equipment and systems in the facility.
- **Coordinating post-construction activities.** After the general contractor is finished, transition team members will need to coordinate various activities, including telephone and computer installation. The team also will likely be involved in followup warranty work.

### Hiring Staff

Jurisdictions sometimes underestimate the impact of transition on their personnel departments, and they differ significantly in how they approach completing the tasks that are discussed

in this section. Team members are likely to play a supporting role in this area—their participation will be essential. At a minimum, acquiring human resources to operate the new facility involves the following tasks:

- **Developing or updating a staffing analysis for the new facility.** If no staffing analysis has been completed, this will be the team's first order of business to ensure that the facility will have the necessary staff to operate. If a staffing study has been done, team members need to ensure that it is updated and verified based on the final design. Team members may need to develop several staffing studies: an initial occupancy study as well as a full-occupancy staffing analysis.
- **Developing a hiring plan.** Transition team members need to familiarize themselves with the normal hiring process and work with the department's and/or jurisdiction's human resource staff to identify the impact on the normal recruitment and selection process of the numbers of people who will have to be hired. Jurisdictions often find that the number of individuals to be screened and taken through the selection process can overwhelm normal resources. This may lead to either an increased role for the transition team in the recruitment and selection process or a modification of the process.
- **Modifying the recruitment and selection process, if required.** Together with human resource officials at both the department and jurisdiction levels, team members may need to modify the selection process to recruit, select, and hire

Probably the most time-consuming task in the transition process is developing the documents that are necessary for the new facility.

the number of personnel required for the new facility within the established timeline.

- **Participating in recruitment and selection activities.** Transition team members may be called on to take part in recruiting and selecting staff for the new facility.
- **Coordinating hiring and training activities.** The recruitment process must be coordinated with training. Transition team members who focus on training often discover challenges involved in providing the necessary training to current staff. As a result, one strategy involves hiring new staff early enough that they can fill in at the existing facility, which, in turn, increases the training that the new staff may require.

### Developing Documents

Probably the most time-consuming task in the transition process is developing the documents that are necessary for the new facility. Each of these documents fills a different need, but all are essential and all are related. At a minimum, developing transition documents involves the following tasks:

- **Developing scenarios for jail operations.** Scenarios are the first documents developed; they describe how different functions, such as receiving inmates, serving meals, and moving inmates for services, will occur in the new facility. Although scenarios are often written during pre-architectural planning, during transition they become more detailed.
- **Developing policies and procedures.** Policies and procedures are developed next. They are derived

from a variety of sources: the scenarios, existing policies and procedures, and standards. These documents form the basic way in which new operations are taught. Not all policies and procedures are equally important—and not all will change from your previous operations.

Procedures that have strong links to the physical plant, such as those for receiving inmates, are more likely to change with the move to a new facility than those that do not, such as those for conducting a disciplinary hearing. This allows some prioritization, but does not eliminate the need to review all policies and procedures.

- **Developing post orders.** Post orders tell staff all the things they must do at a specific post assignment. They summarize the activities that have been identified for that post in all of the policies and procedures.
- **Developing an inmate handbook.** The inmate handbook is the primary means of informing inmates about facility rules and procedures. Like the post orders, the inmate handbook is derived from policies and procedures.
- **Developing a master schedule.** The master schedule documents facility operations based on time of day and day of the week. It identifies when all inmate and staff activities occur and is a good way to test assumptions about when and where things will happen.

### Training

Jurisdictions often underestimate transition training needs, particularly when multiple sessions of the same training



must be provided to accommodate all those who need the training. Ultimately the training effort will involve the department and, potentially, the jurisdiction's training personnel, team members, and (frequently) supervisors in the new facility. Given the amount of training that will be needed, the jurisdiction may want to consider providing a training-for-trainers program to ensure staff will succeed in their training assignments. At a minimum, training involves the following tasks:

■ **Identifying training types.**

Potentially five different types of training may be needed:

- *Facility orientation* focuses on teaching a broad spectrum of individuals what they need to know about the facility. Training needs will vary by group, but everyone needs some basic orientation to the facility.
- *Document training* uses the policies and procedures developed by the transition team as a way of teaching the new operations.
- *Post order training* focuses on teaching staff who will work at a post how to use all of the equipment, access all of the spaces, and function effectively in their new area.
- *Simulations* provide an opportunity to test the effectiveness of procedures that require the interaction of inmates and staff; these activities typically involve considerable movement on the part of staff and inmates. Simulations also provide an opportunity to test the operational readiness of building systems and equipment.

– *Basic academy training* will be necessary for new hires.

- **Identifying groups requiring training.** The transition team needs to identify all of the groups that will need training. The facility has many users besides staff; these include inmates, user agencies, vendors, and visitors.
- **Developing a training schedule.** The team must develop a schedule of training events that takes into account when both new and old staff will be available for training.
- **Developing curriculums.** Although the team may draw on existing curriculums for some types of training, such as academy training, a great deal of facility-specific curriculum will need to be developed.
- **Identifying trainers.** The amount of training that typically must occur will exceed the resources of either the training division and/or the transition team. The team may need to identify potential trainers, such as supervisors, to teach other staff. These individuals may require “train-the-trainer” workshops to be effective. The team may also look outside the division or the department for some types of training.
- **Conducting training.** Training must be both conducted and documented.

### Acquiring FF&E

Correctional officials and staff often assume that they will be able to walk into the new facility after the contractor leaves and find everything they need to start operating. This is typically not the case. The contractor is responsible for building the facility and acquiring everything that is attached to

In transition, even “moving” is more than just getting from one place to another.

it. Unfortunately, many other things will be necessary. If you could turn your existing jail upside down and shake it, the items that would fall out are in the category of furniture, fixtures, and equipment. They are movable items, and the jurisdiction is typically responsible for acquiring them along with supplies. This becomes one of the specialized tasks of the transition team.

At a minimum, acquiring FF&E involves the following tasks:

- Defining which items are needed, the budget from which they will be purchased, and how they will be acquired.
- Evaluating, testing, and selecting (or recommending the selection of) FF&E items.
- Assisting in acquiring these items either through a bid process or by purchasing them directly through a government contract.
- Scheduling delivery to avoid or lessen the need for storage, receiving items, and either placing or supervising the placement of these items.
- Checking the condition of FF&E items and inventorying them.
- Identifying warranty start and end dates and maintaining the warranties.

This workload is not evenly distributed during transition. Initially, a significant amount of time must be invested in selecting items, and items that have a long lead time must be ordered early enough to ensure that they are at the new facility when needed. Team members will also be responsible for the security of these items if other arrangements have not been made with vendors.

## Planning Move Logistics

In transition, even “moving” is more than just getting from one place to another. Various activities must occur after the building is substantially complete but before the move. At a minimum, planning the logistics of the move involves the following tasks:

- **Developing a plan for the move.** Transition teams need to develop an overall plan for the move. Will it occur at one time or in phases? Who will move first and where? All of these relatively simple questions can be complicated by the need to keep both facilities operational for a period of time. Some transition teams may believe that they will have less to do if the old facility continues in operation after the new one is opened. However, that is not necessarily the case. For example, a significant renovation of the old facility may occur after the move to the new facility. Therefore, a good plan for the sequence of the move is essential to deal with this or other contingencies that may affect operations in the new facility.
- **Testing the building systems and equipment.** Transition team members will be involved in the shake-down (and possibly commissioning) of building systems and equipment, testing not only the operation of individual systems, but also how systems interact under normal and emergency conditions.
- **Cleaning the facility before public events.** “Contractor clean” is not the same as “correctional clean.” Team members will need to ensure that the facility meets the department’s standards of cleanliness and neatness before public events.

- **Holding public events.** Team members will be involved in a variety of public events—particularly tours and open houses for a broad spectrum of groups and individuals.
  - **Searching the building for safety and security items.** Once the public events are over, the transition team must conduct a thorough shakedown to ensure that all items that should not be in the jail are removed and to make sure that all systems are operating as intended.
  - **Managing the move of staff, inmates, and services.** Finally, the move itself involves a great deal more than just the inmates and their property. Staff and their equipment and supplies must also be moved, including files and items stored in all of the “nooks and crannies” of the current jail. This is an excellent time to determine which items must be moved and which can be disposed of.
  - **Coordinating move activities with other agencies.** The team needs to determine when operations will shift from one facility to another and convey that information to those agencies and other entities who need to know, such as local law enforcement and vendors.
- new facility. This is an ideal opportunity to develop good relations with the surrounding community, and handling these tasks becomes the transition team’s responsibility.
- **Internal communication and information management.** Staff who are not involved with transition need to get accurate information about the new facility and operations—in the absence of some type of regular information exchange, rumors can take hold.
  - **Post-move activities.** The transition team will also be responsible for a variety of activities after the move. Policies and procedures will need to be fine-tuned. The old jail may be closed and must be secured if it will be renovated and/or abandoned.
  - **Post-occupancy evaluation.** After 6 months or a year, the facility should be evaluated to determine if it is operating as intended.
  - **Transition closeout.** Finally, the transition team must close itself down and move to new assignments after making appropriate disposition of equipment, furnishings, and files.

### Organizing the Transition Process

Good management principles should be used throughout the transition process to establish a model that can be applied later to other aspects of jail operations. The transition process is a unique opportunity to create teamwork, develop new systems, prepare new jail operations, and provide for personal and professional development. The following section looks at the three major subtasks associated with organizing the transition process: determining the makeup, structure, and housing of the

### Miscellaneous Tasks

As if these tasks were not enough, a variety of miscellaneous tasks must be done both throughout the transition process and at specific times. These tasks are likely to include—

- **Community relations.** The transition team is often involved with community relations as its members are likely to be the most visible representatives of the department at the

Transition has to be someone's top priority.

transition team; budgeting for transition and analyzing how the transition budget relates to the facility's project and operating budgets; and developing the action plan.

### Organizing the Transition Team

This section discusses several crucial aspects of organizing the transition team:

- Determining who the transition coordinator and the members of the transition team should be and how many team members are needed; what skills, characteristics, and experience they must possess; and what level of commitment they should be prepared to devote to the transition process.
- Determining how the transition team should be structured (team approach vs. task force approach).
- Determining where the transition team should be located.

### Who Should Do Transition?

Because most jurisdictions have little experience with either facility construction or transition, considerable uncertainty often exists about who should actually do the work associated with transition. This situation is complicated by the lack of adequate staff for current operations in many jails. As a result, transition activities may become just one more collateral duty assigned to the jail administrator or a key staff person.

However, transition—even for a small facility—is not a part-time job. Too many tasks must be completed with a high degree of accuracy for anything less than a full-time commitment. In most cases, the window of opportunity for transition activities is short, and

failures that occur as a result of inadequate attention to transition activities can be too serious and last for too long a time. Transition has to be someone's top priority. It is equally important to understand that at certain periods transition will be more than an 8-hour-a-day, 5-day-a-week job. Team members need to be prepared to devote the necessary time to the project, and agencies must be prepared for the implications of longer workdays and fewer days off.

### Team Approach

Jurisdictions that have had the greatest success with transition have used a full-time dedicated transition team. The size of the team will vary based on a number of factors:

- The quality of the current operation, especially in relation to its documents and training.
- The resources of the jail, department, and jurisdiction.
- The level of staff involvement in earlier phases of the project.
- The size of the facility.
- The degree of change in operations, i.e., moving from “no programs” to “program intensive” or from a “linear intermittent” style of inmate management (one that requires guards to walk the corridors and look into cells) to “direct supervision” (one that places staff in the housing units with no barriers between them and the inmates).
- The level of community resources available for the project.

The length of time available for transition is the critical factor to consider when determining how many people to assign to transition duties. When jurisdictions begin transition relatively

early, many begin with a smaller core group of transition team members and add people to the team as occupancy nears. This can result in the need to educate new team members about decisions and actions that occurred before they became involved. Jurisdictions that have a shorter lead time may need all their resources immediately. After you have determined the tasks that must be done, estimated how many labor hours it will take to do them, and decided when occupancy will occur, make an initial—or second—assessment of the resources you will require.

Most jurisdictions also find that the work of transition is not evenly distributed among the primary tasks. Some are more labor intensive than others; in addition, some groups of tasks have time-intensive periods followed by downtime. This may allow for dividing labor among team members, so that a single member can wear two hats. It may also allow some tasks to be considered collateral duties.

#### *Role of the Transition Coordinator*

Although there is no single right answer to the question of how to organize staff for the transition process, experience has shown that transition is neither a second nor a part-time job. The role of transition coordinator is pivotal, because the coordinator will be accountable for the overall transition process. Even in the smallest facilities, a great deal of work is required to get ready to start operations in the new facility. It is important to understand that these tasks really are the jurisdiction's responsibility. Although the architect, contractor, and/or consultant can help with the

process and some of the tasks in specific areas, much of the work has to be done by the jurisdiction.

The transition coordinator will routinely and systematically evaluate the progress of the transition process. He or she is responsible for establishing and meeting transition goals and time and cost objectives. The transition coordinator must be able to manage many tasks at once, set and monitor deadlines, delegate effectively, and identify and track the thousands of tasks required in transition.

We noted earlier how important the team leader or transition coordinator will be, and we also indicated that this is not the jail administrator's part-time job. However, if the jurisdiction assigns someone as acting jail administrator, then the jail administrator can serve as transition coordinator. Regardless of who this person is, he or she needs a variety of skills, experience, and personal characteristics.

**Skills.** This is a major planning project. Although the transition coordinator needs to be able to deal with the details, it is critical that he or she also be able to see the overall picture. This individual will have to make some decisions, but he or she will also have to manage the decisionmaking process of others, often those who do not necessarily work for the coordinator. Because transition is challenging, and because many others—both on and outside the transition team—will do necessary transition work, the leader has to motivate and coach others while holding them accountable. Good written and oral communication skills are essential. The transition coordinator does not need to be the best writer on

Experience has shown that transition is neither a second nor a part-time job.

For most people, the work of transition is unlike anything they have done in the past.

the team, but his or her communications must be clear and easy to understand.

**Experience.** The transition coordinator needs to have a broad spectrum of detention experience. It will be helpful for the transition coordinator to have led a team and/or worked on special projects. Certainly an understanding of planning and construction will be helpful, but typically many of the substantive aspects of the transition coordinator’s job can be learned. Furthermore, in the transition process, a number of deadlines will have to be met, many of which will be beyond the coordinator’s or team leader’s control. The transition coordinator has to know how to get the job done and to see that others get the job done within the time allotted.

Finally, because this process has a great many unknowns, it is not a good spot for someone who is uncomfortable with uncertainties.

**Characteristics.** Transition is a critical activity for the department, the jurisdiction, and its elected officials. The transition coordinator has to have the confidence of top management if he or she is to get the job done. The coordinator needs to be empowered to make decisions and then allowed to do so. The transition coordinator needs to understand clearly which decisions he or she can make on his or her own and which ones will require consultation and/or approval at the administrative or executive level. When the transition coordinator does not have the authority to make the decision, he or she needs to be able to facilitate decisionmaking. It is equally important that the coordinator be respected by staff. Without respect from other personnel, transition coordinators will encounter high levels

of resistance and may find it difficult to get things done.

*Team Members*

Ideally, transition team members will monitor and/or coordinate each of the major aspects of transition that are discussed in detail in this resource manual:

- Construction.
- Staff/human resources.
- Document development.
- Training and orientation.
- Furniture, fixtures, equipment, and supplies.
- Move logistics.

Team members also need special skills, experience, and characteristics. Being a member of the transition team has some characteristics in common with being part of a regular work group, like a shift, but it also has significant differences. Transition is a temporary work group that typically is outside the formal chain of command. Line staff may see it as an “easy” assignment, but it is far more challenging than most jobs they have held. For most people, the work of transition is unlike anything they have done in the past.

**Skills.** Team members must be able to do more than one thing at a time and stay organized. All of the team members need to be able to communicate well, but individuals with strong writing skills are a must for the team. Team members will encounter problems that will often differ significantly from those they have experienced in day-to-day operations. As a result, they need to be good at identifying, analyzing, and developing solutions.

**Experience.** Team members need experience using a wide variety of software applications. Nearly all aspects of transition benefit from automation. Team members also need to know how to read and use drawings and specifications. They need to be knowledgeable about jail operations—not just their own operation, but how other jails operate, and not just their own area, but other areas of the operation as well. Finally, they need to know and support the new jail philosophy.

**Characteristics.** Team members need to be able to work well with others. They will represent the department to a broad spectrum of people. Team members need to be assertive but flexible. They can't be "my way or the highway" kinds of people, but they need to know how to represent their needs and perspectives strongly.

It is unlikely that you will find all of these skills represented in each team member; members will exhibit a variety of characteristics and will have a number of potentially useful experiences outside their work life that may be helpful in transition. Look for a team that achieves balance within these skills—and don't assume that all of the team members must be experienced security staff. Teams that include clerical, maintenance, and/or program personnel may incorporate a wider breadth of experience and skills. If you widen your search parameters, you may find resources you did not anticipate.

### ***How Can the Transition Team Be Structured?***

Transition personnel resources probably can be organized in an infinite number of ways. All of them require a

transition coordinator or team leader. However, transition staff are generally organized in one of two basic ways. The team approach assumes that the majority of team members are full-time staff; the task force approach does not assume full-time staffing.

Teams can be structured in one of several ways. A team of specialists—in which work is assigned by task—might include one or more specialists in construction, writing, training, equipment, move logistics, and so on. A team of generalists might be assigned responsibility for all tasks within a specific area of the facility. Both of these approaches have pros and cons. A team of specialists will build a high level of expertise in a specific task and can be recruited for interest and ability in a specific area. Because they will see all of the materials related to that task, there is less potential for inconsistencies and duplication of effort.

However, a team of generalists will learn a specific area of the facility better and may see an interaction between tasks such as a potential conflict between policies and procedures and the equipment that will be used to carry out those procedures.

When NIC first began providing transition training, a task force approach was used. The task forces might include one or more full-time members, but could also include operational specialists. Task forces were often organized by a combination of tasks, i.e., move logistics, and by function, i.e., program services or security. The task force approach has the potential to involve more individuals, but it also may result in inconsistencies, such as when two task forces write policies or procedures

Teams that include clerical, maintenance, and/or program personnel may incorporate a wider breadth of experience and skills.

A key factor for success is to clearly define who is to do what during the transition process.

that are inconsistent. Those inconsistencies may go undetected for a considerable time until an activity that looks at the interaction of multiple policies and procedures, such as the development of post orders, occurs. By then, major revisions to the policies and procedures may be necessary.

Although there is no single answer to the question of how the transition team should be structured, a key factor for success is to clearly define who is to do what during the transition process and to put in place a method of quality control that identifies and resolves inconsistencies.

#### ***Where Should the Transition Team Be Located?***

One of the least considered questions is where the transition team should be located. Ideally, it should be located at the site of the new facility. Because the new facility has not yet been constructed, this is likely to mean that the team will need one or more trailers on the site.

If locating the team onsite is not an option, the team will still need separate office space in a single location. It is important that the team not get drawn into current operational situations. If the team's offices are in the existing jail, it may be tempting for the team to continue to be involved in jail operations and for managers to look at the team as a potential resource when a shift is running short.

Regardless of where the team ultimately ends up, they will need—

- Adequate space for all members of the team and their materials.
- Adequate space for all equipment, including telephones, computers, copiers, files, and lots of paper.

- Access to e-mail and both intranet and Internet.
- Access to the facility construction site as negotiated with the contractor.

#### **Transition Budgeting and Its Relationship to Project and Operating Budgets**

Transition activities require a variety of resources—personnel, equipment, and supplies. Although many departments initially believe they can support transition activities out of their existing operating budgets, they soon learn that transition activities require more resources. This section identifies resources that may be required for transition activities and differentiates the transition budget from both the project budget and the department's operating budget.

Transition staff will be involved with a number of activities that relate to both the project budget and the department's operating budget. Team members need a broad understanding of both project budgeting and their department's own budget process to carry out transition activities in a timely and fiscally responsible manner.

Transition team members may deal with three different budgets: the project budget, the department's operating budget, and the transition budget. These three budgets may have different requirements, may be on different budget cycles (it is rare that construction budgets coincide with the department's budget cycle), and may be controlled by different stakeholders. As a result, transition team members must—

- Identify and become familiar with their budget resources and requirements.



- Determine lines of authority and budget procedures.
- Clarify their role with regard to budget requests.
- Educate themselves regarding the lead time for budget requests.

### ***Project Budget***

The project budget “builds” the facility and is typically controlled by the designated project manager. It has two distinct components: the construction contract and the other budgeted expenses, usually called project costs. The construction contract is awarded to the building contractor. Of more interest to the transition team are the other budgeted expenses, which fund what are sometimes called the project’s “soft costs.” To understand these two budgets, think what would happen if the building were turned upside down. Everything that stayed attached to the building would be paid for from the construction contract; everything else would be paid for from the funds set aside for soft costs. These soft costs include fees, permits, administrative costs, and two budget categories that are particularly important to the transition team: the contingency fund, which deals with project “unknowns,” and the budget set-aside for FF&E.

### ***Contingency Funding***

The transition team needs to know the status of the contingency budget. The size of this budget is typically based on the size of the construction project and the stage of the planning process. Contingency costs are typically calculated as a percentage of the construction cost; this percentage is highest during planning and decreases throughout the design process. Jurisdictions

often carry different contingency percentages based on the type of construction. The contingency budget in a renovation may be as high as 25 percent, while contingency funds in new construction average 10 percent or less. The transition team needs to know how much money remains in the contingency budget and what it can be used for. Contingency budgets are managed as part of the project budget. This means that the transition team will need to meet with the designated project manager to determine if and when they can expect to have access to any contingency dollars.

### ***FF&E Budgeting***

The FF&E budget is most often used for furniture and equipment. This can include computers and software and such specialized equipment as digital mugshot and fingerprint systems. The FF&E budget is often developed during design as a percentage of the construction cost. However, during transition, the actual number and cost of each item must be identified. Several of these items can have relatively long acquisition lead times and their storage can be problematic. This issue is discussed in more detail in chapter seven, Furniture, Fixtures, Equipment, and Supplies.

### ***Operating Budget and Startup Budget***

The operating budget is the department’s normal budget. However, during a new facility’s first year of operation the department often incurs one-time expenses that require a startup budget. The startup budget is typically used for supplies that are required to open the facility but do not cost enough to be considered capital expenditures, such as inmate and staff uniforms,

Transition team members may deal with three different budgets: the project budget, the department’s operating budget, and the transition budget.

Action planning is sometimes like figuring out the opening sentence for a 100-page essay.

property bags, inmate bedding, and wastebaskets. In some cases, however, they can be capital items, such as vehicles, that are required but typically are not funded from the project budget. As a result, most jurisdictions do not build these items into the department's permanent budget.

A major challenge for transition is figuring out the timing of budget requests. Most jurisdictions have budget submission times 6 to 12 months in advance of the budget award. This means that transition staff often must figure out and submit operating and startup budgets just as they are beginning the transition process, when there are still countless unknowns. Worse yet, staff may discover that the submission period has passed and a special request must be justified.

### ***Transition Budget***

The transition budget is a budget established to support transition activities. It can include all of the normal budget categories within the department's operating budget. Initially, many jurisdictions believe that they can support transition with normal operating funds. However, as time passes, transition teams often need to purchase computers, software, office supplies, cameras, and other items. Transition needs a budget of its own.

### **Developing the Action Plan**

A daunting aspect of transition is the need to complete thousands of tasks on an extremely tight timeline in a way that allows the new facility to open without a hitch. Team members are often selected for their operational expertise, but few have been challenged to organize as many new and

related activities as they face in the transition process. Action planning allows the transition team to organize, divide, and monitor the status of numerous complex transition tasks.

An action plan differs from the long-term planning process that was used to develop the new facility. It is shorter in duration and much more specific in its intent. The action plan focuses on the intended outcome. It clearly identifies all of the tasks that will be required to create that outcome, breaking them down into discrete and manageable pieces of work that can be divided among team members.

The action plan identifies who is responsible for each activity or task, as well as who has overall responsibility for overseeing the completion of the entire plan. This person must use the action plan to hold transition team members accountable for completing their tasks. Also, he or she must be aware of task interdependencies not only within the individual action plan but between action plans as well. Task interdependencies occur when one task, such as policy and procedure training, depends on another, such as writing policies and procedures. These interdependencies must be closely monitored to ensure that the transition process stays on track.

The action plan also identifies required resources, when applicable, and assigns a specific date for completion of each task. The action plan should identify the specific task, the due date, the person responsible, the resources required, and the status of the task, such as "in process" or "completed." Due dates should be developed in conjunction with the transition schedule.

Many of the activities need to be carefully coordinated to achieve a smooth transition. Action plans can guide the transition process and the work of the transition staff. The transition coordinator can use the action plans to monitor the status and progress of transition. After the action plans are initially developed, they should be dynamic, constantly changing in response to the project. A list of possible action plans for each topic has been included in chapters three through eight of this manual. Appendix 2–1 shows a sample action plan format.

### **What Comes Next?**

Often the first task is the hardest. Action planning is sometimes like figuring out the opening sentence for a 100-page essay. If you approach this task with the attitude that the action plan will be a living document that grows and evolves with transition, you will be less likely to avoid this task and more likely to create a useful tool that can help throughout transition. Once you have a clear idea of your transition roadmap, it is time to begin working on the details. The next seven chapters will help you fill in the details for your project.

# APPENDIX 2—1.

## ACTION PLAN

Any Community, Any State, Any Project—Transition Action Plans

**Action Plan No.:** 1.1

**Area:** Transition Management

**Sub Area:** Overall Plan

**Task/Objective:** Develop an overall strategy for the transition process.

**Person Responsible:**

**Due Date:**

Activities	Person Responsible	Completion Date	Resources Required	Status
1.1.1 Review/update mission statement and goals established for the project.				
1.1.2 Develop goals for transition.				
1.1.3 Approve transition goals.				
1.1.4 Draft overview transition flowcharts with due dates.				
1.1.5 Obtain consensus of draft flowcharts.				
1.1.6 Develop transition assumptions. (Assumptions are items you believe will happen but which are beyond your control.)				
1.1.7 Obtain construction project schedules and receive updates.				
1.1.8 Determine desired earliest and latest occupancy/move date considering operational budget.				
1.1.9 Identify other key dates relative to the project, transition and operations, i.e., budget dates, construction completion.				
1.1.10 Develop process to update/modify flowcharts and due dates.				
1.1.11 Implement process to update/modify flowcharts.				

**ACTION PLAN (continued)**

Any Community, Any State, Any Project—Transition Action Plans

**Action Plan No.:** 1.2

**Area:** Transition Management

**Sub Area:** Action Plans

**Task/Objective:** To implement transition action plans.

**Person Responsible:**

**Due Date:**

Activities	Person Responsible	Completion Date	Resources Required	Status
1.2.1 Review activities and modify these transition action plans, plus develop other needed action plans.				
1.2.2 Update transition action plans.				
1.2.3 Identify person responsible, due date, and resources required to complete each action plan and for each activity.				
1.2.4 Develop system to monitor status of each action plan on a weekly basis.				
1.2.5 Implement action plans.				
1.2.6 Update flowcharts based on action plans.				
1.2.7 Establish tentative move dates.				

**ACTION PLAN (continued)**

Any Community, Any State, Any Project—Transition Action Plans

**Action Plan No.:** 1.3

**Area:** Transition Management

**Sub Area:** Transition Staffing

**Task/Objective:** To develop a transition staffing plan.

**Person Responsible:**

**Due Date:**

Activities	Person Responsible	Completion Date	Resources Required	Status
1.3.1 Identify transition staffing needs.				
1.3.2 Designate a staff member as coordinator for each major transition function, considering current and future job assignments: <ul style="list-style-type: none"> <li>• Transition management</li> <li>• Facility construction</li> <li>• Personnel</li> <li>• Program development</li> <li>• Document development</li> <li>• Orientation and training</li> <li>• Furnishings and equipment</li> <li>• Move logistics</li> </ul>				
1.3.3 Designate staff for each transition functional team as either full-time or part-time staff.				

**CHAPTER THREE**



Construction



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## CHAPTER THREE

# Construction

### ACTION PLANS

#### Action plans for construction-related tasks may include—

- Construction monitoring.
- Maintenance.
- Housekeeping.
- Utilities.
- Release of construction information to the public.
- Keying.
- Punchlist.

### Overview

Construction is the most expensive item in the project budget and receives most of the attention from project stakeholders. Sometimes those involved in the project forget that the ultimate purpose of the construction project is to support the jail's operation. Therefore, transition staff must constantly keep operations in focus as they monitor construction.

### Role of the Transition Team

The role of the transition team in monitoring construction activities varies significantly; it generally depends on what other community resources are allocated to the project. Let's look at how everyone is involved:

- **Architect/engineer.** The firm that is responsible for design and generally for construction administration. This designation is reserved, usually by law, for a person or organization that is professionally qualified and licensed to perform design services.
- **Contractor.** The firm that is responsible for constructing the jail. In construction terminology, the contractor is the person or entity that has ultimate responsibility for performing the work under the contract. The contractor may retain a number of subcontractors to build certain elements of the jail.
- **Construction manager.** This firm may provide construction management services either as an adviser or as a general contractor.
- **Project manager.** This agency, firm, or individual may manage the construction project and coordinate or supervise the work of the architect/engineer and contractor/construction manager. In some communities, project management is provided by a public works department or by a contracted firm or individual.
- **Project inspector.** Two inspectors potentially may be involved during construction: (1) a building inspector who is an employee of the jurisdiction responsible for code enforcement, and (2) an onsite inspector who is

One member of the transition team should take the lead in coordinating with construction personnel.

retained by the owner (i.e., the department) to oversee the contractor's work and ensure that the building is built as designed and specified.

- **Owner's representative.** This firm or individual represents the owner and performs the owner's functions. This person frequently becomes the transition team leader when the team is established.

### Construction Terminology

Appendix 3–1 is a construction terminology list that can be used as a reference. It is important to understand how these terms are used on your project and how they are incorporated into the contracts with the architect and the contractor. The following terms are among those most commonly used to describe products and stages of the design and construction process.

- **Contract documents.** These are the drawings and specifications that set forth in detail the requirements for the construction of the project.
- **Drawings.** The contract documents include various types of drawings. The following are the most important:
  - Elevations.* An elevation is a two-dimensional graphic representation of the design, location, and certain dimensions of the project as seen in a vertical plane viewed from a given direction. Elevations may be of exterior or interior (wall) surfaces.
  - Sections.* A section is a drawing of a surface revealed by an imaginary plane as if it were cut through the building. Generally speaking, a section refers to a vertical cut. The locations at which

sections are cut should be indicated on both plans and elevations.

–*Plans.* A plan is a two-dimensional graphic representation of the design, location, and dimensions as seen in a horizontal plane viewed from above. Notes on the plans should cross-reference sections and details, and materials should be indicated to the maximum extent feasible.

- **Specifications.** These are the narratives that describe how the project is to be built and the requirements for all systems and equipment. Most specifications written for construction today are in the “16 divisions” format (see appendix 3–1 under the definition for “specifications division” for a list of the 16 divisions). For correctional facilities, a 17th division is sometimes used for the security electronics system. Many specifications also further break down the divisions into sections. Divisions group related sections into a standard framework without conflicting with the normal bidding procedures of local trade jurisdictions.

### Guidelines for Getting Started

As you get started, one member of the transition team should take the lead in coordinating with construction personnel. In this manual, the term “construction specialist” is used to describe this role. This individual may also be involved in other aspects of transition.

The construction flowchart (exhibit 3–1) illustrates the major elements of the construction project as they relate to transition.

The construction specialist should first identify the individuals who have been involved in the project from the start and ask them to describe the project structure and help define the transition team's role regarding construction. Some project managers are anxious to receive user input. In other cases, your input may not be welcome, but it is still needed to achieve a user-friendly jail.

The next step is to find written documentation about the project. Some of these documents may have been written at the very beginning of the project. The pre-architectural program is a good source of information about how the jail is intended to operate. It should include descriptions of typical functions that will be useful as you begin to figure out the building. You may, however, find that things have changed somewhat during design. You may also find minutes of the design meetings to be helpful sources of information about changes that impact operations.

Next, because the contract documents define what the contractor is to do, transition team members must become familiar with these documents and learn how to interpret them. The transition team needs to obtain plans/drawings and specifications to learn about the facility and how it is planned to operate. If the project is already under construction, you will also need to get copies of addenda, change orders, selected shop drawings and submittals, requests for information (RFIs) from the contractor and/or subcontractor, and the architect's supplementary instructions (defined on page 3–8). With all of this documentation, you will have the information the contractor is using to construct the

building. The documents need to be available to the entire team, so you should set up a system for checking out and returning them.

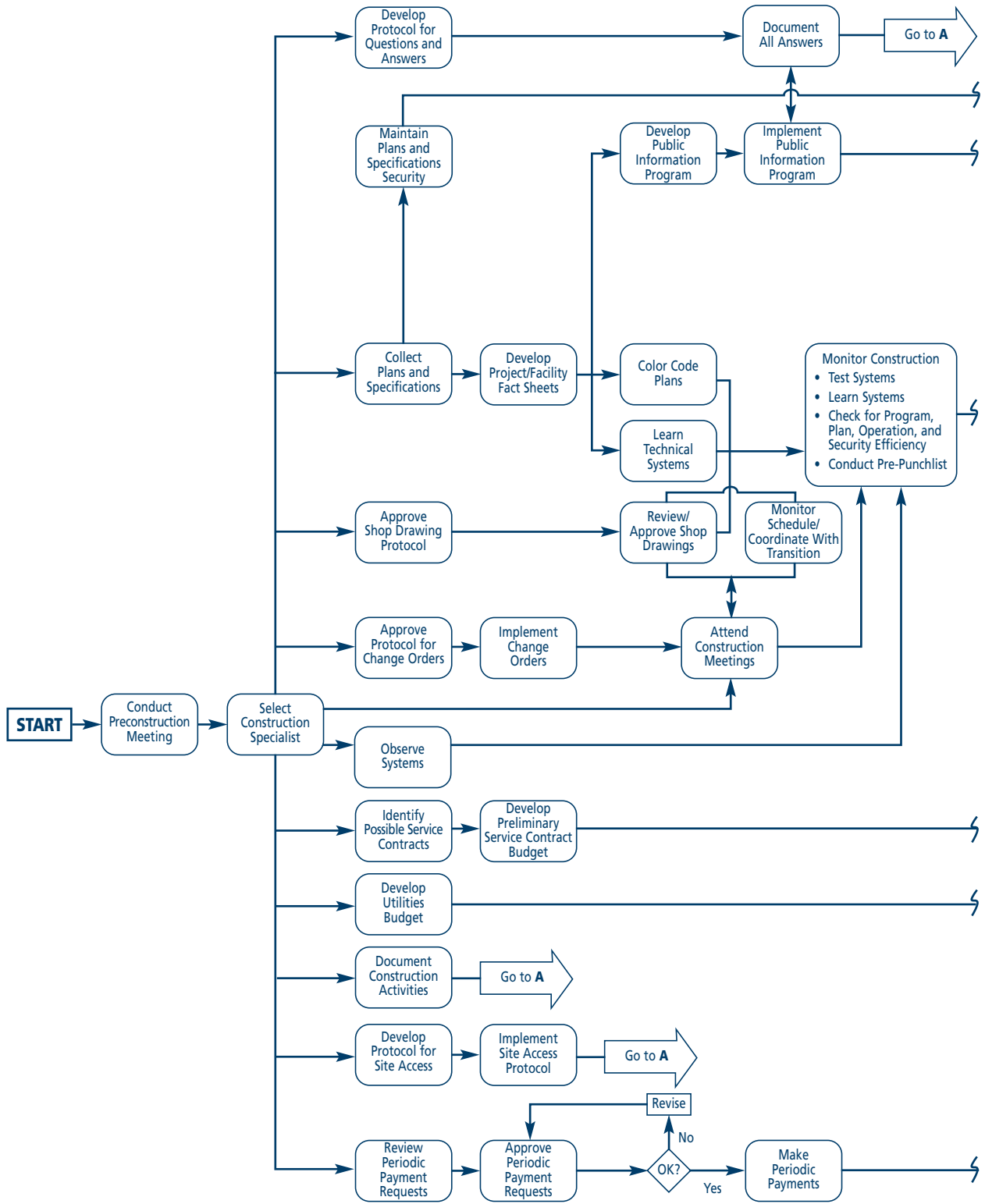
The following suggestions provide guidelines for using these documents:

- **Obtain a set of the plans and specifications used to construct the facility.** Learn the contents of these documents—both plans and specifications. The plans provide only part of the picture of how the facility and systems are to be constructed and installed. To help you learn the plans, color code major systems and the secure perimeter. Also obtain a half-size set of plans for each team member so they are easy to carry onsite. Insert or attach tabs to sections of the plans for easy reference.

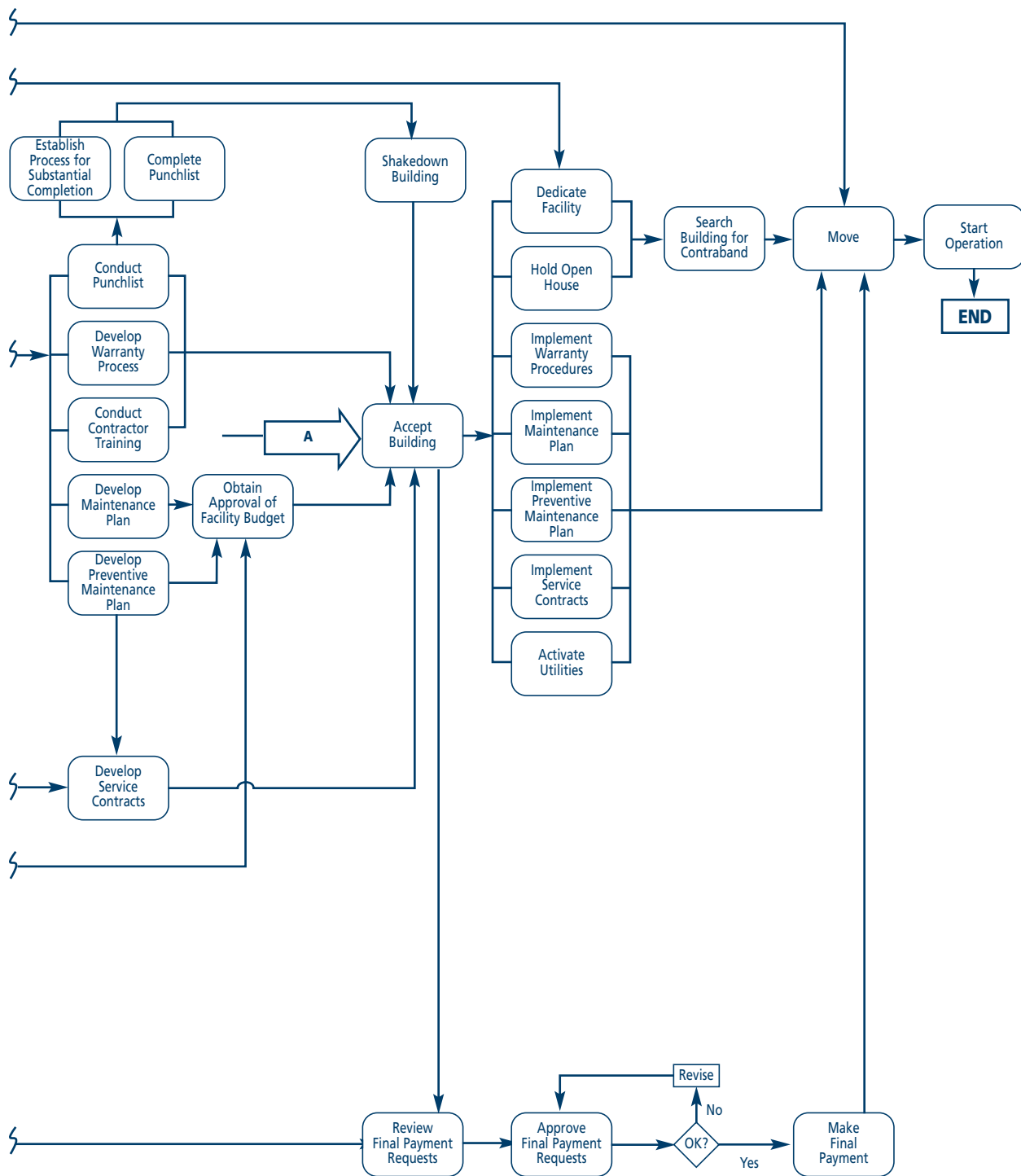
- **Stay current with the project by updating your plans and specifications as changes are made.** Changes will be made in a number of the following documents and may be used to solicit input from the transition team:

- Application for payment.* In some jurisdictions, the transition construction specialist may be asked to approve or provide input on the contractor pay applications. This will be determined before the construction contract is awarded. If the transition team has some responsibility in this area, meet with the project manager to understand your role and how to perform this task in a manner consistent with the contract.

### Exhibit 3-1. Construction Flowchart



= Task is part of another chapter, but is critical to completion of this flowchart.



- *Architectural supplementary information.* This is additional clarification issued by the architect during the construction process, typically as a result of an RFI.
  - *Change order.* A change order is an amendment to the construction contract (signed by the owner, architect, and contractor) that authorizes a change in the work, an adjustment in the contract sum or the contract time, or both. Change orders assume that the contract documents are correct as published but a change is necessary. The change can have a positive or negative cost impact or no cost impact at all. One of the first tasks for the transition team will be to clarify their role in the change order process and determine how to deal with items that should be changed. Change orders differ from errors in work in which the project has not been built as specified. If you see items that should be changed or that indicate errors, notify the project manager immediately.
  - *Proposal request.* An architect may submit this document after contract award to solicit a proposal for a change in the work. It is also called a request for change or bulletin, and may include drawings and other information.
  - *Request for information.* The contractor will periodically issue an RFI for clarification on an issue. The architect’s job is to research the issue and provide a response. However, the architect’s response may change the original intent of the design. One way to protect against this is to have the construction specialist receive copies of all RFIs and let the architect know if the transition team needs to be consulted in formulating the response.
  - *Supplementary instructions.* The transition construction specialist may be consulted before the architect issues any architect’s supplementary instructions in response to comments from the transition team to see that the operational intent is maintained.
  - *Shop drawings.* Shop drawings are drawings, diagrams, schedules, and other documentation prepared by the contractor, subcontractor, manufacturer, supplier, or distributor to illustrate some portion of the work. Shop drawings may be particularly useful when they relate to jail operations, such as the electronic security system, keying, glazing, and detention equipment.
- At a minimum, the transition team should have a presence on the project that includes participation in construction meetings and regular jail walkthroughs by the construction specialist or another designated transition team member. When doing a walkthrough, do it with a particular purpose, e.g., to observe wall construction. To observe the project, work with the project team to develop a protocol for site access. This protocol may include a sign-in/sign-out sheet, dress standards (e.g., a hardhat, sturdy hard-soled shoes), and how to document issues and concerns. It is important that jail staff do not provide direction to the contractor. All direction should come through the established channels of communication

for the project unless there are compelling reasons for an exception to be made.

### Construction Monitoring

In monitoring construction, the transition team must be able to both inspect the physical construction site and review the shop drawings for the portions of jail construction that will directly affect jail operations.

### Walkthroughs/Operational Inspections

The usefulness of walkthroughs depends on the degree to which transition staff are prepared and whether they know what to look for and how to behave. Initially walking through the facility to become familiar with the overall layout is helpful, but will teach you little about the systems. The best walkthroughs are those done with a purpose. The following are guidelines for walkthroughs:

- **Site visits.** Work with the contractor and architect to identify the best times to visit the site (times that will cause the least disruption in the construction).
- **Hardhats.** Obtain your own hardhats or make arrangements to get hardhats while onsite.
- **Clothing.** To do good walkthroughs, be prepared to climb ladders and scaffolding and to maneuver around other obstacles; realize that the construction area will have a lot of dust, dirt, wet surfaces, and loose items. Clothing should include hard-soled, low-heeled, closed shoes, no loose items, and pants.
- **Corrections and changes.** Learn how to document items that need to

be changed. Correcting errors (non-compliance with plans and specifications) requires a different process and has different financial implications from change orders (needed changes). Change orders and corrections must be handled through the project manager consistent with established procedures.

- **Onsite resources.** When you go onsite, take paper (pad and/or note cards), a personal digital assistant (PDA), a pen, a camera, a flashlight, a hardhat, half-size plans, and/or a ladder (or arrange to use the contractor's ladders onsite).
- **Documenting the project.** Work with the inspection agency, architect, and/or contractor to document the project through photographs, slides, and/or video recording. As construction progresses, many areas that you may later need access to will become hidden by structures such as walls or ceilings. It is important to organize this documentation so it is readily available when needed.
- **Site.** Become familiar with the entire site, not just the building. To do this, you will need access to the site, the area around the site, and the building.
- **Perspective.** Remember that the facility is being built according to the contract documents (e.g., plans, specifications, change orders, and shop drawings). When you go onsite, your job is to observe that the work is being completed as specified in these documents; this is not the time to rethink your design. If you see something that just will not work, develop an appropriate response that describes what you

Become familiar with the entire site, not just the building.

saw, what you believe is needed, and any options you see and present them through the proper channels. This may result in a change order.

Hundreds of decisions are being made throughout the construction phase. Regardless of your role in monitoring the construction process, it is important for the transition team to be in the communication loop and, ideally, part of the decisionmaking process. Whatever your role in the decision-making process, it is critical that these decisions be documented in a systematic manner that allows the transition team to find information quickly and efficiently.

### **Shop Drawings**

To know what selected shop drawings and/or submittals to receive, ask the architect for a copy of the shop drawing and submittal log. Identify the items on the log that you want to review and those for which you want to be part of the decisionmaking process. For example, you may not want to review the submittals for structural steel, roofing supplies, and other materials. However, you will want to review submittals for the electronic security systems, keying, glazing, and other aspects of construction that relate directly to jail operations and security.

You may wonder why you need to look at a submittal if the design is already approved. A good example is the labeling of a door control graphic panel or touch screen that staff will use to open and close doors. The only room names and numbers a supplier/subcontractor knows are those on the plans. Although the names and numbers on the plans are good for construction purposes, they are probably not how you want to

refer to specific areas in your facility. You will want to develop an operations-friendly name and numbering system for graphic panels and touchscreen controls, signage, and other elements that need labels. Another example is determining which keys open which doors and what areas can be keyed alike.

### **Construction Completion**

A construction project includes numerous tasks and can take months to complete. Coordination and good communication are essential in monitoring and enforcing the terms of the contractor's agreement. It is not unusual to experience conflict at this stage of the project. Working together collaboratively will help alleviate problems.

### **Punchlist**

Many of us are used to doing a walk-through inspection before buying or renting a home. For a construction project this is referred to as a punchlist. The purpose of the punchlist is to document where construction is not compliant with the construction documents. Generally, the development of the punchlist is the responsibility of the architect and contractor. But you, the transition staff, should also be part of this process because you offer a unique perspective. If you are asked to develop your own punchlist, or if you are part of a team effort, the punchlist should include the following:

- Project name.
- Date punchlist was made.
- Area of the project.
- Room name and/or number according to the plans (not how you intend to use the space).



- Specific area, i.e., north wall.
- Description of the problem(s) that is as specific as possible.

Remember that different areas of the facility require different security levels. What may be appropriate for one area may not be appropriate in another area.

When conducting a punchlist, establish a routine to conduct consistent and complete reviews. For example, in every room, start with the ceilings, then the walls, then the floor. Develop a set pattern. Start in the same corner of every room and move around the room in the same direction. Your observations need to be documented. Good strategies for doing this include entering the comments directly onto a laptop or PDA, dictating them to an assistant, or following and filling out room sheets or plans with elevations. To confirm that the comments have been recorded correctly, have the person making the entries read back each comment as it is entered.

The following areas need to be inspected while doing the punchlist:

- Casework and millwork.
- Ceilings.
- Chase (pipe).
- Closed circuit television (CCTV).
- Communications.
- Consoles.
- Doors.
- Electrical.
- Elevators.
- Emergency generator.
- Fire safety.
- Floors.
- Furniture.

- Guardrails.
- Hardware/doors.
- Heating, ventilation, and air conditioning (HVAC).
- Kitchen equipment.
- Lights (facility, site, and exit).
- Plumbing.
- Roof.
- Security electronics.
- Showers.
- Sinks.
- Site (such as exterior fencing and gates, bollards, vehicle barriers, landscaping, sprinkler systems, parking lot striping, signage, location of exterior outlets, and hose bibs).
- Sprinkler heads.
- Stairs.
- Toilets.
- Walls.
- Windows/frames.

Develop a transmittal letter for the punchlist, send it to the architect and contractor, and keep a copy. The process does not end with the punchlist. You will need to develop a monitoring system to see that all issues are addressed.

### Substantial Completion

The term “substantial completion” is usually defined in the contractor’s agreement and is therefore binding. Generally, the term means the building is substantially ready for occupancy for the facility’s intended purpose. However, just because the building is substantially complete, it does not automatically mean that you are ready to move in. Many tasks must be done

Just because  
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you are  
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move in.

between the substantial completion of the building and your move. The transition staff may be in the best position to determine if you can operate the facility as it currently exists. Remember that if numerous issues have to be resolved after the facility is occupied, your staff will have to sign construction workers in and out and escort them throughout the facility. Most jails do not have staff available for this function.

### **Certificate of Occupancy**

The community's building and fire inspectors usually have to provide a certificate of occupancy before you can move into and begin using the facility. It is important to understand your community's certification process and how it may impact occupancy.

### **Warranties**

Most of the systems will be warrantied for a period of time. You will want to receive a list of all warranties and their start and end dates. A warranty implementation process needs to be developed with input from the architect, contractor, and maintenance staff. This process should include a tracking log to monitor when repair requests are made and how long it has taken to make the repair. In the best of all possible worlds, warranties will start at the time of substantial completion. However, the warranty may begin at a different time, i.e., the time of delivery to the site or the time that the item is installed. Be sure to flag these items for special attention.

### **Keying**

Although most jails operate with a significant number of electric locks, keys are essential for successful, safe operation. The facility will use many keys

during normal operations as well as in override or emergency situations. The keying process is complex and time consuming; you should develop your keying schedule early in the construction process. As construction is completed, you should make sure all of the keys work properly and as planned. As with most tasks related to construction, review the specifications to see what the project requires.

Keying requires a minimum of three basic tasks:

- **Keying testing.** This involves testing the door key and master key to see that they work as intended.
- **Development of the key box.** This involves tagging all of the keys in some user-friendly manner, hanging them in a key box, and developing a master inventory.
- **Development of key logs.** Key logs may be created as follows:
  - Master Key Log by Key Number.
  - Master Key Log by Door Number.
  - Master Key Log by Key Box Number.
  - Master Key Log by Key Ring.

Throughout this documented process, keys should be formally transferred from the contractor to the user. Often, the user does not receive all of the keys. Sometimes keys are left hanging in access panels, service panels, or just overlooked. Transition staff need to inventory each lock by room and verify that they have a key.

In some situations, the owner may have the contractor install temporary locks with keys for use only during the construction process. When the facility is

turned over to the jurisdiction at the time of substantial completion, the department can install the permanent locks. This has advantages from a security perspective, but it also increases costs—and the department may not have personnel who are qualified to install the permanent locks.

### **Material Turnover**

Most construction contracts call for extra materials to be turned over to the owner at the end of the project. You will need to determine if receiving these extra materials will be the responsibility of the transition team or another agency in your jurisdiction. To know what you should receive, see each section of the specifications. Whoever you designate to receive these materials will need to inventory, sign for, and store them.

### **Contractor Training**

The contractor is generally required to provide staff training; these training requirements are described in the specifications. Months before the project is to be completed, request a list from the architect of the type and length of training to be provided and who should attend. The training should be scheduled with several weeks' notice and with your approval in order to have the right staff attend. It is appropriate to request a lesson outline and course materials in advance of the training. Often the contractor is required to videotape the training. Ask for a copy of the tape shortly after the training is conducted and carefully review it to verify its quality. If the contractor is not required to videotape the training, the transition staff should do so.

### **Utilities**

With the funding agency, determine if utilities are in your budget or what budget they are in. Switch the billing of utilities to the proper agency.

### **As-Built Drawings**

With the architect, determine if as-built or record drawings are to be provided and if you are to receive them. If you receive these, review them as best you can to determine if they are correct. Ideally, one copy goes to maintenance and one stays with the facility.

### **Operating and Maintenance Manuals**

Receive the operating and maintenance manuals per the contractor agreement. Review the manuals to see that they are complete, and determine where they will be kept. Ideally, one copy goes to maintenance and one stays with the facility.

### **Phased Occupancy**

For a variety of reasons, the facility may be turned over to the user in phases. If this is done, consider the impact on the warranties for central systems (e.g., HVAC) and the amount of work that may take place in the occupied areas. Most important, consider the impact on essential operations such as food, laundry, programs, and staff services.

There is no one correct approach to phased occupancy. One good approach is to develop a pros and cons issues paper to see if phased occupancy is good for your jurisdiction. Benefits of a phased occupancy, regardless of phased turnover for the facility, include—

[Building security] is an awesome responsibility for the staff because many construction workers will still be in the facility.

- Building staff confidence.
- Making resources available to troubleshoot problems.
- Enhancing implementation of policies and procedures.
- Allowing for training of staff who have not yet been trained.
- Allowing several days at the start to train inmate workers.
- Starting up services such as health care, food, and visitation gradually.

Disadvantages associated with phased occupancy include—

- Potential disputes regarding damaged items.
- Increased complexity.
- Potential presence of construction personnel in areas occupied by inmates.
- Need for multiple shakedowns and searches.
- Impact on staff who have to escort/move workers through the facility.
- Noise disruptions.
- Warranty issues.
- Long-term duplicate operations.

### **Construction Coordination After Facility Turnover**

Up to this point, the facility is generally under the contractor's control. The contractor has the keys and grants access to the facility. This section addresses tasks and procedures that generally take place after the owner/user assumes responsibility for the facility.

### **Security/Facility Turnover**

Because you are now the owner/user, the jail staff will be responsible for

building security. This is an awesome responsibility for the staff because many construction workers will still be in the facility. You will need to implement your check-in/check-out policy and procedure, control access to the facility, staff the entry points to meet contractor needs, and probably escort workers. Before assuming this responsibility, however, determine the status of construction and whether your staff resources are sufficient to perform the above tasks in addition to the staff's other duties.

### **Telephone Installation**

The jail has probably already been wired for telephone installation, but you will need to direct the final placement of instruments, activation of phones, and testing of the system. Phone directories also will need to be developed and distributed. Telephones are often one of the user-supplied systems, which puts them in the category of FF&E. When you plan the telephone system, you should discuss the following:

- Telephone numbers (new or current). If current numbers will be used, determine when they can be activated in the new building.
- Functions required and calling access levels at each telephone location.
- Changeover from the current facility, if it is to be closed.

### **Computer Installation**

Like the telephone system, wiring for the facility's computer network is probably already in place. This network is not for the computers that are associated with the new security system or the building systems; this

network is for the computers that are typically used for business functions and would include the department's intranet. This task involves placing equipment and checking the connectivity and functionality of all operating systems. The transition team needs to determine which aspects of this will be their responsibility and which will be done by the jurisdiction's information technology department.

### FF&E Installation

This task refers to owner-purchased and -installed items (see chapter seven, Furniture, Fixtures, Equipment, and Supplies).

### Startup Tasks

Startup tasks may include—

- Obtaining a facility address (if not required early in the project).
- Assigning parking spaces—a bigger issue than you might think!
- Initiating maintenance, including warranty work.
- Initiating housekeeping, including trash removal.

### Renovations/Additions

Most people think of construction projects as new construction. However, many jail projects are expansions and/or renovations. These projects present special challenges during both construction and transition because the jurisdiction must continue operations while construction occurs.

The best time to address renovation/addition issues is when the specifications are being developed. In addition to the items normally included, the specifications should address the following issues: estimated length of time

under construction; estimated length of time of service interruption, including days and times; work hours; levels of security required and erection of safety/security barriers; hours that construction workers will need access to occupied areas and related security requirements; background checks, identification, and searches of construction workers; tool control; construction worker contact with inmates; emergency aid; parking; weapons; and intoxicants.

Transition team members should look for a phasing plan that will identify the timing of construction in different areas of the facility. The phasing plan should also address the basic renovation strategy, e.g., shutting down one floor or unit at a time; the need for construction of any temporary facilities; and completion of any new construction for a specific use, such as housing, while renovating the old facility. The team needs to ensure that the plan adequately addresses safety and security items. In complex renovations, you may have to balance the need for speed with the need for space—especially housing space. It may be worth the effort to identify the difference in cost between boarding inmates at another location, which allows the contractor greater access to the facility, versus a slower process in which inmates remain in all or part of the facility while the renovation occurs.

### Final Thoughts

In a perfect world, construction of the facility would proceed at a consistent and steady pace. Unfortunately, the real world is often quite different. Construction activity may be exceptionally busy for a time, followed by a

Construction activity may be exceptionally busy for a time, followed by a period of inactivity.

period of inactivity. The transition coordinator should review the contractor's schedule, looking for periods when activity will be intense and when project work will be slower, as he or she makes decisions about the construction specialist's availability to

work on other aspects of transition. It is also important to monitor changes like labor issues and incentives for early completion that could result in significant, unexpected variation in construction activities.

## APPENDIX 3—1.

### CONSTRUCTION TERMINOLOGY

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**Addendum (pl. addenda):** A written graphic instrument issued by the architect before execution of the construction contract that modifies or interprets the bidding documents by additions, deletions, clarifications, or corrections.

**Allowance:** See *cash allowance, contingency allowance*.

**Application for payment:** Contractor's certified request for payment for completed portions of the work and, if the contract so provides, for materials or equipment suitably stored pending their incorporation into the work.

**Architect:** Designation reserved, usually by law, for a person or organization professionally qualified and duly licensed to perform architectural services.

**As-built drawings:** *Drawings* based on field measurements for an existing building. The level and detail of measurements included in the drawings will depend on how the drawings will be used.

**Bid opening:** The physical opening and tabulation of sealed bids following the time specified in the bidding requirements. This term is preferable to "bid letting."

**Bidding documents:** Collectively, the bidding requirements and the proposed *contract documents*, including any *addenda* issued prior to receipt of bids.

**Building inspector:** See *code enforcement official*.

**CAD (or CADD):** See *computer-aided design*.

**Cash allowance:** An amount established in the contract documents for inclusion in the contract sum to cover the cost of prescribed items not specified in detail, with provision that variations between such amount and the finally determined cost of the prescribed items will be reflected in *change orders* that appropriately adjust the contract sum.

**Certificate for payment:** A statement from the *architect* to the owner confirming the amount of money due the contractor for work accomplished, or materials and equipment suitably stored, or both during a specific period.

**Certificate of substantial completion:** A certificate prepared by the *architect* on the basis of an inspection (a) stating that the work or a designated portion thereof is substantially complete; (b) establishing the date of *substantial completion*; (c) stating the responsibilities of the owner and the contractor for security, maintenance, heat, utilities, damage to the work, and insurance; and (d) fixing the time within which the contractor shall complete the items listed therein.

**Change order:** An amendment to the construction contract signed by the owner, *architect*, and contractor that authorizes a change in the work, an adjustment in the contract sum or the contract time, or both.

## CONSTRUCTION TERMINOLOGY (continued)

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**Code enforcement official:** A representative of a governmental authority employed to inspect construction for compliance with applicable codes, regulations, ordinances, and permit requirements.

**Computer-aided design:** A term applied to systems or techniques for design and drafting that use integrated computer hardware and software systems to produce graphic images.

**Construction budget:** The sum established by the owner as available for construction of the project, including *contingency allowances* for bidding and for changes during construction. See also *project budget*.

**Construction documents:** *Drawings* and *specifications* that set forth in detail requirements for the construction of the project.

**Construction manager:** An individual or entity who provides construction management services. This entity may remain as advisor (CMa) during construction or become the construction contractor (CMc).

**Contingency allowance:** A sum included in the *project budget* to cover unpredictable or unforeseen items of work or changes in the work. The amount of the contingency allowance will vary with the stage and type of project.

**Contract award:** A communication from an owner accepting a bid or negotiated proposal. An award creates legal obligations between parties.

**Contract documents:** These include the agreement between owner and contractor; conditions of the contract (general, supplementary, and other conditions); *drawings, specifications, and addenda* issued prior to execution of the contract; other documents listed in the agreement; and modifications issued after execution of the contract.

**Critical path method (CPM):** A schedule or diagram of all events expected to occur and operations to be performed in completing a given process, rendered in a form that permits determination of the optimum sequence and duration of each operation.

**Design development documents:** *Drawings* and other documents that fix and describe the size and character of the entire project regarding architectural, structural, mechanical, and electrical systems; materials; and such other elements as may be appropriate.

**Design development services:** Services in which the *architect* prepares the *design development documents* from the approved *schematic design* studies for submission to the owner for approval. Design development is the middle stage of design, between *schematic design* and *construction documents*.

**Detail:** A detail is a drawing at a larger scale of part of another *drawing*, indicating in detail the design, location, composition, and correlation of the elements and materials shown.

**Dimensions:** Numbers that indicate the quantity or measure of items shown on the *drawings*. Building dimensions are normally given in feet, inches, and fractions of inches, and should be oriented on the *drawings* for reading from either the lower or right-hand side of the sheet. Dimensions should never be determined by measuring *drawings* with a scale; in the event of a discrepancy between a scaled dimension and the figures given for that dimension, the figures will govern.



## CONSTRUCTION TERMINOLOGY (continued)

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**Drawings:** Graphic and pictorial documents depicting the design, location, and *dimensions* of the elements of a project. Drawings generally include *plans, elevations, sections, details, schedules,* and diagrams. When capitalized, the term refers to the graphic and pictorial portions of the *contract documents*.

**Elevations:** Two-dimensional, graphic representations of the design, location, and certain dimensions of the project, seen in a vertical plane viewed from a given direction. Elevations may be of exterior or interior (wall) surfaces.

**Fast track:** A process in which certain portions of the *architect's* design services overlap with construction activities in order to expedite the owner's occupancy of all or a portion of the project.

**Feasibility study:** A detailed investigation and analysis conducted to determine the financial, economic, technical, or other advisability of a proposed project.

**Final acceptance:** The owner's acceptance of the project from the contractor upon certification by the *architect* of *final completion*. Final acceptance is confirmed by making final payment unless otherwise stipulated at the time this payment is made.

**Final completion:** Term denoting that the work has been completed in accordance with the terms and conditions of the *contract documents*.

**Inspection:** (1) Examination of work completed or in progress to determine whether it conforms with the requirements of the *contract documents*. Distinguished from the more general observations made by the *architect* from time to time on visits to the site during the progress of the work. (2) Examination of the work by a public official, owner's representative, or others.

**Low bid:** Bid stating the lowest price proposed by two or more bidders for performing the work, including selected alternates. Must conform with the *bidding documents*.

**Lowest responsive bid:** The lowest bid that is responsive to and complies with the requirements of the *bidding documents*.

**Plan:** A two-dimensional, graphic representation of the design, location, and dimensions seen in a horizontal plane viewed from above. Notes given on the plans should cross-reference *sections* and *details*, and materials should be indicated to the maximum extent feasible.

**Program (architectural or facilities):** A written statement setting forth design objectives, constraints, and criteria for a project, including space requirements and relationships, flexibility and expandability, special equipment and systems, and site requirements.

**Project budget:** The sum established by the owner as available for the entire project, which for building projects includes the *construction budget*; land costs; costs of furniture, furnishings, and equipment; financing costs; compensation for professional services; costs of owner-furnished goods and services; *contingency allowance*; and similar established or estimated costs.

**Project closeout:** Requirements established in the *contract documents* for final inspection, submission of necessary documentation, *final acceptance*, and final payment on a construction project.

**Project manager:** (1) Term often used interchangeably with "project architect" to identify the individual designated to manage the firm's services related to a given project. Normally, these services include administrative responsibilities as well as technical responsibilities. (2) Regarding the contractor or *construction manager*, the term may refer to the individual designated by that entity to manage that entity's activities.

## CONSTRUCTION TERMINOLOGY (continued)

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**Proposal request:** A document issued by the *architect* after *contract award* that may include *drawings* and other information used to solicit a proposal for a change in the work; sometimes called a “request for change” or “bulletin.”

**Punchlist:** A list of work to be completed or corrected by the contractor after *substantial completion*; sometimes referred to as “punch list.”

**Schedules:** Tabulations of items of information of a similar nature that are used to limit repetitive drafting and notes. Schedules may be developed containing data for room finishes, hardware, laboratory equipment, columns, footings, lintels, plumbing fixtures, lighting fixtures, etc.

**Schedule of values:** A statement furnished by the contractor to the *architect* reflecting the portions of the contract sum allocated to the various portions of the work and used as the basis for reviewing the contractor’s *applications for payment*.

**Schematic design:** Services in which the *architect* consults with the owner to ascertain the requirements of the building project and prepares studies consisting of *drawings* and other documents that illustrate the scale and relationships of the building components for approval by the owner. The *architect* also submits to the owner a preliminary estimate of construction costs based on current area, volume, or similar conceptual estimating techniques.

**Section:** A *drawing* of a surface revealed by an imaginary plane as if it were cut through the building. Generally speaking, a section refers to a vertical cut. The locations at which sections are cut should be indicated on both *plans* and *elevations*.

**Shop drawings:** *Drawings, diagrams, schedules, and other data* specially prepared for the work by the contractor or a subcontractor, *sub-subcontractor, manufacturer, supplier, or distributor* to illustrate some portion of the work.

**Specifications:** The specifications, together with the agreement, the conditions of the contract (general, supplementary, and other conditions), the *drawings, all addenda* issued prior to the execution of the agreement and all modifications thereto, compose the *contract documents* for most construction projects.

**Specifications division:** A format for writing construction *specifications*. A great majority of the *specifications* written for construction today in the United States and Canada use a standard “16 divisions” format. A respectable majority of them also break down the “divisions” into “sections.” Divisions group related “sections” into a standard framework without conflicting with the normal bidding procedures or local trade jurisdictions. The 16 divisions are currently titled as follows:

Division 1—General Requirements

Division 2—Site Work

Division 3—Concrete

Division 4—Masonry

Division 5—Metals

Division 6—Wood and Plastics

Division 7—Thermal and Moisture Protection

## CONSTRUCTION TERMINOLOGY (continued)

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Division 8—Doors and Windows

Division 9—Finishes

Division 10—Specialties

Division 11—Equipment

Division 12—Furnishings

Division 13—Special Construction

Division 14—Conveying Systems

Division 15—Mechanical

Division 16—Electrical

Sometimes in correctional work, a 17th division, Security Electronics, is also used.

**Substantial completion:** The stage in the progress of the work when the work or designated portion thereof is sufficiently complete in accordance with the *contract documents* that the owner can occupy or use the structure for its intended use.

**Sub-subcontractor:** A person or entity who has a direct or indirect contract with a subcontractor to perform any of the work at the site.

**Superintendent:** The contractor's representative at the site who is responsible for continuous field supervision, coordination, completion of the work, and, unless another person is designated in writing by the contractor to the owner and the *architect*, the prevention of accidents.

**Unit price:** Amount stated in the bid as a price per unit of measurement for materials or services as described in the *bidding documents* or in the proposed *contract documents*.

**Value-enhanced design:** The process of analyzing the elements of a building design in terms of its cost-effectiveness, including the proposed substitution of less expensive materials or systems for those initially suggested (this is also referred to as "value engineering").

**Warranty:** Legally enforceable assurance of quality or performance of a product or work or of the duration of satisfactory performance.

**Source:** Adapted from American Institute of Architects, *The Architect's Handbook of Professional Practice*, 13th ed., New York: John Wiley & Sons, 2001.



**CHAPTER FOUR**



Staff/Human  
Resources



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## CHAPTER FOUR

# STAFF/HUMAN RESOURCES

### ACTION PLANS

Action plans for staffing and human resource tasks may include—

- Staffing plan.
- Recruitment/selection plan.
- New staff.

### Overview

Successful occupation of the new jail will require adequate staffing. The role of the transition team will vary depending on the personnel/human resources of the department and/or jurisdiction and the work done during the planning process. These tasks may include creating a staffing analysis and obtaining the needed funds as well as recruitment and selection of personnel.

### Importance of Staffing to Transition

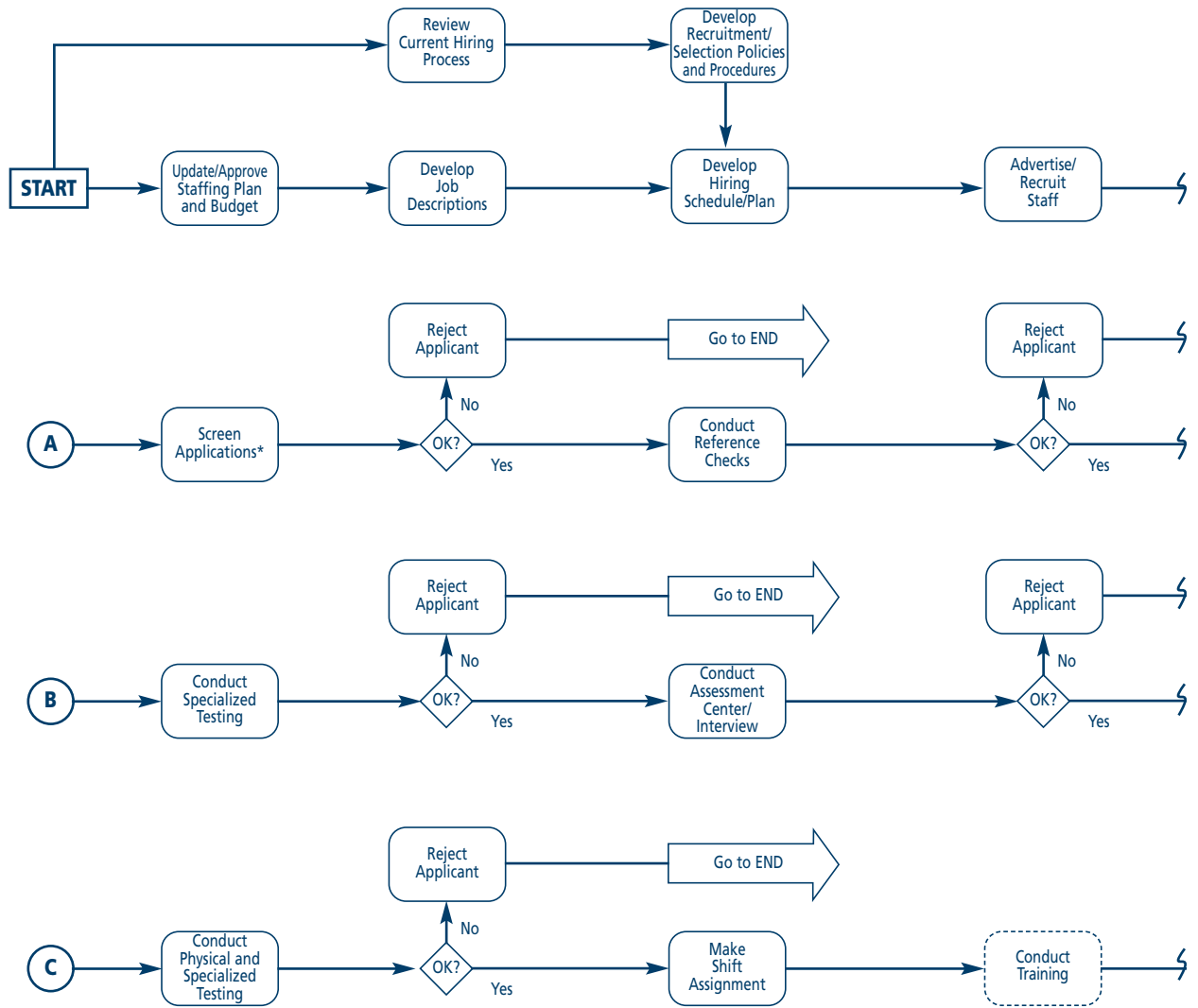
Ideally, the new facility's staffing requirements will have been determined as part of the initial planning process. In this case, staffing tasks during transition will focus on ensuring that initial staffing assumptions remain valid and assisting in the recruitment and selection process. Early in transition, transition team members must meet with the jail administrator and/or chief executive to see what actions have been taken to date and determine the transition team's role in this process. It can be politically devastating to have a new facility that is complete and not have the staff to operate it. Although the transition team may not have control over these issues, it needs to take all reasonable actions to ensure that adequate human resources are available and ready to work when the new facility opens.


### General Staffing Issues

Jail staff is one of three essential resources that can help the institution achieve its mission of safety and security for the public, staff, and inmates. Along with the physical plant and technology, staff members make the jail and its programs work. Staff is also the largest operating cost. In any given year, most jails spend between 70 and 80 percent of their budgets on staff salaries and benefits. Unlike capital costs, staffing costs are not onetime expenditures. They continue year after year.

Because of the expense, the importance of adequate and appropriate staffing, and competition for scarce resources both inside and outside the department,

## Exhibit 4–1. Staffing/Recruitment Flowchart



 = Task is part of another chapter, but is critical to completion of this flowchart.

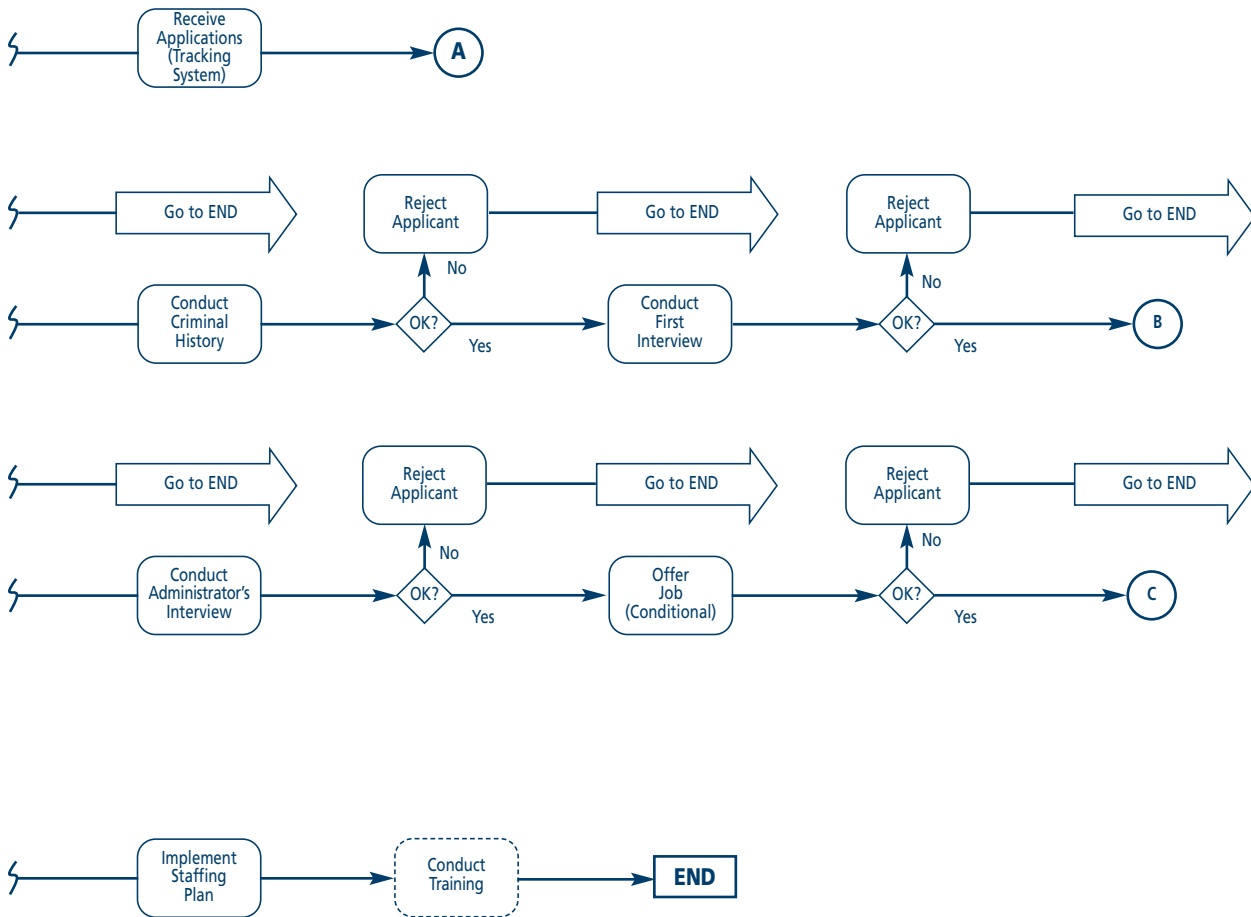
\* = Your organization may complete these tasks in a different order.

staffing costs are likely to be a source of conflict. Jail administrators often experience difficulty when they want to increase facility staffing levels. The transition process provides an ideal opportunity to educate public policy-makers and the chief executive officer on staffing issues.

Exhibit 4–1 illustrates the major elements of staffing as they relate to transition.

### Staffing Analysis

Staffing analysis is a process that allows you to identify, justify, and document the number of staff required to operate a facility. Staffing analysis can



be done in various ways. Regardless of the method used, the goal of the process is to develop a responsible and reasonable justification for the number of staff required to operate the facility.

**When Should Staffing Analysis Be Done?**

Ideally, each jurisdiction will have analyzed staffing requirements during planning and programming and obtained agreement with the funding agency at that time. The jurisdiction

will also have taken pains to ensure that the agreed-upon staffing level continues to be valid during the design process. However, sometimes jurisdictions are less cognizant of the importance of determining and reaching agreement on staffing levels early in the planning process. For these jurisdictions, completing a first staffing analysis will be a critical transition task that must be linked with the budget process.



If a staffing analysis was not completed during the planning and/or design process, you will need more detail than this resource manual can provide. The National Institute of Corrections' *Staffing Analysis Workbook for Jails*, Second Edition, provides detailed information about how to do a staffing analysis. Usually the architect will have worked with the county representatives to develop a preliminary staffing analysis so the jurisdiction would be aware of staffing implications, but architects should not do the final staffing analysis for the facility. They do not have the knowledge of the jail's operation that is required to do a complete analysis.

For many jurisdictions, the key staffing analysis that must be developed during transition is a startup staffing analysis. This is particularly true if the ultimate capacity of the new facility is greater than the number of inmates who will be moved from the old institution.

### Staffing Analysis Terminology

Staffing analysis uses the following terms:

- **Post.** A staff assignment to a specific place or a specific function.
- **Staffing pattern.** The relationship of posts over time.
- **Schedule.** Days and times staff are expected to work.
- **Net annual work hours.** A calculation of the number of hours staff are available to work based on the contracted number of hours per year minus the number of hours off per staff person per year.

### What Is the Staffing Analysis Process?

Most staffing analysis is built around an analysis of the posts required to operate a facility. Posts are related to either a place or a function and apply to all types of staff. Common examples of posts include control officer, floor officer, and shift supervisor. However, posts also include assignments such as facility administrator, program coordinator, food service manager, and clerk. Posts can be filled by one or more staff members, typically within one job classification. The staffing pattern determines when these posts are needed. The staffing pattern is different from a schedule because it considers all shifts and all times of the day.

About 60 percent of the jail's personnel resources come directly from the staffing pattern. If staff were always available to work, then the staffing pattern by itself would provide a good estimate of the number of staff required to operate the facility. However, staff are *not* always available. They have scheduled time off and various types of leave. A number of processes are used to determine the impact of leave. The "net annual work hours" method is described in the *Staffing Analysis Workbook for Jails*, Second Edition. Regardless of the method used, the process uses historical data to calculate how much time the average staff member within a job classification is available to work, dividing that into the total number of hours that the agency needs to have the posts filled.

The staffing analysis process typically consists of four steps but, for transition, a fifth is recommended:

1. Identify all of the staff posts required to staff the building when inmate capacity is reached.
2. Identify when each post needs to be staffed.
3. Identify which posts must be staffed, which posts could be collapsed or combined, and when each mandatory post is needed.
4. Calculate and apply the net annual work hours factor to identify the total number of staff required.
5. Repeat the process for startup staffing requirements.

The staffing analysis process itself is quite straightforward and basically consists of the first four steps. The challenge for transition teams is to avoid replicating the staffing pattern of their existing jail if it does not apply to the new facility. The fifth step is often critical for transition teams. In many cases, the population that will be moved to the new facility is significantly less than the facility's ultimate capacity. As a result, the team will need to look for strategies that will allow them to move into the new facility with an appropriately sized staff. One strategy might be to consider housing inmates in one area of the facility, leaving other areas—and other full-time posts—vacant until they are required. This approach is clearly related to the department's operating budget.

### What Factors Influence the Staffing Pattern?

Three primary factors influence the staffing pattern:

- **Mission.** Defines the purpose of the facility. The facility's mission influences staffing through the operational philosophy it articulates and/or implies and its statement of what the facility is to accomplish. Together these factors, along with professional standards, help define the type and level of programs and services provided in the facility.
- **Physical plant.** Provides the environment in which corrections operations occur; the physical plant can function as both an asset and a liability. The design and layout of the physical structure directly affect the staffing level. The physical plant dictates staff members ability to maintain sight and sound contact with the inmates, and their ability to classify inmates, and determine flow patterns and, to some degree, the method of supervision. Analyzing the facility for staffing needs provides the transition staff with an excellent opportunity to learn about the jail.
- **Operations and activities.** Determine the frequency with which activities are carried out together with schedules and the environment. The number, frequency, and schedule of inmate programs and services, as well as the number and type of individuals being detained, dictate the staffing level in part. Jail management can control the level of some activities but can do little to regulate others. For example, management staff can typically determine when it will permit family visitation, but can rarely define when it will admit prisoners.

Jail management can control the level of some activities but can do little to regulate others.

At the most basic level, adequate staffing is a matter of numbers. . . . however, adequate staffing is much more than numbers.

As the transition team develops scenarios and drafts policies and procedures, those documents influence operations and activities; as a result, work affects staffing. It is essential that transition team members understand the basic assumptions that were made about staffing levels when the facility was planned and designed and that their work remain consistent with the basic intent of earlier staffing efforts. Transition teams that do not have the benefit of previous work have a far more challenging task. They must develop a staffing plan that is responsive to both design and operations and fits within the resources allocated.

### What Is Adequate Staffing?

Ultimately, the outcome of the staffing analysis is to ensure that the jail has an adequate level of staffing to operate safely and securely. At the most basic level, adequate staffing is a matter of numbers. This concept is best illustrated by looking at how many people it takes to provide 24-hour coverage of a single assigned post 365 days a year. A 24-hour-a-day post must be staffed 8,760 hours a year; an employee works approximately 40 hours a week—approximately 2,080 hours if that employee were available to work 5 days a week, every week of the year. Divide the total number of hours that must be worked by the total number of hours that the typical staff member could work, and basic math shows you that you need at least 4.2 officers to cover that post.

The problem is that the average employee is not available 2,080 hours a year. Staff take vacation, get sick, use other types of leave, and go to training, among any number of other activities—all of which make them unavailable to

work at the post where you need them. When you include staff members' typical use of leave in the equation, you actually need five staff members to cover a post. No factor is more critical in determining the number of staff than net annual work hours.

If adequate staffing were just a question of having the right number of staff, then the only possible response to staffing needs would be to add more staff; however, adequate staffing is much more than numbers. Staff must work when and where you need them. The work of jails is not always distributed evenly. Some hours of the day and week tend to be busier than others. Sometimes the day shift, especially Monday–Friday, has a disproportionate amount of the activity; it may also have a disproportionate amount of staffing. Sometimes this is the result of meeting staff's desire for "more typical schedules." Staff members want weekends off; they want vacations in the summer; and many do not like working night shifts. As a result, jail administrators have to weigh the value of giving staff members the time off they prefer against having the facility staffed consistent with workload. This does not change during transition.

Finally, maintaining an adequate staffing level also means ensuring that the staff is doing the right things. Unfortunately, in both day-to-day operations and critical situations, it does little good if staff members fail to follow policies and procedures or fail to do what they have been trained to do. The transition team has a unique opportunity to influence this component by the quality of the training provided during transition.

## Staffing Report

Transition teams frequently have to document staffing requests, particularly if no staffing analysis was completed during planning. If the jail requires additional staff, the request for personnel generally needs to be initiated a year in advance. It is important for the transition team to understand the budget cycle and when budgets are due. The transition coordinator should initiate this task by reviewing planning documents that may have addressed staffing. Also, the training coordinator should meet with the jail administrator and the chief executive officer to receive their input. It is not unusual to hear “We promised not to increase staff if ‘they’ built us a new jail.” This may be in spite of doubling the inmate capacity. At the onset, understand what is expected of the transition team regarding staffing levels.

Overcoming unrealistic staffing expectations is a serious problem for the transition team. First, the team needs to understand the assumptions on which prior staffing levels were established, and then determine if any of these assumptions have changed. If they have, then clear analysis of the differences should resolve some of the issues. As part of this process, the transition team must make certain that it is not importing the old jail’s view of staffing into the new. Situations in which design failed to allow the staffing levels identified during planning, or in which no staffing levels were established, are more difficult. In these situations, the transition team may need to look for strategies, such as not opening all of the housing units, that will allow the facility to start operating safely and securely while some staffing issues are resolved or deferred.

## Recruitment and Selection

The role of transition regarding recruitment and selection will depend on the resources of the department and jurisdiction. Possible tasks may include—

- Developing and writing position descriptions.
- Developing and assisting with the recruitment strategy.
- Developing and assisting with the selection strategy.

## Position Descriptions

Position descriptions may need to be developed or rewritten to be consistent with the operations of the new jail. New positions that are not in the current job classification system may require research. Abilities to consider are hand/eye coordination to operate electrical control panels and touchscreens, verbal communication skills for direct supervision facilities, and physical conditioning for jails that require staff to move continuously through housing units that often have steps.

## Recruitment Strategies

Current recruitment strategies should be reviewed to determine if you are getting the number and types of staff members you need. If not, the transition staff should identify the problems and share these with the appropriate staff in either your department or the jurisdiction. A new recruitment strategy may need to be developed to ensure that the pool of qualified applicants is large enough for the number of personnel who will be recruited during this short period of time. Recruitment strategies may include—

- Advertising—radio, television, print.

Overcoming unrealistic staffing expectations is a serious problem for the transition team.

Just as you may revisit the current recruitment strategy, this may be the time to review your selection process.

- Colleges and universities.
- Direct mailings.
- Hiring incentives.
- Internships.
- Job fairs.
- Military bases.
- Newsletters (neighborhood, civic groups).
- Online services and the Internet.
- Open houses.
- Professional journals.
- Professional agency meetings.
- Public service announcements.
- Recruiting firms/headhunters.
- Speaker bureaus.
- Volunteers.
- Word of mouth.

### Selection Process

Just as you may revisit the current recruitment strategy, this may be the time to review your selection process. Start by analyzing the current selection policies and procedures and determining if you are getting the intended results. If your department has a personnel officer, you two should meet to clarify your respective roles and any legal requirements that relate to recruiting and selecting personnel; if no one in your department is involved in this process, meet with the jail administrator and the jurisdiction's personnel officer.

New instruments, forms, tests, brochures, and other materials may be required to implement the new selection process. The selection process may include evaluation of the application, an initial interview, a reference check, a criminal history check, a tour

of the facility, an aptitude test, final interviews, psychological screening, and a physical examination. Applicants should be evaluated after each activity to determine if they should continue with the process.

Comprehensive screening has associated upfront costs, not only in staff to manage the process, but also in the purchase and/or development of instruments and the use of specialists, i.e. psychologists. However, the costs spent on screening may help reduce both staff turnover and the costs of recruiting, selecting, and training new staff. If you decide to enhance the hiring process, make that decision early in the process so you can budget for any associated costs.

### Personnel Management Resources

The tasks discussed in this chapter indicate that the staff/human resources activities may require more resources than the jail and/or the jurisdiction is used to using. Just consider the time that will be required for more comprehensive testing and background investigations; this time crunch can be compounded by the need to bring a number of new staff on at the same time to facilitate training. At a minimum, consider using the following resources:

- **Human resources coordinator.** Designate one staff member to coordinate with the department and jurisdiction. For most agencies, this will be a collateral assignment.
- **Human resources budget.** In addition to the budget for new staff, you will need a separate human resources budget to support recruitment, selection, and testing

activities. These dollars may not be in the jail budget, but rather in another department's budget. It is in the jail's best interest to see that money is allocated for this purpose, regardless of the budget in which the funds are located. Jail administrators may want to actively support the jurisdiction's human resources budget request to enhance the jail recruitment/selection process.

- **Staff scheduling.** Assuming the budgets have been approved and staff employed, the jail administrator or designated staff will need to develop a staff schedule. It is important that the schedule reflect a balanced approach to integrating new and old staff while meeting both the needs of the jail and any contractual obligations.

The degree to which transition personnel will be involved in staffing and human resource issues varies widely. As a transition assignment, staffing and human resource tasks will have periods of intense activity that may be followed by periods of relative inaction. Regardless of the degree to which transition team members are involved in the recruitment and selection process, one of their most critical tasks—training—depends on the individuals who are responsible for selecting personnel completing their tasks on schedule. At

a minimum, this suggests a strong need for frequent communication and coordination; it presents an excellent opportunity to enhance relationships among the divisions of the department and/or between the department and the jurisdiction's human resources agency.

### Final Thoughts

The transition team needs to develop a human resources timeline that clearly identifies the relationships among the hiring process, training requirements, and the budget cycle. Many jurisdictions defer hiring until the latest possible moment because of its impact on the budget. However, deferred hiring often creates unrealistic expectations for training. During the early phases of transition, encourage development of a realistic timeline for this task.

This transition task has discrete periods of activity. Relatively early in transition, the human resources specialist may spend a considerable amount of time on staffing issues; this activity must be coordinated with the budget process. Depending on the length of transition, a significant lull may occur before the intense activity of recruitment and selection begins. This may allow the human resources specialist to help develop the documents associated with the middle stages of transition.

**CHAPTER FIVE**



Document  
Development



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## CHAPTER FIVE

# DOCUMENT DEVELOPMENT

### ACTION PLANS

Action plans for document development may include—

- Document management.
- Mission statement/operational philosophy.
- Operational scenarios.
- Policy statements.
- Policies and procedures.
- Forms.
- Post orders.
- Inmate handbook.
- Activity schedule.

### Overview

Developing written documents is the most detailed and time-consuming transition task. This chapter discusses the principles and mechanics of document development. It begins with a discussion of the sources of and the relationships among the documents, the operational benefits of well-prepared documentation to both transition and new jail operations, and the staff and other resources needed to prepare the documentation. The second section provides a set of general writing guidelines, including document terminology and suggestions for getting started with the writing process and for formatting and style. The rest of the chapter provides detailed directions on how to develop each related document type, including the—

- Mission statement.
- Operational philosophy.
- Scenarios.
- Policies and procedures.
- Forms.
- Post orders.
- Inmate handbook.
- Master schedule.

Before you begin, it is important to understand how these documents fit together. This helps to establish the sequence in which it is easiest to write them. It is also important to spend time determining formats, writing style, and terminology. Everyone who will be involved in writing documents needs to be very familiar with these suggestions and the resources that your team identifies.

The philosophy of operations is the point from which transition work begins.

## How Are the Documents Related?

Documents related to jail operations fall into three main categories:

- External and internal source documents that set forth the legal requirements that the jail must meet.
- Working documents that set forth the jail's general operating philosophy and operating scenarios.
- Documents that govern day-to-day operations, including policies and procedures and the documents that flow from them.

### Sources

Two categories of sources shape the documents that are updated and/or created during transition. The first category comprises laws, regulations, and legal precedents that define what the jail must do. These include correctional standards, statutes, case law, and consent judgments/decrees. The second is the mission statement, which defines the jail's statutory role and the jurisdiction's and the department's values and beliefs. It begins to shape how things will be done. The mission statement sometimes includes a statement of correctional philosophy. Ideally, a mission statement has already been developed and used to shape facility design. The philosophy of operations is the point from which transition work begins.

### Working Documents for Transition

A statement of operational philosophy for the jail division and a description of operational scenarios are two working documents for transition. The statement of operational philosophy is related to the mission statement, but it defines more clearly how the

department believes the facility should be operated and summarizes departmental values and beliefs. It defines the inmate management strategy and general beliefs about the role of programs and services in the facility. Scenarios describe in detail how facility functions will be performed in the new facility. They are the foundation on which policies and procedures are based. Scenarios should be retained according to the document retention schedule used by your jurisdiction.

### Final Document Products

Policies and procedures are the primary documents developed during transition. Policy statements are derived from a combination of standards and operational philosophy, while procedures flow from the scenarios. All of the other documents—forms, the inmate handbook, post orders, and the master schedule—are derived from the policies and procedures.

## How Do Documents Benefit Transition and New Operations?

Well-written, consistent, current documents have positive effects on both transition and new jail operations:

- **Documents can be useful in hiring staff.** Policies and procedures can be used to determine an applicant's reading and comprehension skills. Forms and form descriptions can be used to see if the applicant can follow written instructions.
- **Documents are the foundation of training.** Policies and procedures can be the principal training documents; forms are often used in simulation training. Many lesson plans use policies and procedures as the basis for the training curriculum.

- **Documents may be used as the basis for testing.** Promotional exams to assess competency level may test the employee’s knowledge of policies and procedures.
- **Documents are essential for staff supervision.** Without good documents to provide direction to staff, staff disciplinary action may be unproductive and unfair.
- **Consistency in documents promotes consistency in operations.** Consistency is essential to a successful operation.

### What Resources Are Required for Document Development?

The primary resources needed to develop documents are—

- Staff.
- Computers.
- Project documents.
- Standards.

The use of standards and existing project documents as sources for the documents to be created in transition has been discussed briefly above under “Sources,” and will be dealt with in more detail on page 5–8 under “General Suggestions About the Writing Process.” The following discussion deals primarily with staff resources, with emphasis on the document coordinator, and briefly touches on the need for computer literacy among staff.

#### *Staff*

The key staff person is the document coordinator, who manages the entire process. The document coordinator should—

- Have a good level of knowledge about corrections.

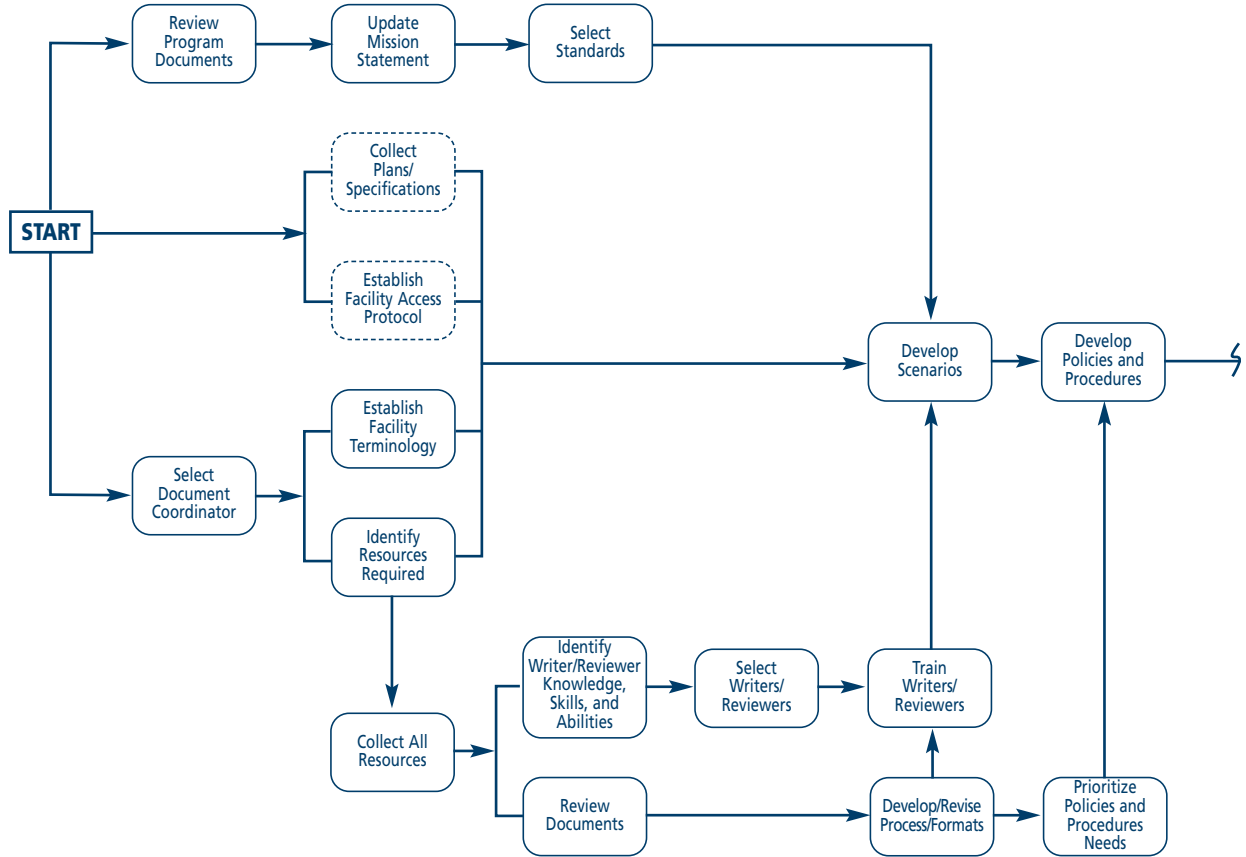
- Be a good writer.
- Be extremely organized; the document manager must coordinate the writing of numerous drafts of hundreds of documents.
- Be detail oriented; the document manager must make sure that all documents are consistent in content, format, and terminology.
- Be able to see how all of the documents relate to one another.


The document coordinator is a full-time position for at least a year before occupancy of the new jail and for several months after occupancy. If you intend to pursue accreditation, this position may become your accreditation manager. In addition to the document coordinator, you will need—

- Writers for the various documents.
- Review teams of “operational experts” (such as cooks, maintenance personnel, support staff, and officers) to provide input to the writers and to review their work.

Because many of the operational experts may not have been involved in earlier planning tasks, it is essential that you help them learn about the new facility’s operational philosophy and basic operating assumptions. By bringing these experts up to speed on these topics, you avoid dealing with groups of experts in the old operation while transition team members are developing the new one. Although this may take a little more time, it can prevent later misunderstandings. Bringing broad-based input to the process ultimately will help to create ownership in the transition process, the documents which will be developed, and the new

## Exhibit 5–1. Document Development Flowchart



 = Task is part of another chapter, but is critical to completion of this flowchart.

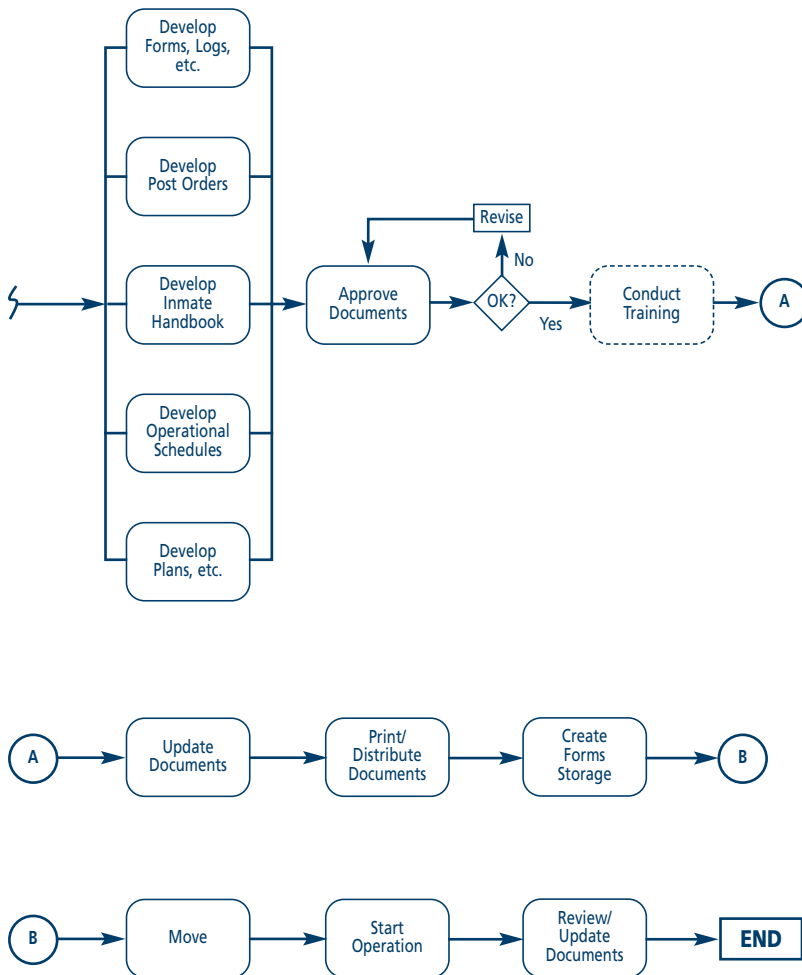
operation. A sample document coordinator position description is included as appendix 5–1.

### **Computers**

Because of the volume of materials to be generated, all writers need to be (or quickly become) computer literate. Consider training not only in the appropriate software programs, but also in effective writing.

### **When Should Documents Be Developed?**

Ideally, documents should be written in a specific, systematic order. Some documents are derived almost completely from others. As a result, starting all of the documents at the same time will probably create inconsistencies and duplication of effort. Unfortunately, few departments have time to finalize all of one type of document before



proceeding to the next. Even if the department has this time, information developed in later documents may result in the modification of earlier ones.

The linear document development flowchart (exhibit 5–1) illustrates the general relationship among the documents. Many documents will be started while preceding documents are still in draft form. Items in boxes with dotted lines are tasks discussed in other chapters of this manual that are critical to completing this task.

### Before You Write

Because document development is one of the largest and most familiar tasks, transition teams tend to leap into this task. However, team members can save themselves a significant amount of time and aggravation by resisting this impulse and focusing on some of the more tedious aspects of writing first. The suggestions in this manual fall into four areas:

- The writing process in general.
- Terminology.

- Format.
- Style.

### **General Suggestions About the Writing Process**

These general suggestions focus on how to get ready to write and how to review the products the team develops.

#### ***Assemble a Resource Library***

Put together copies of all the documents that relate to the project and to specific transition tasks. At a minimum, this should include the new facility's mission statement, the pre-architectural program, the contract documents (plans and specifications), design notes, copies of all relevant standards, and a complete set of your existing policies and procedures, forms, and schedules. Relevant standards will include your state standards (if applicable) and the appropriate set of standards of the American Correctional Association (ACA) and the National Commission on Correctional Health Care (NCCHC). You may also include copies of policy and procedure manuals from other facilities and materials you find through the National Institute of Corrections (NIC) Information Center. You could also include information on relevant jail operational, program, and/or construction topics. Significant portions of this resource library should be both in hardcopy and electronic format.

#### ***Use Standards as a Foundation***

Read the relevant standards before undertaking any writing task. As you write, you will need to reference the standard. The level of reference will vary based on what you are writing. For example, in policies and procedures, you may elect to include the text

from the standard in the document. In scenarios, you may elect only to reference the standard by name and number.

Be sure you follow the standards when you write, and if the standard requires documenting an activity, make sure the procedure that is ultimately developed includes the method of documentation to be used. If it is impossible to meet a standard for specific reasons, indicate so in a "Note" after the standard. You may not need to write a procedure at this time. For example, if the jail does not have an inmate work program, you will not need to write procedures for it. However, if the jail cannot meet the standard for the frequency of outdoor recreation because the recreation area is too small, you still need to write the procedure for outdoor recreation.

#### ***Select and Train Writers***

It is important to select staff members who have good writing skills. Consider the reports that the staff member typically produces in his or her current job. Are they clear and easy to understand? Are they thorough? Writing ability is probably more important than jail experience because the writers should have operational experts available to them. To test writing skills, have applicants use the writing format you select to describe how they arrived at work. This chapter of the manual could be used to train writers.

#### ***Develop Clear Expectations About the Final Product***

Team members need to have a clear picture of what the final product will look like. Although most departments will have some form of policy and procedure document, transition is a time when many departments update their

Read the relevant standards before undertaking any writing task.

policies and procedures manual so that it reflects current thinking and content. In addition, with the advent of automation, many departments use this opportunity not only to change the format of the manual but also to change how they make the manual available to staff. These approaches include searchable automated documents as well as written copies.

### ***Use the New Jail as Your Frame of Reference***

When you start writing, it's easy to get trapped into thinking of your current jail. Think about how the new building is designed to operate. Think about the change in philosophy that is occurring. Ask yourself as you begin to write, "Is this consistent with new jail operations? Or is it based on what we do in the existing facility?"

### ***Consider the Impact on Staffing***

When writing, consider all shifts, including weekends and holidays, and the staffing level associated with those shifts. Do not write policies and procedures that create busywork for jail staff. Write what is necessary to comply with the policy and standards and to eliminate current problems. Ask yourself why you are requiring a particular step. Is it consistent with the jail and proposed operations?

### ***Stay Organized***

How many policies and procedures are in a good manual? If standards provide a clue, there are likely to be at least 100. Each policy and procedure will go through several drafts. You will probably have multiple writers working on these. Multiply the number of policies by an average of three drafts and you can quickly see just how much paper

can be generated for just one document. Organization is key to knowing the status of each of these documents. Each document should have a clear title and associated name or numbering scheme. It should also include the writer, the date and the number of the draft, and page numbers. If it's an electronic document, include a directory location for the electronic file.

As you write, you may find changes that will be required in other documents. A change in a policy and procedure can result in a change in the inmate handbook. You may find a change that will also need to be made in a related procedure. While writing one policy, you may discover that another needs to be written. Develop a list of these changes and new tasks. It may be very helpful to other writers and to the trainers who will use your work to identify known operational changes and any training implications that you identify. This will be a significant help as you develop the later documents and lesson plans.

### ***Don't Get Stuck***

As you begin writing, you will discover a great number of unknowns. Perhaps you don't know the correct title for the new staff person involved with programs or the number on a specific door. Develop a list of questions that need answers, insert a blank space where the information is missing, and go on. Then, don't forget to update the document as information becomes available.

### ***Track Your Progress***

The documents you develop will have multiple drafts. If you do not note the draft number and the document's review status on each, it will be very

difficult to know the status of any particular document by just looking at it. Labeling documents appropriately is especially important when developing policies and procedures.

Develop a tracking log for each type of document after you've developed the review process, especially if it includes various individuals or groups. This log can be generated using either project management software or a database application. The tracking log should—

- List all documents by number and title.
- Provide columns for the number of anticipated drafts and the various reviewing groups in the order of review.
- Note the date and the draft number of the document in the column that identifies where the document is in the writing process.

Appendix 5–2 is an example of a tracking log.

The document coordinator should maintain the tracking log. This allows one person to see the overall status of the policies and procedures and initiate followup if necessary. Regardless of the exact review process that you develop, the last two columns should be “Quality Control” and “Approved.” For quality control, the document coordinator should review all documents for consistency, formatting, and their relation to/conflicts with other policies and procedures. Writers should do this as they draft their documents, but the document coordinator should do one final check. In the “Approved” column, write the date the document was approved. The date on the document should match this date until the entire process is complete. This column will

show quickly how many documents are approved, while the rest of the tracking log will show how many are in progress or need to be started.

### *Use Team Members To Test Your Work*

Most people understand what they have written when they read it because they know what they intended to say. However, jail document writing must be clear to everyone. Use transition team members to review and ask questions about your work. These questions, particularly when raised early, can avoid lots of corrections later on. Remember, this isn't personal—it's about the final product.

### *Establish a Writing Sequence*

Not all documents are equally important, but some have the ability to influence others strongly. For example, a scenario or policy that deals with inmate movement has the potential to influence many others. It's a good idea to identify the key scenarios and write them first. This approach will save you from having several variations of how to move inmates from one place to another attached to another scenario, policy, or procedure; minimize writing time; and decrease the potential for documents that conflict with each other. You also should identify which documents must be in place for training and operations; do these first.

In general, the writing sequence parallels the relationship among the documents: scenarios have to precede policies and procedures. But you may want to consider whether all documents of one type should be developed completely before moving on to the next type or if it would be more appropriate, given time and manpower constraints, to develop all the documents



related to a particular set of functions together. The documents should not be written randomly. Develop an order in which to complete them.

### ***Establish a Review Process***

All documents require multiple levels of review. The review process generally falls into the following sequence:

- **Walkthrough with the blueprints.** “Walk through” or test each draft of a document against the blueprints at the conclusion of each draft to ensure that the document provides sufficient detail.
- **Format and detail check.** Review the document for consistency with the established style and format; check all references to standards, policies, and procedures; and check spelling, grammar, and punctuation.
- **Walkthrough in the building.** Now walk through the document (either in the actual building, or as a step-by-step “talkthrough” with other staff members who have not worked on it). Have staff follow the directions in the document, demonstrating what it tells them to do. If you have to answer questions or correct staff’s actions, then the document needs more detail. Before doing this walkthrough, however, consider that doors, gates, and other entrances will be locked and get any equipment that will be needed. The walkthrough should be as real as possible.
- **Transition team review.** Transition team members should review the revised document to provide their input, check for agreement with other documents, and learn about the new jail and its operations.

- **Operational expert review.** Although the transition team will not need an operational expert to review all documents, it is important to develop a team of supervisors and subject matter experts for areas such as food service, health care, and maintenance to review documents that affect their area of responsibility.
- **Staff review and comment.** The transition team should provide opportunities for all staff to read documents as drafts are developed. All staff are not required to read the materials at this time, but offering these items—even if just by posting the policies and procedures—can help reduce resistance to change. This step tends to increase ownership, provide for a high degree of input, and start the staff orientation process.
- **Final review and approval.** The transition team must determine if jail or department administrative staff need to review the documents. It also needs to determine who should approve the documents and what the approval process will be. It is important to define clearly who has what level of authority to draft and revise documents. Consider the role of the transition staff, transition coordinator, jail administrator, and chief executive officer of the agency. Decisionmaking may vary by subject, i.e., the CEO may not want to decide on trash removal but may want to on booking. A meeting with the department’s and/or jurisdiction’s attorneys may be needed to determine their role in the process. Regardless of the approval process chosen, it is extremely

If you have to answer questions or correct staff’s actions, then the document needs more detail.

important for the reviewers to complete their review and forward their comments and/or approval within a short period of time. Delays in this process could result in the facility opening without a working set of policies and procedures.

### **Suggestions About Terminology**

Decide from the outset what terms to use for people, places, and things in the jail; make those terms clear and concise; and make sure that all writers know about and consistently use those terms. This will reduce the time and cost of writing documents, and will make those documents easier to use and understand.

#### *Establish Naming Protocols*

Name areas, staff, forms, and other things as you want them to be called, which may be different from what is on the plans. Keep names simple and easy to remember. Make sure this common language is consistent with your jail's current and future philosophy. What you name areas will have long-term impact. But don't let uncertainty about a room or position name bog down your writing process; leave blanks and go on. Just make sure that you fill in the blanks as soon as possible. Maintain a list of these terms in both hardcopy and electronic formats to ensure that all writers have access to it and use it consistently.

#### *Use Clear, Concise Titles*

Develop brief titles when possible, i.e., "trash detail" instead of "support service staff and two inmate workers." You will, however, need to describe "trash detail" in the background section or include it as a definition. It's easier to consistently use short, clear terms.

When a lengthy term is the most accurate, e.g., "qualified health professional," consider using an acronym, "QHP." However, use the entire term the first time it is mentioned with the acronym following in parentheses so that the reader understands what the acronym means. When referencing forms, use short, descriptive form names. Add form names to a style sheet or list of definitions to ensure that they are referenced correctly and consistently.

#### *Develop Consistent Styles for References to People*

Consider how easy your style choice will be to read and use in the future.

- **Decide on a consistent style for referring to men and women.** Do you use "s/he, his/hers, him/her," or simply "he, his, him"? Consider using the simpler form of "he" and indicate in the introduction to the policy and procedure manual that "he" applies to both he and she.
- **Decide how to address singular and plural.** Some have used "inmate(s)," but this can make for awkward reading.
- **Consider how you refer to those being held, e.g., arrestees, inmates, prisoners, and be consistent throughout.**
- **Consider capitalizing position titles, forms, and names of rooms and areas to make them stand out from the text.**

Document all of the above decisions on a central terminology list in both hardcopy and electronic formats. All writers and reviewers should have the list and use it while writing and reviewing. As new terminology develops, update

and redistribute the list; it will change frequently during the process. This approach involves considerable discipline, but will result in consistent documents that are easier to understand and use.

### **Suggestions About Format**

Although each type of document will have a format of its own, consider these global suggestions about formats. Formats for specific documents are discussed in more detail in the appropriate portion of this chapter.

#### ***Be Consistent***

Standardize the format before you begin writing and create a document template (a model document that is correctly formatted). Use the same format for each type of document. Be aware of the need for consistency among all writers. Because some documents are related, their formats should be consistent to reduce the time needed to reformat text. For example, the scenario format should be consistent with the general format of policies and procedures. Use a style sheet to document your format choices.

#### ***Organize the Format so Components Can Be Identified Quickly***

How this is done will vary from document to document. For scenarios, a column format often works well, although it does not allow for a significant amount of detail and will not lend itself to a format closely related to the final policy and procedure format. For policies and procedures, headings and subheadings with a change in font, i.e., bold and italics, and good titles make it easy for staff to find what they are looking for.

#### ***Use an Attractive, Easy-To-Read Format***

Make the document (typing and page layout) attractive, with good spacing. Make it easy to read by considering font size and style. Maintain consistent margins for each document and use consistent headings, number formats, and so forth. Avoid excessive use of the outline format and its descending subcategories within procedural steps. If you use the outline method, maintain good sentence structure and a logical thought process.

#### ***Refer to Standards Consistently***

As writers develop documents, they will need to refer to standards. How much of each standard is included in the document is a matter of preference and potentially of technology. If you don't include the text of the standard, make it easy for staff to look at the standard itself. If your manual is automated, you may be able to include a lookup feature for standards.

#### **Suggestions About Style**

Clear and effective writing requires clear and effective thinking. Following the general suggestions about writing style presented below will not only give your writing more clarity, but also help you organize how you look at the tasks you are writing about before you write. The key to writing procedures that are easy to understand and to follow is to break each task down into its component steps, identify who is responsible for performing each step, and present each step in order.

#### ***Write Clearly and Concisely***

These suggestions will help you define the writing style you need for your documents:

For scenarios and procedures, much of the writing involves putting a series of tasks in the correct order and specifying who performs these tasks.

- **Use clear, brief statements.** Avoid long sentences and paragraphs, which are likely to include multiple tasks that require separate steps. Try to limit each step to a single activity. Numbering each step will help to separate each activity.
- **Avoid extra verbiage.** Minimize the use of phrases like “before releasing inmate from unit . . . .” If releasing the inmate occurs later, list it as a separate step.
- **Use the active voice.** This focuses the reader first on the who or the person, and then on the what or the action. Writers often use the passive voice, which describes what is happening, but not who is doing it. Using the active voice ensures that the person responsible will be identified. Examples:
  - Passive:* “The Incident Report is completed and forwarded to the Shift Supervisor.”
  - Active:* “The involved worker writes an Incident Report and hand-delivers it to the Shift Supervisor no later than the end of the shift.”
- **Use the present tense.** This shortens sentences, is easier to read, and makes steps clearer. Whatever tense you use, be consistent in all documents.
- **Use correct and descriptive verbs.** Select your verbs carefully and specifically, e.g., how do you “check” a door? You need to “pull on,” “push,” or “shake the handle of” a door. Choose verbs that describe what is really being done.

### *Specify the Sequence of Steps for Each Task*

For scenarios and procedures, much of the writing involves putting a series of tasks in the correct order and specifying who performs these tasks. The following suggestions can help you organize your writing:

- **Write the typical sequence first.** As you begin to write, approach the typical sequence first—what usually happens in most cases, i.e., lock-down, not refusal to lock down. Continue this sequence from beginning to end. Then analyze the scenario for variances or problems in the typical activity or service and, if necessary, add relevant information to explain the variance or, if there are significant differences, consider writing a second scenario.
- **Keep the steps in order.** Keep steps in the correct sequence for the process being described. Avoid steps like “The Control Room Worker maintains the log of all equipment issued, logging time out and in . . . .” You generally do not log things out and in at the same time. When you issue an item, you record that on the proper form. Later in the process you log items back in. Steps must always be sequential.
- **Group related steps.** After the first draft, look at grouping related steps. For instance, Inmate Mail could evolve into procedures or scenarios on Incoming Mail, Distributing Mail, Collecting Mail, Outgoing Mail, Legal Mail, and Packages.

- **Identify who performs each step.** Indicate who is doing each task in every step. Name positions as specifically as possible. Then use these titles consistently in each step and from scenario to scenario. Remember that telling someone to do something requires a step for the activity to be done and that separate steps are usually required when more than one staff member carries out different functions related to the same step.
- **Identify when tasks must be completed. Be specific.** Does “. . . closing the same day” mean the end of the shift, a 24-hour period, or a calendar day?
- **Specify the means of communication.** When uncertain, leave a blank in first drafts or indicate possible options. “The worker notifies the Shift Supervisor via \_\_\_\_\_ . . .” or “The worker notifies the Shift Supervisor via ?phone or intercom.”
- **Always complete a task.** For example, if you write procedures to follow when allowing inmates to leave the unit, you need to write the steps needed to return the inmates to the unit. Stating that inmates return “in the reverse order” is not sufficient and may be inaccurate.
- **Write background or general information last.** Statements of fact that do not reflect action go in the background section, not in a scenario or procedure. Develop the general information or background after you’ve written steps or during the process, but not before writing action steps. This will help you avoid including information in the background section that should be written as descriptive action steps.

Keep background information to the absolute minimum.

- **Eliminate duplication.** Eliminate duplication between the background and procedural steps.

Now that you’ve reviewed these general writing suggestions, it’s time to explore the different types of documents in greater detail.

### Developing Individual Documents

The remainder of this chapter discusses the preparation of individual documents in greater detail. This discussion proceeds from the higher level documents that are prepared first (the mission statement and operating philosophy) to scenarios (general descriptions of day-to-day activities), then to the policies and procedures manual, and, finally, to the documents that govern specific duties and responsibilities of staff and inmates (post orders, inmate handbook, and master schedule).

#### Mission Statement

Mission statements are often developed at the beginning of a planning process by individuals at the highest level of the organization and jurisdiction. The developers frequently include stakeholders from other agencies, county government, and the community. As a result, staff at lower levels of the organization may not be familiar with the new mission statement, its implications, and its inherent values.

When jurisdictions develop a new jail, they often change their mission because the project represents a shift in correctional philosophy. Hopefully, management personnel in your department will have helped to define that

The mission statement should contain three key ingredients: purpose, responsibilities, and philosophical direction.

shift. The new mission statement sets a new direction, which is then carried out by policies and procedures that the transition team is responsible for developing. The process of moving from the mission statement to policies and procedures begins with understanding what the mission statement should be and how it relates to operational philosophy, and what both ideas imply for the department's preferences in carrying out the requirements of professional standards.

### *What Are the Elements of a Mission Statement?*

Transition team members need to begin their work by locating and analyzing the new mission statement. The mission statement should contain three key ingredients: purpose, responsibilities, and philosophical direction.

#### *Purpose*

The purpose of the jail should include—

- The legal mandate for its operation.
- The role of the jail within the local criminal justice system and, in a general sense, the community.
- The types of inmates who will be held.

By asking the following questions, the transition team may uncover transition responsibilities:

- Is the operation of the jail mandated by state and/or local statutes?
- Who is ultimately responsible for the jail's operation?
- What law enforcement agencies and courts are served by the jail, and how does the jail help them fulfill their responsibilities?
- Whom will this jail hold and why?

#### *Responsibilities*

The mission statement must define the jail's primary responsibilities to its clients/users and other major constituencies. In the broadest sense, those responsibilities are—

- **Security.** Making sure that those individuals incarcerated remain so until legally released.
- **Safety.** Making sure the staff, inmates, and visitors to the jail are not subjected to physical, emotional, or psychological abuse or danger while in the jail.
- **Service.** Providing for the basic human needs of the inmate population and offering program opportunities for those inmates who choose to participate in them.

By asking itself the following questions, the transition team will begin to identify the department's operational philosophy:

- What makes a jail secure?
- What makes a jail safe?
- What are the responsibilities of the jail to its constituencies, i.e., staff, inmates, visitors, and the public?

#### *Philosophical Direction*

Determining the philosophical direction of the new jail requires putting aside current perceptions of the jail's mission, and trying to conceptualize the mission 5, 10, or 20 years into the future. There are many correctional philosophies. Most jails operate with a mixture of the following:

- **Punitive.** The jail's mission is to punish inmates and to house them to fulfill their "debt to society," and to deter them from future criminal activity.

- **Reform.** The jail’s mission is to provide inmates with vocational and educational skills, and instill in them contemporary community standards, to make them productive members of society when they are released.
- **Rehabilitation.** The jail’s mission is to treat the inmates’ social and psychological problems and change their attitudes so they can better “cope” with society on release.
- **Reintegration.** The jail’s mission is to develop a cooperative relationship between the inmates and the community in order to reduce the stigma of criminality and enhance the inmate’s ability to successfully reenter the community on release.
- **Restraint.** The jail’s mission is to operate in a smooth and efficient manner and to tightly control the behavior of inmates through rewards and punishments in order to keep the environment of the jail calm.

By asking themselves some of the following questions, transition teams will begin to identify the underlying correctional philosophy:

- Does the facility provide for interaction with the community through programs, such as work details?
- Does the mission statement suggest anything about the role that inmate programs play in jail operations?
- Is there an emphasis on inmates’ responsibility to repay the community in some way for their offenses?

### **Getting Started**

The tasks of the transition team will vary based on whether or not a mission statement has already been developed.

If a mission statement has been developed for the project, the transition team must—

- Locate it.
- Determine the philosophy and values that are inherent in the mission (this may require additional discussion with those who drafted the mission statement).
- Identify the implications of these values for both the jail’s operational philosophy and the transition team’s specific tasks.

If no mission statement was developed, it is critical that the transition team raise the issue with individuals who participated in planning and designing the facility and document their assumptions about the jail’s mission in a draft mission statement. Additional information about developing a mission statement is available through NIC’s Information Center.

### **Operational Philosophy**

#### ***What Is an Operational Philosophy?***

Community expectations about what the jail should and shouldn’t do vary widely based on local and regional culture. The department also has clear beliefs about how the jail should operate and what its responsibilities to its various constituencies are. These have been known to change with the chief executive. Research and evaluation about “best practices” also provide strong direction about what works in jails and what jails should be doing to carry out their mission. The U.S. Constitution, state constitutions, federal and state statutes, standards, and case law also define what jails must do. Sometimes these expectations conflict with each other. Transition teams need

Research and evaluation about “best practices” also provide strong direction about what works in jails and what jails should be doing to carry out their mission.

to sort through these expectations to define the underlying principles that will define their future operations.

### ***Getting Started***

These suggestions can help the transition team put their operational philosophy into words:

- **Review and analyze the jail’s mission statement.** Team members can review the new jail’s mission statement and, as a group, identify the responsibilities that it defines and its underlying philosophical approach. Ideally, this approach has driven the design philosophy, so thinking about what makes the new building “different” from the old may help with this process. Team members also can talk with individuals in the department who helped draft the new mission statement.
- **Review and analyze the department’s mission statement.** The jail’s operating philosophy must be consistent with the department’s philosophy. Transition team members can review their department’s mission statement—which may include statements of values, vision, and goals. They can then compare it with the new jail’s mission statement and identify the implications of the department’s mission statement for jail operations.
- **Review standards.** By now, team members should have reviewed the standards with which the facility will comply. In addition to examining their state’s standards (if their state has standards for jail operations), team members should review professional standards, most likely the appropriate set of ACA standards. If no standards have been selected, team members should recommend a set of standards to jail administrators and request confirmation of the standards to be used for future operations.
- **Consider best practices.** The degree to which team members are familiar with best practices will also shape their expectations for the new jail. In the past 20 years, the corrections profession has developed a significant body of information about how to improve our business. These changes, identified as best practices, provide a vision of what can be done in your jail. If team members are not familiar with these concepts, consider obtaining additional information from NIC’s Information Center.
- **Draft a statement of operational philosophy.** Transition team members can begin to draft their operational philosophy by identifying the operating principles that will guide how they will do business. These are brief statements that provide direction. Like the mission statement, the operating philosophy should be a clear statement that provides direction about both the intent and the quality of future jail operations. Sample operating principles might include the following:
  - People in the facility are safe from abuse.
  - Communication between staff and inmates demonstrates mutual respect.
  - Inmates are encouraged to change the behavior that led to their incarceration.
  - Staff members treat inmates justly and fairly.



–The jail holds inmates accountable for their behavior both in the facility and in the community.

- **Obtain approval.** After team members have drafted their statement of operating philosophy, the team needs to confirm with both jail and department administrations that these will be the basic principles of operations.

In conjunction with the standards, these operating principles will be the foundation on which the new jail operations will be built.

### Scenarios for Jail Operations

The scenario development process is the foundation for other transition activities that follow; it is an essential activity. Skills learned here will make later transition tasks easier. Scenarios outline the sequence of activities needed to perform a particular function or service, i.e., meal service, visiting, or lockdown. Establishing scenarios allows transition team members to determine jail operations before the building is complete. Scenarios facilitate the development of policies and procedures.

#### *What Are Scenarios?*

A scenario is a written description of how a specific function is to occur. Scenarios are written when there is substantial movement of people (inmates, staff, other jail users), information, and/or things (e.g., food, laundry). Scenarios are used to—

- Develop an overview of how the jail will operate.
- Assist the writers in learning the jail's physical and electronic layout, including systems such as intercoms,

door controls, and closed-circuit television.

- Develop consistent terminology for each space, group of spaces, and system.
- Identify staff posts and agreed-upon post titles.
- Establish a consistent writing style.
- Make policy decisions that will affect daily operations, e.g., which inmates can move escorted or unescorted in the jail.
- Initiate daily activity schedules.

Each scenario should include the following components:

- Name or title of the scenario.
- Date of the current draft.
- Background information that explains elements of the scenario.
- Each step or activity in the scenario and the following associated information:
  - Who performs each step.
  - What resources or equipment are required for that step.
  - What signage is required at that step.
  - What behaviors are desired or anticipated at that step.
  - What policy decisions are made at that step.
  - What case law and correctional standards apply to that step.

#### *Getting Started*

These guidelines provide direction about how to begin developing scenarios:

Global scenarios describe activities that set a pattern for other activities and would commonly be referenced in many other scenarios.

■ **Identify global scenarios.** Global scenarios describe activities that set a pattern for other activities and would commonly be referenced in many other scenarios. They would include scenarios such as Door Controls, Inmate Movement, Lockdown, Perimeter Security, Programs (Centralized and Decentralized), and Reporting to Work. Developing these first minimizes duplication of effort and conflict between scenarios.

■ **Determine scenarios to be written.** Typically, about 25 to 50 major topics require scenarios. These include, but are not limited to, the following:

- Booking.
- Commissary.
- Door Controls.
- Housekeeping.
- Housing Transfer.
- Inmate Counts.
- Inmate Dressout.
- Inmate Release.
- Inmate Showers.
- Inmate Telephone Use.
- Laundry.
- Library.
- Mail.
- Meal Delivery Service.
- Medical Intake.
- Medications.
- Natural Disasters.
- Perimeter Security.
- Personal Property.

- Personal Visits.
- Pest Control.
- Professional Visits.
- Recreation.
- Religious Programs.
- Shift Briefings/Reporting to Work.
- Sick Call.
- Special Visits.
- Staff Meal Service.
- Total Facility Evacuation.
- Waste Disposal.

Many of these can be broken down into more specific scenarios, e.g., Booking a Cooperative Inmate and Booking an Uncooperative Inmate. Creating scenarios for each major topic will likely lead to developing other scenarios, frequently resulting in a total of 100 to 150 or more.

### *Scenario Formats*

Scenarios may be developed using either a column (table) or a narrative format. In the column format, the largest column, “Activity,” is used to record the sequential steps of the process; smaller columns may be used for information such as Resources/Equipment, Signage, and Notes. Other areas to consider including in the column format may be Behaviors (of People Involved) and Policy Decisions. The narrative format presents the same information in a list. Because a list lends itself to more detail than a column format, the narrative format may take longer to develop. Sample scenario formats are provided in appendix 5–3.

## Policies and Procedures

The third type of document to be written is the most familiar: the policies and procedures manual. Other documents that govern day-to-day operations flow from this, including the forms/forms manual, post orders, and inmate handbook. If time is very limited, you might start with writing policies and procedures. If this is the case, it is still advisable to write scenarios for the critical policies and procedures first and then draft the policies and procedures.

### *What Are Policies and Procedures?*

A policy statement is often the first element of a policy and procedure to be written. It should be a concise statement that explains the organization's position on an operational issue. It indicates what is to be done and why. Some jurisdictions divide this into a statement of policy (what) and a statement of purpose (why). In this manual, policy refers to both. The policy statement should relate directly to the standard that it implements (the what) and an operating principle (the rationale for the policy or the why). Keeping the policy statement simple and brief is a challenge; it is tempting to try to fit all the information into the statement instead of keeping it more general.

Procedures are detailed, step-by-step descriptions of the sequence of activities needed to achieve the related policy. Procedures are the who, when, how, and where statements. They tell people what to do and are a primary training tool.

### *Getting Started*

This section provides guidelines for getting started on policy and procedure development:

- **Develop a table of contents.** To begin, develop a table of contents that references the policy and procedure subjects to the applicable standards. Appendix 5-4 lists potential topics for tables of contents and gives several examples of formats for them, including multi-level numeric formats and an alphabetical labeling system.
- **Finalize terminology.** Finalize a list of accepted terminology for rooms, areas, doors, systems, and titles and groupings of staff posts if this was not done during scenario development.
- **Establish a format.** Establish a consistent format for all policy and procedure statements. Although most departments have a current policies and procedures manual, during transition many agencies change both the format of the manual and the way in which it is distributed. Word processing has created a number of options for formatting headings and footers, integrating tables, generating tables of contents and automatic numbering systems, and otherwise enhancing the general appearance and usefulness of these documents. During transition, many departments elect to automate their policies and procedures manual. Some even add a search feature to make it easier to use. The manual can be posted on a department intranet or made available on CD-ROM.
- **Draft the policy statement first.** Remember, the policy statement tells the what and why. It provides the “big picture,” so write it first to ensure that the writer is clear about what is to be accomplished and why it is to be done.

Policies are the what and why statements; procedures are the who, when, how, and where statements.

## GUIDELINE

### Sample Numbering System

#### Numbering System Example

1—Denotes the chapter (Use of Force).

2—Indicates the section of that chapter (Restraints).

3—Indicates the subject (Handcuffing).

#### Alpha Title Numbering System

Administration—Denotes the chapter.

Personnel Management—Indicates the section of that chapter.

Off-Duty Employment—Indicates the subject.

Page x is the page number.

- **Stay focused.** Don't stray from the policy subject when writing the procedure. If you find yourself needing to explain more and more items, consider adding another policy and procedure. Add the new policy statement to the list of documents to be developed. At the same time, be sure that all information presented in the policy statement is implemented completely in the procedures.

### Policy and Procedure Formats

These are guidelines for policy and procedure formats (see examples in appendix 5–5):

- **Develop a numbering and labeling system.** Number the pages of each policy and procedure within that statement. You may want to use a numbering system that uses multiple digits to relate a single policy statement to a chapter or section of the manual (see Guideline, “Sample Numbering System” and examples in appendix 5–5). Each page should have the number in a consistent location. Using an outline format within the procedure sections works well. You may also want to list the policy and procedure chapters alphabetically by subject rather than by the number of a large category such as Administration (for example, look under “B” for a booking policy and procedure).
- **Develop and use consistent headings.** Write all policy and procedure elements (headings) consistently. If a policy and procedure element does not contain text, enter the word “None,” except for the “Authorizing Signature” line.

Consider using the following policy and procedure headings:

**Subject.** The subject is the title of the policy and procedure. It states the main topic that the policy and procedure covers.

**Number or chapter title.** The number or chapter title relates one policy to others. The chapters in the manual may be arranged in the same chapter format as your state standards, other professional standards you may follow, or alphabetically by subject.

**Effective date.** The date that a policy becomes effective is specified here. When developing drafts, show the date and draft number, e.g., 11/08/03 (Draft #1). Distribute policies on a set date approximately 4 days before they go into effect.

**Version number.** Each version typically is numbered in conjunction with the date, e.g., 01.04.03 would indicate that 01 is the version number, 04 is the month, and 03 is the year.

**Authorizing signature.** Before a policy goes into effect, it must be approved and signed by the authorizing official. Decide who will sign each statement, e.g., the jail administrator or another official. If the manual is automated, a signature may be necessary on the copy of record, but not on the electronic copy.

**Distribution.** The group of individuals and posts to which the document will be distributed.

**Policy.** A policy is a brief statement that defines the organization's position on an operational issue. Policy development criteria—

- Use complete sentences.
- Reflect action.
- Provide a rationale for why something is done.
- Are general but directive.
- Are concise (one or two sentences).
- Are clear and unmistakable.

**Source.** The source identifies the legal and professional basis for the policy and procedure. (This section may also be called References or Resources.) Sources generally are standards and statutes.

#### **Background or General**

**Information.** This section contains information that helps the reader understand something, such as an operating system or the location of equipment. These items are statements of fact; each should be numbered. (This section may also be called General Information.)

**Definitions.** Carefully define specific terms used in the policies and procedures so that the terminology is clear to the reader. A term not used in the text of the policy and procedure should not be defined in this section; if it is worth defining, figure out where it belongs in the sequence of the procedures and add the term there. List items alphabetically (and not numbered) and underline and/or boldface them.

**Forms.** List the forms used in each policy and procedure.

**Related Procedures.** List any related policies and procedures.

**Procedure letter, name, and steps.** Procedures are detailed, step-by-step descriptions of the sequence of

activities needed to achieve the desired policy. Procedures should be given a number or letter and should have a subject heading, e.g., Procedure 1 or A: Preplanning the Transport. Often, multiple procedures are needed to implement a policy. Use the following criteria in developing procedures:

- Each procedure requires a policy statement (there is no procedure without a policy).
  - Steps are in sequence.
  - Each procedure indicates responsible individuals/functional units.
  - Each procedure indicates times and locations to complete activities.
  - Each procedure identifies forms by name and number.
  - Each procedure specifies the mode of communication.
  - Each procedure identifies areas where staff may use their discretion in carrying out the procedure.
- **Develop a consistent method of referencing other policies and procedures.** When referencing other policies and procedures, use a consistent style to give the policy and procedure number and the subject name. (See Guideline, “Sample Reference Strategy,” for how to cross-reference policies and procedures. See also the format examples in appendix 5–5.)
  - **Check the reference.** When referencing another policy and procedure, the writer needs to confirm the accuracy of that reference, i.e., that the additional information referred to in the other policy and

### GUIDELINE

#### Sample Reference Strategy

To refer to another policy and procedure: (e.g., see 3.1.10 Inmate Searches).

To refer specifically to one procedure of another policy and procedure: (e.g., see Procedure B of 3.1.10 Inmate Searches).

To refer back to a procedure, or to steps of a procedure, in the same policy and procedure:

- The worker searches the inmate (according to steps in) or (following) Procedure A of this policy.
- The worker escorts the inmate according to Procedure A, steps 3–9, of this policy.

If the manual is automated and the agency has staff with computer expertise, it may be possible to link references so that when a reference is selected, it will take the reader directly to that reference in another section of the procedure or another policy and procedure chapter.

procedure has actually been written there. Read through the other policy and procedure. If it hasn't been written yet, check the table of contents for suggested procedures to be covered in that policy, talk with the assigned writer, and/or establish a "tickler file" for memos about such references to unwritten policies and procedures. Writers should then routinely check through that file for any memos regarding policies and procedures they are writing.

### ***Document Coordination/Management***

As you develop policies and procedures, you will need to create and maintain several resource documents for writers. These can actually be initiated during scenario development. Although it takes time and discipline to do these, in the long run, they will make everyone's job easier.

#### ***Table of Contents***

One of the first steps listed in this section was to develop an initial table of contents. Throughout the documentation process the titles of policies and procedures may change, the policies and procedures themselves may change, and some policies and procedures may be deleted or merged with others. Maintain a central/master table of contents in a location accessible to all writers. Update the table of contents either manually or on the computer as policies and procedures are completed. Simple database programs are very useful for this function. Keep this document current so that all writers know the current policy and procedure numbers, and titles. Doing this allows for proper referencing of policies and procedures. It is also suggested that the table of contents include the current

date and draft number of the policy and procedure. This is an easy way to know the status of the policies and procedures. This information should be updated as each draft is completed.

#### ***Forms List***

This document works well in a column format. The first column lists alphabetically the forms that you identified while writing policies and procedures. The second column lists the policies and procedures in which the form was used. This will be a blank document until the first policies and procedures are written. Update the forms list either manually or on the computer when the first draft of a policy and procedure is completed. Maintaining this list creates a master list of all the forms that will need to be developed.

The forms list also ensures consistency among policies and procedures so that a form that serves the same function is not called different things in different policies and procedures (see appendix 5–6 for a sample list of forms). If a form title changes in the documentation process, the forms list provides an easy way to see all of the policies and procedures that reference the form so that the title can be changed throughout all of the documentation. If the forms list includes the policies and procedures in which each form is used, it will make it easier for the forms developer to make sure what he or she designs meets the documentation needs of the policies and procedures. For example, if the policy and procedure says that the supervisor signs and dates the incident report, then the incident report form must have a place for the supervisor to sign and date the form.

### *Definitions List*

This document lists alphabetically all the definitions used in all the policies and procedures and which policies and procedures the definition was used in. Update the definitions list either manually or in automated form as drafts of policies and procedures are completed. The definitions list promotes consistency throughout the writing process. The same term should be defined the same way in all policies and procedures. Writers should consult the definitions list to see if a definition they need has already been developed. If a current definition must be modified based on new information, the previously written policies and procedures can easily be updated.

If you are disciplined about updating the definitions list throughout the process, you will not need to create a comprehensive definitions list when the policies and procedures manual is complete.

### *Form of the Manual*

The policies and procedures manual should be easy to update, particularly while it is being developed and tested. Put hard copies of the draft materials in a three-ring binder and make them available electronically to staff on an internal management information system. Develop and implement a process to document that staff have read and understand the new policy and procedure statement and determine where documentation of this step will be kept. Develop a system so the document coordinator is available to develop, review, print, and issue statements after the initial manuals are issued. Remember, the policies and procedures need to be reviewed and updated constantly


as staff are trained and as the jail operates. As updates are made, the document coordinator needs to check for consistency in format and content with other documents. This individual is responsible for overall quality control.

## **Forms/Forms Manual**

### ***What Is a Forms Manual and Why Is It Needed?***

Even if a jail has an exceptional strategy for documenting information, during transition some changes in documentation will need to occur. As a result, the transition team is likely to need to develop and revise either paper or automated forms. In this sense, the role of the transition team is similar to that of the accreditation manager, who ensures that the jail is not only in compliance with all standards, but also can document that compliance. It may be surprising that existing forms may change during transition. Some forms include information such as locations and titles that will change in the new institution. Even if the information on existing forms doesn't change, it may be appropriate to put the forms in the new format.

A forms manual is typically used to organize and explain all the forms that are developed during transition. It contains all the forms and reports needed to implement the policies and procedures manual. In the forms manual, forms may be organized by the chapters of the policies and procedures manual or alphabetically by form titles. The forms manual should explain the purpose of each form and how it is to be used. A one-page form could be put in the forms manual as a left-hand page so that users will see the form's description on the right. A form with



Use checklists where appropriate and where consistency of information is desired.

several pages should be placed on a right-hand page and followed by the form description. The form description includes a concise explanation of when to use the form and what information to enter in each blank.

The forms manual includes an alphabetical index. Along with the name of the form, the index lists the names and/or numbers of the policies and procedures that require using the form. Theoretically, this list could be maintained as a database, allowing the list to be sorted and printed by name in alphabetical order or by chapter or policy and procedure number.

Forms should be consistent with the policy and procedure statements. Use the same style (i.e., terminology, titles, and verb tense) to make it easier to relate the forms to the procedures. Make the forms easy to use.

### *Getting Started*

The following guidelines will help you create forms that are easy to use:

- Give the form a brief, descriptive title that clearly indicates its purpose.
- Use distinct, descriptive, and brief subtitles when they add clarity.
- Use wide enough margins on both the left and right sides of forms of several pages to allow for double-sided copying and to provide room for punching holes for notebooks.
- Include the date the form was developed in the footer at the bottom right (or left) corner.
- Show the form's assigned number either under the title or in the footer at the bottom left (or right) corner.

- Use an open, block-style text arrangement by grouping related information and leaving an adequate amount of white space to create an "open" image that separates sections, or use a double line to separate areas of the form.
- Use checklists where appropriate and where consistency of information is desired.
- Number the items of information requested, where appropriate.
- Allow adequate space for the information requested, i.e., do not provide just one line to describe an incident. The amount of space provided sets an expectation.
- Request information in the same basic order on all forms, from specifics (names, dates, locations) to check-off lists, to fill-in-the-blanks sections, to narrative parts (what happened, details).
- Use **boldface**, underlining, or type size to emphasize/bring out section titles on the form. Avoid abbreviations and WORDS IN ALL CAPS, which can be hard to read.
- Determine which forms can be computer generated, which must be completed by hand, and which should be printed on no-carbon-required (NCR) paper (identify the number of copies required).
- Consider the reproduction budget and available equipment/expertise when designing forms.
- Develop a forms table of contents.

### **Post Orders**

#### *What Are Post Orders?*

Post orders are a direct outgrowth of policies and procedures and become a major component of staff training. Post



orders differ from policies and procedures in that a post order informs a single employee of all the tasks for which he or she is responsible while assigned to a specific post.

### *Getting Started*

These guidelines can help you get started in developing post orders.

- **Organization of post orders.** Post orders should be assigned either a number or an alphabetical name, consistent with agreed-upon terminology and previously completed staffing analyses. The post orders should be organized in alphabetical or numerical order in a post order manual that has an index.
- **Relationship to policy and procedure development.** Post order development may begin when the policy and procedure development process is well underway, but post orders cannot be finalized until after the policies and procedures are finalized. The date and draft number of the policy and procedure used to develop the post order could be added after the policy and procedure reference so you can track which version of the policy and procedure was used to develop the post order. The dates and draft numbers can be removed after the post orders are finalized. When policies and procedures are rewritten, the post orders should be reviewed to determine if changes are required.

### *Format*

The transition team needs to adopt a standard format for post orders. This format should include the following items (see appendix 5–7 for a sample post order):

- **Post.** This is the name/title of the post from the policy and procedure, e.g., Booking Officer.
- **Hours of post.** The shifts and times that the post is staffed are listed here.
- **Identifier.** This is the number or name assigned to the particular post order.
- **Effective date.** The date when a post order becomes effective is specified here. When developing drafts, show the date and draft number (e.g., 11/08/02 Draft #1). Post orders should be distributed on a set date approximately 4 days before they go into effect.
- **Version number.** The version and date of the draft of the post order.
- **Authorizing signatures.** Before it goes into effect, each post order may be signed by the authorizing official to confirm its approval. The authorizing official may be the jail administrator or another appropriate department official. Alternatively, an authorizing signature may not be necessary.
- **Post overview.** The overview is a brief description of the post outlining staff’s major responsibilities.
- **Chronological or scheduled duties.** This briefly describes tasks that must be done on a regular basis, which may be daily, weekly, monthly, annually, or on another designated schedule. The supporting policy and procedure numbers and titles are referenced, and staff refer to the policy and procedure statements for how to undertake the task. These tasks must occur at a specific time during the shift, potentially on a specific day of the

A post order informs a single employee of all the tasks for which he or she is responsible while assigned to a specific post.

## GUIDELINE

### Sample Task Statements

#### Time-Specific Task Statements

This style uses a *title* for quick reference, and a brief one- or two-sentence summary/explanation of the duties.

*0730 Shift Briefing*  
(1.3.18 Shift Briefing). All housing workers attend shift briefings.

The style below eliminates the title and uses the brief summary:

0745 The housing worker conducts a shift count at the beginning of the shift (See 3.1.5 Inmate Counts).

#### Random Task Statement

*Welfare Checks*,  
3.1.6 Welfare Checks. All housing workers conduct and document welfare checks on a random hourly basis.

week or at a designated frequency. Indicate this time in the same style used in the policy and procedure statement, e.g., military time or a.m./p.m. The post order task statement may be written in different styles (see Guideline, “Sample Task Statements”).

- **Random or non-time-specific duties.** Random tasks are those that may occur at any time during the shift. The word “random” appears in the column where specific times have been listed for other tasks or the random tasks may be listed in a different section of the post order.
- **General duties.** These duties are those performed by staff on an as-needed basis but governed by policies and procedures. They may include duties such as disciplinary action, emergency situations, house-keeping, and movement.

## Inmate Handbook

### *What Is the Role of the Inmate Handbook in Transition?*

Transition staff members may be so focused on the tasks they need to accomplish for staff that they lose sight of the needs of another significant population—the inmates. The attention paid to preparing the inmate population for transition by providing appropriate kinds and amounts of information and by using this opportunity to establish behavioral expectations can help make occupancy a positive change. This change begins with inmate orientation.

The revised inmate handbook is the primary vehicle for inmate orientation. Inmate orientation represents a microcosm of the transition process; in a number of ways, it is similar to the orientation process for staff. Preparing

for the staff orientation includes developing written materials, which are converted to various forms of training. The same process applies for inmates, although there may be less information to convey.

An inmate handbook is written and provided to inmates to inform them of the rules and regulations, behavior expectations, their rights and privileges, policies and procedures, services, and programs of the jail—in other words, to assist them in learning what they need to know about the operation of the jail, what is expected of them, and what they can expect from staff. Inmates are held responsible for knowing and following the contents of the inmate handbook. Sharing information and requirements with inmates can help to create an environment of cooperation and respect. A copy of the handbook may be given to each inmate at orientation, or copies for inmates’ use can be maintained in each housing unit. The inmate handbook should be reviewed with inmates in detail during their orientation.

### *Getting Started*

The following guidelines should be used when developing or modifying an inmate handbook:

- **Identify information-sharing methods.** Consider how you will provide information to inmates as you begin this project. Will the handbook be printed or videotaped or audiotaped? Will it be presented by staff? Or will it be presented by some combination of these methods? The amount of information and style of the handbook will be influenced by its anticipated size and form. Will it be in booklet form

(8½" x 5½") or on 8½" x 11" pages? A smaller document may be difficult to read and much easier to misplace. The amount of information included may also be influenced by whether your jail will use videotapes or audiotapes along with the handbook.

- **Make it easy to use and easy to read.** Include a simple table of contents and an index. The index should include terms that inmates would look for in addition to those used by jail personnel. Consider the reading level of most inmates and provide strategies to deal with people who have learning disabilities. You can use the grammar functions of most word processing programs to identify the reading level of what you've developed.
- **Set the right tone.** The introduction can set the tone of the entire document. One strategy is to begin with the purpose of the handbook and explain the inmate's responsibility to know the information in the handbook and to retain it. Consider whether you will use a matter-of-fact approach to sharing information; a more personal, helpful approach; or an authoritative tone. Generally set expectations by stating what you want rather than what you don't want. The handbook should support the principles and dynamics of your operating philosophy.
- **Provide the right level of information.** Decide how much information the inmates need on each topic. You could provide lots of details in a conversational style (which may

reduce inmates' requests for clarification from staff, but may make the manual appear too long to read). Or you could present the information in an outline or with numbered steps of short sentences (which may encourage inmates to read it, but may require staff to answer many questions).

- **Decide how to deal with the unknown.** When you begin to write the inmate handbook, some details of the jail's operation may not have been decided, e.g., how often the commissary will be available. You may decide not to include details about some complicated processes, such as bonding out. In either case, you may simply use the phrase, "For more information, ask your Unit Officer." If you use this phrase temporarily, until specific information is available, create a running list of such questions with possible answers for the Unit Officers. As you finalize your operation, potentially after transition, revise the inmate handbook to provide the appropriate information.
- **Consider translating the handbook.** Determine if the handbook also needs to be provided in languages other than English, and develop a strategy to address this need as the final draft of the handbook is completed.
- **Consider timing.** The inmate handbook may be initiated when the policy and procedure process is well underway but cannot be completed until the policies and procedures are finalized.

Sharing information and requirements with inmates [via an inmate handbook] can help to create an environment of cooperation and respect.

The daily schedule has a powerful impact on staffing requirements.

### **Format**

Decide on a logical, easy-to-understand, and consistent way of organizing all the information an inmate needs.

You can—

- Alphabetize key topics.
- Group information into sections of related topics, such as the same chapters used in the policies and procedures manual.
- Write these sections in a somewhat sequential order, the same as the inmate is likely to encounter them.
- Write the sections in their order of importance to the administration (rules and regulations/behavior).
- Write the sections in their order of importance to inmates (what they will want to know first, i.e., food, safety, visiting).

### **Master Schedule**

#### ***Why Create a Master Schedule?***

All jail staff know how the current jail operates, whether there is a master schedule or not. Generally, jails have schedules for program activities, such as visiting, and for staff activities, such as briefings and counts. But a comprehensive schedule for all jail programs and services for staff, inmates, and other jail users is rare. Typically, familiar routines change when the move to the new jail occurs, and the new jail often has more places in which activities can occur, so schedules may change. Because operations in the new jail have not begun, a daily schedule is needed.

It is best not to include times in the policies and procedures because schedules are highly likely to change over time. By making schedules separate documents, it is easier to make changes, keep the information current, and post revised schedules in appropriate staff and inmate locations.

The daily schedule lists all staff, inmate, and other user activities; the days and times the activities occur; and where they occur, if applicable. The daily schedule has a powerful impact on staffing requirements. Think carefully about who will supervise the activity you are scheduling and ensure that you have adequate coverage on the shift to allow the activity to happen when all other activities for that time period are considered.

### **Getting Started**

These guidelines can help you begin to develop the master schedule:

- **Research other documents.** The master schedule is closely related to other documents that are developed during the facility construction and transition process:
  - Some pre-architectural programs include information about scheduled activities.
  - Scenarios may reference times when some activities occur.
  - Post orders indicate times when activities occur at a specific post.
- **Identify activities.** Develop a list of all of your current programs and services regardless of how basic

they may seem. Develop a master list of activities from the previous steps and from the other documents.

- **Plot typical day activities.** Using a white board, easel pad, Post-It Notes, or other means, create a daily schedule for a 24-hour period. This can start at midnight or with your first shift. Plot all of the services on a master schedule with input from all divisions, i.e., security, food, programs, and health, among others. This will create the best schedule in the quickest way and will avoid later conflicts.
- **Refine the typical day.** After creating a typical day, create a typical weekday and weekend day. Then create the daily schedules.
- **Update the schedule.** Distribute the draft daily schedule to all transition staff member. They should use

it as they develop their documents. On a regular basis, the various sections of your organization should come together to revise the schedule. Sample schedules are included in appendix 5–8.

### **Final Thoughts**

Developing the documents takes much of the time involved in transition. It is also one of the most critical tasks because the documents should be in place before training begins. However, if time is short, team members will need to prioritize document development. The team should focus on the critical documents—typically a group of high-priority policies and procedures—and complete these thoroughly and accurately before beginning training.

## Appendix 5—1.

### DOCUMENT COORDINATOR POSITION DESCRIPTION

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**Document coordinator (DC):** A staff person designated by the jail administrator or transition coordinator to coordinate the development of and revisions to policies and procedures (P&Ps), forms, post orders, and the inmate handbook and the distribution of these documents.

Duties may include the following:

1. The DC maintains a filing system with hard copies of P&Ps in the file folders set up for each P&P. The file should be chronological with the latest draft on top.
2. The DC maintains a computer filing system for the facility documents, particularly the P&Ps, because there will be 200+ P&Ps.
3. The DC works with the human resource specialist and the training staff to see that they have the latest P&Ps and to meet the training staff's schedule.
4. The DC knows the basic organization of the P&P manual (i.e., chapter numbers and titles, section numbers and titles).
5. The DC develops a standards compliance system.
6. The DC develops new P&Ps consistent with the established format and writing style.
7. The DC reviews new P&Ps for elements such as proper writing style, format, and terminology, consistent with the P&P manual.
8. The DC reviews new P&Ps for consistency of content with other P&Ps and how the P&P may affect other P&Ps and other documents. The DC updates the necessary documents.
9. The DC reviews updated P&Ps to determine if changes will affect document/activity lesson plans and any tests required in training.
10. The DC notifies training staff of the changes needed to the lesson plan and test.
11. The DC updates/revises current P&Ps.
12. The DC attends command staff meetings to monitor P&P changes and obtain direction.
13. The DC coordinates the printing and distribution of new and updated P&Ps.
14. The DC updates the P&P table of contents and definitions list as necessary.
15. The DC develops a system for ensuring that all staff receive the P&Ps and sign a statement acknowledging that they have read them.
16. The DC develops a system to keep track of all documentation/forms.
17. The DC develops and/or reviews forms for consistency with P&Ps.
18. The DC coordinates the inventorying, printing, and distribution of the forms.

**DOCUMENT COORDINATOR POSITION DESCRIPTION (continued)**

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19. The DC revises or updates the forms manual table of contents, definitions list, index, and forms storage list.
20. The DC coordinates the printing and distribution of post orders.
21. The DC provides a link to the policies and procedures manual or post order manual on any networked computer.
22. Only the DC monitors the use of facility manuals, including removal from designated locations and checkout of manuals to staff.
23. Each month, the DC reviews the manual to identify statements that require annual review (2 months in advance of the review date) and gives the list to the superintendent for review and action.
24. The DC may become the standards accreditation manager.
25. The DC participates in the annual review of P&Ps.

## Appendix 5—2.

**SAMPLE TRACKING LOG**

Priority	Writer	Number	Subject	Draft #1*		Draft #2		Draft #3		Quality Control	Approved
				Out	In	Out	In	Out	In		
		1.1.2.	Mission Statement and Goals								
		1.1.3.	Adult and Youth Separation	–	–	10/10	10/16 H†	11/7			
		1.1.4.	Facility Reports								
		1.1.5.	Facility Manuals	–	–	10/10	10/29	11/7			
		1.1.8.	Organizational Structure‡	–	–	10/1	10/13 H	10/27			
		1.1.10.	Communication Channels§	–	–	10/1	10/13 H	10/28	10/29		
		1.1.13.	Legal Counsel								
		1.1.14.	Internal Affairs								
		1.1.16.	Facility Tours	10/1	10/13 H	10/24	10/29	10/31			
		1.2.13.	Receiving and Documenting Deliveries	–	–	11/5	11/24	12/3			
		1.3.4.	Code of Ethics/Conduct	–	–	9/23 H	9/24	9/26	10/3		
		1.3.19.	Shift Briefings/Reporting to Work	–	–	10/8	10/16 H	10/31			
		1.3.27.	Staff Breaks	–	–	10/2	10/13 H	10/28			
		1.5.1.	Inmate Records								
		1.5.2.	Information Release								
		2.3.1.	Environmental Conditions	–	–	10/8	10/29	11/5	11/25		
		2.3.2.	Tobacco-Free Workplace	–	–	10/7	10/10	10/29	10/31		
		2.4.2.	Routine and Emergency Repairs	–	–	9/23 H	9/23 H	10/2	10/13 H		
		2.4.4.	Housekeeping	–	–	10/30	11/24	12/1			
		2.5.1.	Safety and Sanitation	–	–	11/5	11/24	12/3			

\* Policies and procedures (P&Ps) that have dashes in the Draft #1 columns were provided earlier on disk.

† All P&Ps sent via e-mail unless otherwise noted. F = fax. FE = Federal Express. H = hand delivered.

‡ Rows with lighter shading indicate P&Ps that are final pending decisions or feedback.

§ Rows with darker shading indicate final P&Ps.



**SAMPLE TRACKING LOG (continued)**

Priority	Writer	Number	Subject	Draft #1*		Draft #2		Draft #3		Quality Control	Approved
				Out	In	Out	In	Out	In		
		2.5.2.	Waste Disposal	-	-	10/10H	10/16H	10/23	10/29		
		3.1.1.	Central Control								
		3.1.2.	Inmate Control or Authority	-	-	9/23H	9/24	9/26			
		3.1.3.	Housing Unit Supervision	-	-	10/30	11/24	12/2			
		3.1.4.	Shift Reports	-	-	10/8	10/16H	10/28	10/29		
		3.1.6.	Inmate Counts	-	-	12/10					
		3.1.7.	Inmate Movement	-	-	11/10					
		3.1.8.	Inmate Transports	-	-	11/14					
		3.1.10.	Incident Report	-	-	9/23H	9/24	10/2	10/13 H		
		3.1.11.	Inmate Searches	-	-	10/10	10/29	11/10			
		3.1.12.	Control of Contraband	-	-	10/10	10/29	11/3			
		3.1.13.	Key Control	-	-	11/7					
		3.1.15.	Facility Radios	-	-	11/21					
		3.1.16.	Door Controls								
		3.1.17.	Lockdown/Unlock	10/8	10/16H	10/23	10/29	11/5			
		3.1.18.	Perimeter Security	10/8	10/29	11/4					
		3.1.19.	Crime Scene								
		3.1.20.	Restraints	11/10							
		3.1.22.	Firearms	10/2	10/15H	10/24					
		3.2.1.	Fire Safety Officer/Inspections	11/4	11/24	12/2					
		3.2.2.	Fire Emergency Plan	11/4	11/24	12/2					
		3.2.3.	Total Facility Evacuation	11/4	11/24	12/3					
		3.2.11.	Escapes	10/30	11/24	12/2					
		3.3.1.	Inmate Handbook	10/2	10/13H	10/28					
		3.3.2.	Inmate Rights	10/8	10/29	11/3					

**SAMPLE TRACKING LOG (continued)**

Priority	Writer	Number	Subject	Draft #1		Draft #2		Draft #3		Quality Control	Approved
				Out	In	Out	In	Out	In		
		3.3.3.	Inmate Grievance	10/8	10/16H	10/27					
		3.3.4.	Inmate Rules and Discipline	11/19							
		3.3.5.	Minor Violations	11/19							
		3.3.6.	Major Violations Disciplinary Hearing	11/19							
		3.5.1	Booking								
		3.5.2.	Personal Property	11/12							
		3.5.3.	Housing Transfer and Orientation	11/12							
		3.5.4.	Inmate Release	12/4							
		4.1.8.	Meal Delivery Service	-	-	9/23 H	9/24	10/2	10/13H		
		4.2.5.	Medical Intake								
		4.2.7.	Sick Call								
		4.2.13.	Suicide Prevention/ Intervention								
		4.2.14.	Serious and Infectious Diseases								
		4.2.19.	Medications	11/11							
		4.3.2.	Inmate Showers	-	-	9/23 H	9/23 H	9/26	10/3		
		4.3.4.	Laundry	-	-	10/7	10/15 H	10/24	10/29		
		5.6.1	Recreation	11/7							
		5.7.1.	Mail	-	-	10/13 10/15 H	10/29 F	11/5			
		5.7.2.	Inmate Telephone Use	-	-	10/2	10/13 H	10/29			
		5.7.3.	Personal Visits	-	-	10/15 H	10/15 H	10/30	11/24		
		5.7.4.	Professional Visits	-	-	12/5					
		5.7.7	Staff/Inmate Communication	-	-	9/23 H	9/23 H	10/8	10/29		

# Appendix 5—3.

## SAMPLE OPERATIONAL SCENARIOS

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### Sample Operational Scenario (Column Format)

Title:

Date:

	Activity	Resources/Equipment	Signage	Notes
1				
2				
3				
4				
5				
6				
7				
8				
9				

## **SAMPLE OPERATIONAL SCENARIOS (continued)**

### **Sample Operational Scenario (Narrative Format)**

#### **FUNCTION/ACTIVITY**

Inmate Counts—Housing Units

#### **APPLICABLE POLICIES, STANDARDS, AND STATUTES**

ACA: 4-ALDF-

#### **NARRATIVE**

1. At the designated time, the Unit Officer (UO) tells the inmates via the paging system that it is count time.
2. All inmates go to their designated area, which is inside the cell at the cell door, or remain in their program area, ceasing movement.
3. The UO uses the Housing Notebook and conducts a physical count of all the inmates in the Housing Unit by looking at the inmate. He or she will compare each inmate to the booking photo in the notebook.
4. If an inmate's appearance has changed so significantly that a new identification photo is needed, the UO will arrange for a new photo to be taken.
5. The UO compares his or her count to the Unit Roster and the Movement Log to account for all inmates present in and outside of the Housing Unit.
6. If the Movement Log indicates the inmate is at a program, the UO goes to that area to make the count or asks the Shift Supervisor to go to the area to conduct the count, taking the Housing Notebook with him.
7. If an inmate cannot be accounted for and there is a discrepancy, the UO implements the Count Discrepancy Procedure.
8. If no count discrepancy is discovered, the UO calls the count to the Control Officer.
9. The Control Officer compares the counts called in from the UOs to the Unit Roster count.
10. If the Control Officer determines that the numbers match, he or she clears the count by announcing such over the paging system.
11. If the Control Officer determines that the numbers do not match, he or she announces a recount and the UOs do so.
12. The UO records the count on the Post Log indicating the location of all inmates.
13. When the count is cleared by the Control Officer, the Shift Supervisor documents the count on the Shift Report (see 3.1.4 Shift Reports).

#### **ANTICIPATED BEHAVIORS/VARIATIONS**

Count discrepancy.

Inmate shown out to program is in Housing Unit and vice versa.

Inmates refuse to go to designated count areas.

#### **EQUIPMENT/SUPPLIES/FORMS**

Housing Notebook (will have identification pictures of all inmates in unit).

Unit Roster (printed from computer system at the beginning of each shift).

Movement Log (need to develop form).

## APPENDIX 5—4.

### SAMPLE POLICY AND PROCEDURE TABLES OF CONTENTS

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#### Table of Contents Topics

Items in a table of contents may include, but are not limited to, the following topics:

#### *Administration and Management*

*General Administration*, which includes policies on Legal Authority, Mission Statement and Goals, Adult and Juvenile Separation, Facility Reports, Facility Manuals, Criminal Justice/Community Coordination, Jail Administrator, Organizational Structure, Contract Agencies/Services, Communication Channels, Public Information, Staff Visitors, Legal Counsel, Internal Affairs, Staff Mail, Facility Tours.

*Fiscal Management*, which includes policies on Budget, Petty Cash, Bonding—Staff, Fiscal Audits/Accountability, Cash Management, Independent Audit, Inventory Control, Procurement, Inmate Per Diem Rate, Payroll, Insurance Coverage, Inmate Account, Receiving and Documenting Deliveries.

*Personnel*, which includes policies on Personnel Policy Manual, Staffing Plan, Drug-Free Workplace, Code of Ethics, Equal Employment Opportunity, Staff Selection, Staff Assignments, Part-Time Appointments, Staff Probationary Period, Staff Promotion, Staff Performance Reviews, Reimbursements, Staff Discipline, Compensation and Benefits, Personnel Files, Wellness Program, Employee Assistance Program, Staff Out-Processing, Shift Briefings/Reporting to Work, Staff Accident and/or Injury, Staff Medical Conditions and Medication Usage, Outside Employment, Staff Grievances, Posttrauma Assistance, Sexual Harassment, Political Practices, Staff Breaks.

*Training and Staff Development*, which includes policies on Training Plan, Training Resources, Orientation Training, First-Year Training, Inservice Training, Specialized Training, Nondepartmental Training, On-the-Job Training, Physical Fitness Training, Reimbursement, Evacuation Drills, Continuing Education.

*Records/Information Management*, which includes policies on Inmate Records, Information Release, Daily Report, Information Management System, Research.

*Citizen Involvement and Volunteers*, which includes policies on Volunteers.

#### *Physical Plant*

*Building and Safety Codes*, which includes policies on Building, Fire Safety, and Life Safety Codes.

*Size, Organization, and Location*, which includes policies on Facility Capacity, Living Area Observation.

## SAMPLE POLICY AND PROCEDURE TABLES OF CONTENTS (continued)

*Environmental Conditions*, which includes policies on Environmental Conditions, Tobacco-Free Workplace.

*Maintenance/Janitorial*, which includes policies on Preventive Maintenance, Routine and Emergency Repairs, Emergency Equipment Testing, Housekeeping.

*Safety and Sanitation*, which includes policies on Safety and Sanitation; Waste Disposal; Flammable, Toxic, and Caustic Materials; Noncombustible Receptacles; Water Supply; Pest Control.

### ***Institutional Operations***

*Security and Control*, which includes policies on Central Control, Inmate Control or Authority, Pod Area Supervision, Shift Reports, Security Inspections, Inmate Counts, Inmate Movement, Inmate Transports, Facility Vehicle Use, Incident Report, Inmate Searches, Control of Contraband, Key Control, Equipment Control, Facility Radios, Door Controls, Lockdown/Unlock, Perimeter Security, Crime Scene, Restraints, Use of Force, Firearms, Duress Alarms.

*Safety and Emergency Procedures*, which includes policies on Fire Safety Officer/Inspections, Automatic Fire Alarm and Sprinkler Detection System, Fire Emergency Plan, Total Facility Evacuation, Emergency Power Generator, Bomb Threats, Natural Disasters, Work Stoppage, Disturbances and Riots, Hostage Situations, Escapes, Hunger Strikes, Mass Arrests/Civil Disturbances, Emergency Treatment of Injuries, Use of Chemical Agents.

*Rules, Discipline, and Rights*, which includes policies on Inmate Handbook, Inmate Rights, Inmate Grievance, Inmate Rules and Discipline, Minor Violations, Major Violations Disciplinary Hearing, Criminal Violations.

*Special Management Inmates*, which includes policies on Special Management (Cell) Placement, Special Management Review, Special Management Observation.

*Inmate Processing In/Out*, which includes policies on Booking, Personal Property, Orientation, Housing Transfer, Inmate Dress Out, Inmate Release.

*Classification*, which includes policies on Classification.

### ***Inmate Services***

*Food Service*, which includes policies on Food Purchase and Accounting, Meal Costs, Dietary Allowance, Menu Planning, Special Diets, Food Storage, Meal Preparation, Meal Delivery Service, Staff Meal Service, Food Service Staff, Sanitation and Cleanliness Inspections, Food Utensil Control and Use, Food Poisoning.

*Health Service*, which includes policies on Health Service Management, Continuity of Care, Health Service Staff, Administration of Treatment, Medical Intake, Emergency Medical Treatment, Sick Call, Dental Screening and Evaluation, Mental Health Services, Mental Illness and Retardation, Detoxification, Chemical Dependency Management, Suicide Prevention/Intervention, Serious and Infectious Diseases, Urine Analysis, Prosthesis and Orthosis Services, Pregnancy Management, Hospitalization, Medications, First Aid Kits, Health Record Files, Designated Individual Notification, Health Education, Experimentation and Research.

*Hygiene*, which includes policies on Personal Hygiene Items, Inmate Showers, Hair Care Services, Laundry.

## SAMPLE POLICY AND PROCEDURE TABLES OF CONTENTS (continued)

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### *Inmate Programs*

*Program Scope*, which includes policies on Inmate Programs, Individual Treatment Plans, Electronic Monitoring.

*Commissary*, which includes policies on the Commissary.

*Social Services*, which includes policies on Counseling Services.

*Work Programs*, which includes policies on Inmate Work Program, Inmate Worker Supervision, Inmate Worker Compensation, Community Service, Industry, Work Release.

*Education*, which includes policies on the Education Program.

*Recreation and Activities*, which includes policies on Recreation.

*Mail, Telephone, and Visiting*, which includes policies on Mail, Inmate Telephone Use, Personal Visits, Professional Visits, Special Visits, Notary Services, Staff Inmate Communication.

*Library*, which includes policies on the Library.

*Religious Programs*, which includes policies on Religious Programs.

**SAMPLE POLICY AND PROCEDURE TABLES OF CONTENTS (continued)**

**Three-Level Numerical Table of Contents**

The three-level numbering system assigns the first number to the chapter, the second number to the section, and the third number to the policy. Procedures are assigned a letter. A fourth number can be used for the specific page number.

**1.0. CHAPTER: Administration and Management**

**1.1. SECTION: General Administration**

- 1.1.1. Legal Authority
- 1.1.2. Mission Statement and Goals
- 1.1.3. Adult and Juvenile Separation
- 1.1.4. Facility Reports
- 1.1.5. Facility Manuals
- 1.1.6. Criminal Justice/Community Coordination
- 1.1.7. Jail Administrator
- 1.1.8. Organizational Structure
- 1.1.9. Contract Agencies/Services
- 1.1.10. Communication Channels
- 1.1.11. Public Information
- 1.1.12. Staff Visitors
- 1.1.13. Legal Counsel
- 1.1.14. Internal Affairs
- 1.1.15. Staff Mail
- 1.1.16. Facility Tours

**1.0. CHAPTER: Administration and Management**

**1.2. SECTION: Fiscal Management**

- 1.2.1. Budget
- 1.2.2. Petty Cash
- 1.2.3. Bonding—Staff
- 1.2.4. Fiscal Audits/Accountability
- 1.2.5. Cash Management
- 1.2.6. Independent Audit
- 1.2.7. Inventory Control
- 1.2.8. Procurement
- 1.2.9. Inmate Per Diem Rate
- 1.2.10. Payroll
- 1.2.11. Insurance Coverage
- 1.2.12. Inmate Account
- 1.2.13. Receiving and Documenting Deliveries



## SAMPLE POLICY AND PROCEDURE TABLES OF CONTENTS (continued)

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### Two-Level Numbering System

Chapters and policies are numbered sequentially. Procedures may be assigned a letter or a number, i.e., 1.1.A or 1.1.1. A page number may be added.

#### 1. Administration and Management

- 1.1 Policies and Procedures
- 1.2 Facility Administration
- 1.3 Goals and Purposes
- 1.4 Staff Communications
- 1.5 Public Information
- 1.6 Legal Assistance
- 1.7 Outside Resources

#### 2. Fiscal Management

- 2.1 Budget
- 2.2 Accounting
- 2.3 Inmate Accounts
- 2.4 Storeroom
- 2.5 Insurance Coverage

### Alphabetical Labeling System

- Access—Staff
- Access Passes
- Accident Reporting—On Duty Injuries
- Accounting—Inmate Cash Handling
- Activity Logging
- Administrative Relationships
- Affirmative Action
- Association
- Bail Bonds
- Bilingual Premium Pay
- Booking—Bail Bond Surrender
- Booking—Book, Print, Release (BPR)
- Booking—CDC/Warrant Self-Surrenders
- Booking—Detainee
- Booking—Dress In
- Booking—Federal Charges
- Booking—General Procedures
- Booking—Hospitalized Arrestees

**SAMPLE POLICY AND PROCEDURE TABLES OF CONTENTS (continued)**

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Booking—Inmates From Mental Health Facilities  
Booking—John Doe Identification  
Booking—Mass Arrests  
Booking—Mugs and Prints  
Booking—Prebooking Medical/Mental Health Screening  
Booking—Remands/Court Arrests  
Booking—Return From Temporary Release  
Booking—Supplemental Charges

## Appendix 5—5.

### SAMPLE POLICY AND PROCEDURE FORMATS

#### Three-Level Numeric Format

<b>Chapter:</b>	3	Institutional Operations	3.1.6
<b>Section:</b>	1	Security and Control	<b>Effective Date:</b> 12/2/02
<b>Subject:</b>	6	INMATE COUNTS	<b>Revision Date:</b>
<b>Superintendent Approval:</b>			<b>Date:</b>
<b>Commissioner Approval:</b>			<b>Date:</b>

#### I. POLICY

Inmates are counted at designated intervals and on an irregular schedule.

#### II. PURPOSE

Inmates are counted to confirm their presence and well-being, to ensure the safety and security of the Facility, and to maintain control of inmates during regular operations and emergency situations.

#### III. STANDARDS

##### ACA Adult Local Detention Facilities, 4th Edition (4-ALDF)

**2A-17 Inmate Counts:** The Facility has a system for physically counting inmates. The system includes strict accountability for inmates assigned to work and educational release, furloughs, and other approved temporary absences.

#### IV. DEFINITIONS

**Alpha Roster:** The Alpha Roster is a computerized Excel form that alphabetically lists all of the inmates in the Facility and their unit and cell/bed. This form may be used to check for available beds in the Housing Units. The Alpha Roster is sorted to get the Unit Roster.

**Emergency Count:** A formal headcount conducted during situations including, but not limited to, disturbances, escapes, escape attempts, hostage situations, extreme weather conditions, and discrepancy in count.

**Formal Headcount:** A documented inmate count conducted by calling an inmate's name while making eye contact with the inmate, receiving a verbal response, and comparing the inmate to a copy of the booking photo, unless the inmate is well known to the Detention Officer.

## SAMPLE POLICY AND PROCEDURE FORMATS (continued)

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**Informal Counts:** Counts made while inmates are engaged in various activities during the duty shift, conducted at specified intervals on an irregular schedule, and recorded on the Post Log.

**Lockdown Status:** Inmates are placed in a designated area to conduct an emergency count.

**Standup Count:** A formal headcount during which staff stand face to face with the inmate to observe the inmate's physical condition.

**Unit Roster:** The Unit Roster is a computerized Excel form that shows all the inmates in the Facility by Housing Unit. This form may be used to check for available beds and for counts. The Unit Roster is created by sorting the Alpha Roster.

### V. GENERAL INFORMATION

1. During shift changes, staff members lock down inmates if they are in the Housing Unit.
2. All movement stops during inmate counts.
3. Formal headcounts occur as shown on the daily schedule.
4. Detention Officers have 5 minutes to complete their formal headcounts and call them into the Shift Supervisor.
5. The booking photo referred to in this policy and procedure is a duplicate of the photo taken at Booking.
6. The Housing Notebook contains copies of the booking photos to be used during formal headcounts.

### VI. FORMS

The following forms are included within this policy and procedure:

- Alpha Roster
- Movement Log
- Post Log
- Shift Report
- Unit Roster

### VII. PROCEDURES

#### A. Formal Headcounts—Shift Change (Day and Evening Shifts)

Upon arriving at the assigned post, the Detention Officer coming on duty walks through the Housing Unit before the off-going Detention Officer leaves the post.

1. The oncoming Detention Officer announces via the paging system "COUNT TIME," and all inmates stand at their cell door.
2. The Detention Officer obtains the Housing Notebook with the booking photos and conducts a physical count of all the inmates in the Housing Unit by comparing the inmate to the booking photo, unless the inmate is well known to the Detention Officer.

## SAMPLE POLICY AND PROCEDURE FORMATS (continued)

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3. The oncoming Detention Officer compares his count to the Unit Roster and the Movement Log to account for all inmates present and out of the Housing Unit.
4. If the Movement Log indicates the inmate is in the Adult Detention Center, the oncoming Detention Officer goes to that area to make the count or asks the Shift Supervisor to go there to conduct the count.
5. If an inmate cannot be accounted for, the Detention Officer implements Procedure E.
6. If all inmates are accounted for, the Detention Officer coming on duty calls the count to the Control Officer.
7. The Control Officer verifies the offsite count following Procedure H (Procedure H is not included in the sample procedure).
8. The Control Officer compares the counts with the Unit Roster count.
9. If the Control Officer determines that the numbers match, he clears the count by announcing the match over the paging system.
10. If the Control Officer determines that the numbers do not match, he announces a recount and the Detention Officers conduct it.
11. The Detention Officer coming on duty records the count on the Post Log indicating the location of all inmates.
12. After the count is cleared by the Control Officer, the Shift Supervisor documents the count on the Shift Report (see 3.1.4 Shift Reports).

### B. Formal Headcounts—During Shift

1. The Detention Officer announces via the paging system “COUNT TIME,” and all inmates go to their designated area, which is inside the cell at the cell door, or remain in their program area, ceasing movement.
2. The Detention Officer obtains the Housing Notebook with the booking photos and conducts a physical count of all the inmates in the Housing Unit by comparing the inmate to the booking photo, unless the inmate is well known to the Detention Officer.
3. If the Detention Officer finds that the inmate’s appearance has changed so significantly that a new identification photo is needed, he will arrange to have a new photo taken.
4. The Detention Officer compares the count to the Unit Roster and the Movement Log to account for all inmates present and out of the Housing Unit.
5. If the Movement Log indicates the inmate is in the Adult Detention Center, the Detention Officer goes to that area to make the count or asks the Shift Supervisor to go there to conduct the count, taking the Housing Notebook with him or her.
6. If inmates cannot be accounted for, the Detention Officer implements Procedure E.
7. If all inmates are accounted for, the Detention Officer calls the count to the Control Officer.
8. The Control Officer compares the counts with the Unit Roster count.
9. If the Control Officer determines that the numbers match, he clears the count by announcing the match over the paging system.

## SAMPLE POLICY AND PROCEDURE FORMATS (continued)

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10. If the Control Officer determines that the numbers do not match, he announces a recount and the Detention Officers conduct it.
11. The Detention Officer records the count on the Post Log indicating the location of all inmates.
12. After the count is cleared by the Control Officer, the Shift Supervisor documents the count on the Shift Report (see 3.1.4 Shift Reports).

### C. Standup Counts

1. The Detention Officer announces via the paging system "STANDUP COUNT TIME," and all inmates go to their designated area, which is outside of their cell against the cell door for general population inmates or at the cell door inside the cell for special management inmates.
2. The Detention Officer obtains the Housing Notebook with the booking photos and conducts a physical count of all the inmates in the Housing Unit by comparing the inmate with the booking photo, unless the inmate is well known to the Detention Officer.
3. If the Detention Officer finds that the inmate's appearance has changed so significantly that a new identification photo is needed, he will arrange to have a new photo taken.
4. The Detention Officer observes each inmate for signs of injury, assault, unusual behavior, etc.
5. The Detention Officer compares the count with the Unit Roster and the Movement Log to account for all inmates present and out-count. If inmates cannot be accounted for, see Procedure E.
6. If the Movement Log indicates the inmate is in the Adult Detention Center, the Detention Officer goes to that area to make the count or asks the Shift Supervisor to go there to conduct the count, taking the Housing Notebook with him or her.
7. If no count discrepancy is discovered, the Detention Officer calls the count to the Control Officer.
8. The Control Officer compares the counts called in from the Detention Officers to the Unit Roster count.
9. If the numbers match, the Control Officer clears the count by announcing the match over the paging system.
10. If the numbers do not match, the Control Officer announces a recount and the Detention Officers conduct it.
11. The Detention Officer coming on duty records the count on the Post Log indicating the location of all inmates.
12. After the Control Officer clears the count, the Shift Supervisor documents the count on the Shift Report (see 3.1.4 Shift Reports).

### D. Informal Counts

1. Detention Officers account for all inmates under their supervision at all times.
2. The Detention Officer conducts informal counts in the Housing Unit for each wellness check completed as follows:

## SAMPLE POLICY AND PROCEDURE FORMATS (continued)

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- a. At least every hour on an irregular schedule for general population inmates whether in their cells, in the Housing Unit, or in programs.
  - b. At least every 30 minutes on an irregular schedule for special management inmates.
  - c. At least every 15 minutes on an irregular schedule for inmates who are mentally disordered or who demonstrate unusual or bizarre behavior.
  - d. Continuous observation of suicidal inmates (see 4.2.13 Suicide Prevention/Intervention).
3. The Detention Officer records the count in the Post Log.

### E. Count Discrepancies

1. When a Detention Officer discovers a count discrepancy that cannot be rectified by either recounting the inmates or by checking the Movement Log, he explains the situation to the Shift Supervisor.
2. The Shift Supervisor proceeds to the Housing Unit.
3. The Detention Officer and the Shift Supervisor determine the name of the inmate not accounted for.
4. The Shift Supervisor notifies the Control Officer of the situation and the Shift Supervisor verifies if the inmate was released or is an out-count.
5. If the Shift Supervisor confirms that the inmate was released, the Shift Supervisor confirms with the Releasing Officer that the inmate was released correctly and appropriately.
6. If the Releasing Officer confirms that the inmate was released and the numbers balance, the Shift Supervisor reports that the count is cleared.
7. If the comparison shows that the inmate has not been released, the Shift Supervisor notifies the Control Officer that the Facility is on "LOCKDOWN STATUS."
8. The Control Officer verbally notifies the Housing Units that the Facility is on "LOCKDOWN STATUS" and orders a recount, and staff conduct it.
9. If the recount still indicates a discrepancy, the Shift Supervisor verbally orders all staff in the Facility to inspect their immediate area for the inmate not accounted for by checking areas within the Housing Unit, including showers, closets, under beds, and anyplace where the inmate may hide.
10. The Shift Supervisor assigns a staff member to check all other areas of the Facility, e.g., classrooms, restrooms, Booking, Outdoor Recreation, Gym.
11. If the inmate is found, the staff contacts the Shift Supervisor via telephone or in person (not via radio) with the inmate's name.
12. The Shift Supervisor contacts the Control Officer via telephone with the inmate's name.
13. The Control Officer balances the count with the new name.

**SAMPLE POLICY AND PROCEDURE FORMATS (continued)**

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14. The Control Officer notifies the Shift Supervisor that the count is clear. If the inmate is found in an unauthorized area, the discovering staff prepares a Disciplinary Report (see 3.3.4 Inmate Rules and Discipline).
15. The Shift Supervisor notifies the Housing Unit Detention Officer that the count is clear.
16. If the count cannot be confirmed in this way, the Shift Supervisor determines whether or not an escape has occurred (see 3.2.11 Escapes).

**F. Emergency Counts**

1. If an emergency occurs that requires that a count take place immediately, the Shift Supervisor notifies all staff via radio to secure all inmates in the closest available area or contacts the Control Officer to make the announcement via the paging system.
2. The Detention Officer directs all inmates to enter their cells and stand at the doors for an emergency count.
3. The Shift Supervisor may order that the count take place as is or may have inmates moved back to their Housing Units in controlled groups for count.
4. If any inmates are out of the Facility, the Shift Supervisor instructs the staff to immediately return them to the Facility until the count is clear.
5. When the Shift Supervisor determines that the emergency situation has passed and normal operations may resume, he advises staff and the Control Officer.
6. The Detention Officer has the inmates who were locked down taken off lockdown status.



## SAMPLE POLICY AND PROCEDURE FORMATS (continued)

### Two-Level Numbering System

<b>Chapter:</b> 3. Institutional Operations	<b>No:</b> 3.1.6
<b>Subject:</b> Inmate Counts	<b>Date:</b> 12/2/03

### Policy

Inmates are counted at designated intervals and on an irregular schedule to confirm their presence and well-being, to ensure the safety and security of the Facility, and to maintain control of inmates during regular operations and emergency situations.

### Standards

#### ACA Adult Detention Facilities, 4th Edition (4-ALDF)

**2A-17 Inmate Counts:** The Facility has a system for physically counting inmates. The system includes strict accountability for inmates assigned to work and educational release, furloughs, and other approved temporary absences.

### Definitions

**Alpha Roster:** The Alpha Roster is a computerized Excel form that alphabetically lists all of the inmates in the Facility and their unit and cell/bed. This form may be used to check for available beds in the Housing Units. The Alpha Roster is sorted to get the Unit Roster.

**Emergency Count:** A formal headcount conducted during situations including, but not limited to, disturbances, escapes, escape attempts, hostage situations, extreme weather conditions, and discrepancy in count.

**Formal Headcount:** A documented inmate count conducted by calling an inmate's name while making eye contact with the inmate, receiving a verbal response, and comparing the inmate to a copy of the booking photo, unless the inmate is well known to the Detention Officer.

**Informal Counts:** Counts made while inmates are engaged in various activities during the duty shift, conducted at specified intervals on an irregular schedule, and recorded on the Post Log.

**Lockdown Status:** Inmates are placed in a designated area to conduct an emergency count.

**Standup Count:** A formal headcount during which staff stand face to face with the inmate to observe the inmate's physical condition.

**Unit Roster:** The Unit Roster is a computerized Excel form that shows all the inmates in the Facility by Housing Unit. This form may be used to check for available beds in the Housing Units and is used for counts. The Unit Roster is created by sorting the Alpha Roster.

### Background

1. During shift changes, staff members lock down inmates if they are in the Housing Unit.
2. All movement stops during inmate counts.
3. Formal headcounts occur as shown on the daily schedule.
4. Detention Officers have 5 minutes to complete their formal headcounts and call them into the Shift Supervisor.

**SAMPLE POLICY AND PROCEDURE FORMATS (continued)**

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5. The booking photo referred to in this policy and procedure is a duplicate of the photo taken at Booking.
6. The Housing Notebook contains copies of the booking photos to be used during the formal headcounts.

**Forms**

Alpha Roster

Movement Log

Post Log

Shift Report

Unit Roster

**Procedures****A. Formal Headcounts—Shift Change (Day and Evening Shifts)**

1. Upon arriving at his assigned post, the Detention Officer coming on duty walks through the Housing Unit prior to the off-going Detention Officer leaving the post.
2. The oncoming Detention Officer announces via the paging system "COUNT TIME," and all inmates stand at their cell door.
3. The Detention Officer obtains the Housing Notebook with the booking photos and conducts a physical count of all the inmates in the Housing Unit by comparing the inmate with the booking photo, unless the inmate is well known to the Detention Officer.
4. The oncoming Detention Officer compares his count to the Unit Roster and the Movement Log to account for all inmates present and out of the Housing Unit.
5. If the Movement Log indicates the inmate is in the Adult Detention Center, the oncoming Detention Officer goes to that area to make the count or asks the Shift Supervisor to go there to conduct the count.
6. If an inmate cannot be accounted for the Detention Officer implements Procedure E.
7. If all inmates are accounted for, the Detention Officer coming on duty calls the count to the Control Officer.
8. The Control Officer verifies the offsite count following Procedure H (Procedure H is not included in the sample procedure).
9. The Control Officer compares the counts with the Unit Roster count.
10. If the Control Officer determines that the numbers match, he clears the count by announcing the match over the paging system.
11. If the Control Officer determines that the numbers do not match, he announces a recount and the Detention Officers conduct it.
12. The Detention Officer coming on duty records the count on the Post Log indicating the location of all inmates.

## SAMPLE POLICY AND PROCEDURE FORMATS (continued)

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13. After the Control Officer clears the count, the Shift Supervisor documents the count on the Shift Report (see 3.1.4 Shift Reports).

### B. Formal Headcounts—During Shift

1. The Detention Officer announces via the paging system “COUNT TIME” and all inmates go to their designated area, which is inside the cell at the cell door, or remain in their program area, ceasing movement.
2. The Detention Officer obtains the Housing Notebook with the booking photos and conducts a physical count of all the inmates in the Housing Unit by comparing the inmate with the booking photo, unless the inmate is well known to the Detention Officer.
3. The Detention Officer compares his count to the Unit Roster and the Movement Log to account for all inmates present and out of the Housing Unit.
4. If the Movement Log indicates the inmate is in the Adult Detention Center, the Detention Officer goes to that area to make the count or asks the Shift Supervisor to go there to conduct the count, taking the Housing Notebook with him or her.
5. If an inmate cannot be accounted for, the Detention Officer implements Procedure E.
6. If all inmates are accounted for, the Detention Officer calls the count to the Control Officer.
7. The Control Officer compares the Detention Officers’ counts with the Unit Roster count.
8. If the numbers match, the Control Officer clears the count by announcing the match over the paging system.
9. If the numbers do not match, the Control Officer announces a recount and the Detention Officers conduct it.
10. The Detention Officer records the count on the Post Log indicating the location of all inmates.
11. After the Control Officer clears the count, the Shift Supervisor documents the count on the Shift Report (see 3.1.4 Shift Reports).

### C. Standup Counts

1. The Detention Officer announces via the paging system “STANDUP COUNT TIME,” and all inmates go to their designated area, which is outside of their cell against the cell door for general population inmates or at the cell door inside the cell for special management inmates.
2. The Detention Officer obtains the Housing Notebook with the booking photos and conducts a physical count of all the inmates in the Housing Unit by looking at the inmate and comparing the inmate to the booking photo, unless the inmate is well known to the Detention Officer.
3. If the Detention Officer finds that the inmate’s appearance has changed so significantly that a new identification photo is needed, he will arrange to have a new photo taken.
4. The Detention Officer observes each inmate for signs of injury, assault, unusual behavior, etc.
5. The Detention Officer compares his count with the Unit Roster and the Movement Log to account for all inmates present and the out-count. If inmates cannot be accounted for and there is a discrepancy, see Procedure E.

## SAMPLE POLICY AND PROCEDURE FORMATS (continued)

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6. If the Movement Log indicates the inmate is in the Adult Detention Center, the Detention Officer goes to that area to make the count or asks the Shift Supervisor to go there to conduct the count, taking the Housing Notebook with him or her.
7. If no count discrepancy is discovered, the Detention Officer calls the count to the Control Officer.
8. The Control Officer compares the counts called in from the Detention Officers with the Unit Roster count.
9. If the numbers match, the Control Officer clears the count by announcing the match over the paging system.
10. If the numbers do not match, the Control Officer announces a recount and the Detention Officers conduct it.
11. The Detention Officer coming on duty records the count on the Post Log indicating the location of all inmates.
12. After the Control Officer clears the count, the Shift Supervisor documents the count on the Shift Report (see 3.1.4 Shift Reports).

### D. Informal Counts

1. Detention Officers account for all inmates under their supervision at all times.
2. The Detention Officer conducts informal counts in the Housing Unit for each wellness check completed as follows:
  - a. At least every hour on an irregular schedule for general population inmates whether in their cells, in the housing unit, or in programs.
  - b. At least every 30 minutes on an irregular schedule for special management inmates.
  - c. At least every 15 minutes on an irregular schedule for inmates who are mentally disordered or who demonstrate unusual or bizarre behavior.
  - d. Continuous observation of suicidal inmates (see 4.2.13 Suicide Prevention/Intervention).
3. The Detention Officer records the count in the Post Log.

### E. Count Discrepancies

1. When a Detention Officer discovers a count discrepancy that cannot be rectified by either recounting the inmates or by checking the Movement Log, he explains the situation to the Shift Supervisor.
2. The Shift Supervisor proceeds to the Housing Unit.
3. The Detention Officer and the Shift Supervisor determine the name of the inmate not accounted for.
4. The Shift Supervisor notifies the Control Officer of the situation and the Shift Supervisor verifies if the inmate was released or is an out-count.

## **SAMPLE POLICY AND PROCEDURE FORMATS (continued)**

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5. If the Shift Supervisor confirms that the inmate was released, the Shift Supervisor confirms with the Releasing Officer that the inmate was released correctly and appropriately.
6. If the Releasing Officer confirms that the inmate was released and the numbers balance, the Shift Supervisor reports that the count is cleared.
7. If the comparison shows that the inmate has not been released, the Shift Supervisor notifies the Control Officer that the Facility is on "LOCKDOWN STATUS."
8. The Control Officer verbally notifies the Housing Units that the Facility is on "LOCKDOWN STATUS" and orders a recount, and staff conduct it.
9. If the recount still indicates a discrepancy, the Shift Supervisor verbally orders all staff in the Facility to inspect their immediate area for the inmate not accounted for by checking areas within the Housing Unit, including showers, closets, under beds, and anyplace where the inmate may hide.
10. The Shift Supervisor assigns a staff member to check all other areas of the Facility, e.g., classrooms, restrooms, Booking, Outdoor Recreation, Gym.
11. If the inmate is found, the staff contacts the Shift Supervisor via telephone or in person (not via radio) with the inmate's name.
12. The Shift Supervisor contacts the Control Officer via telephone with the inmate's name.
13. The Control Officer balances the count with the new names.
14. The Control Officer notifies the Shift Supervisor that the count is clear. If the inmate is found in an unauthorized area, the discovering staff prepares a Disciplinary Report (see 3.3.4 Inmate Rules and Discipline).
15. The Shift Supervisor notifies the Housing Unit Detention Officer that the count is clear.
16. If the count cannot be confirmed in this way, the Shift Supervisor determines whether or not an escape has occurred (see 3.2.11 Escapes).

### **F. Emergency Counts**

1. If an emergency occurs that requires that a count take place immediately, the Shift Supervisor notifies all staff via radio to secure all inmates in the closest available area or contacts the Control Officer to make the announcement via the paging system.
2. The Detention Officer directs all inmates to enter their cell and stand at the door for an emergency count.
3. The Shift Supervisor may order that the count take place as is or may have inmates moved back to their Housing Units in controlled groups for the count.
4. If any inmates are out of the Facility, the Shift Supervisor instructs the staff to immediately return them to the Facility until the count is cleared.
5. When the Shift Supervisor determines that the emergency situation has passed and normal operations may resume, he advises staff and the Control Officer.
6. The Detention Officer has the inmates who were locked down taken off lockdown status.

## SAMPLE POLICY AND PROCEDURE FORMATS (continued)

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**Alphabetical Labeling System** (Automated—Underlined headings are hyperlinked and will take you directly to the section selected)

### Any County Detention Facility

#### Inmate Counts

##### [1.0 POLICY](#)

##### [2.0 DEFINITIONS](#)

##### [3.0 STANDARDS](#)

##### [4.0 GENERAL INFORMATION](#)

##### [5.0 FORMS](#)

##### [6.0 PROCEDURES](#)

##### [6.1 FORMAL HEADCOUNTS—SHIFT CHANGE \(DAY AND EVENING SHIFTS\)](#)

##### [6.2 FORMAL HEADCOUNTS—DURING SHIFT](#)

##### [6.3 STANDUP COUNTS](#)

##### [6.4 INFORMAL COUNTS](#)

##### [6.5 COUNT DISCREPANCIES](#)

##### [6.6 EMERGENCY COUNTS](#)

##### [7.0 REVISION HISTORY](#)

Title: *Inmate Counts* ACDF Version: 5.09.03

#### 1.0 POLICY

Inmates are counted at designated intervals and on an irregular schedule to confirm their presence and well-being, to ensure the safety and security of the Facility, and to maintain control of inmates during regular operations and emergency situations.

#### 2.0 DEFINITIONS

**Alpha Roster:** The Alpha Roster is a computerized Excel form that alphabetically lists all of the inmates in the Facility and their unit and cell/bed. This form may be used to check for available beds in the Housing Units. The Alpha Roster is sorted to get the Unit Roster.

**Emergency Count:** A formal headcount conducted during situations including, but not limited to, disturbances, escapes, escape attempts, hostage situations, extreme weather conditions, and discrepancy in count.

**Formal Headcount:** A documented inmate count conducted by calling an inmate's name while making eye contact with the inmate, receiving a verbal response, and comparing the inmate to a copy of the booking photo, unless the inmate is well known to the Detention Officer.

**Informal Counts:** Counts made while inmates are engaged in various activities during the duty shift, conducted at specified intervals on an irregular schedule, and recorded on the Post Log.

**Lockdown Status:** Inmates are placed in a designated area to conduct an emergency count.

**Standup Count:** A formal headcount during which staff stand face to face with the inmate to observe the inmate's physical condition.

## SAMPLE POLICY AND PROCEDURE FORMATS (continued)

**Unit Roster:** The Unit Roster is a computerized form that shows all the inmates in the Facility by Housing Unit. This form may be used to check for available beds in the Housing Units and is used for counts. The Unit Roster is created by sorting the Alpha Roster.

### 3.0 STANDARDS

#### ACA Adult Local Detention Facilities, 4th Edition (4-ALDF)

**2A-17 Inmate Counts:** The Facility has a system for physically counting inmates. The system includes strict accountability for inmates assigned to work and educational release, furloughs, and other approved temporary absences.

### 4.0 GENERAL INFORMATION

- A. During shift changes, staff members lock down inmates if they are in the Housing Unit.
- B. All movement stops during inmate counts.
- C. Formal headcounts occur as shown on the daily schedule.
- D. Detention Officers have 5 minutes to complete their formal headcounts and call them into the Shift Supervisor.
- E. The booking photo referred to in this policy and procedure is a duplicate of the photo taken at Booking.
- F. The Housing Notebook contains copies of the booking photos to be used during the formal headcounts.

### 5.0 FORMS

Alpha Roster  
 Movement Log  
 Post Log  
 Shift Report  
 Unit Roster

### 6.0 PROCEDURES

#### 6.1 Formal Headcounts—Shift Change (Day and Evening Shifts)

- A. Upon arriving at his assigned post, the Detention Officer coming on duty walks through the Housing Unit prior to the off-going Detention Officer leaving the post.
- B. The oncoming Detention Officer announces via the paging system “COUNT TIME,” and all inmates stand at their cell door.
- C. The Detention Officer obtains the Housing Notebook with the booking photos and conducts a physical count of all the inmates in the Housing Unit by comparing the inmate with the booking photo, unless the inmate is well known to the Detention Officer.
- D. The oncoming Detention Officer compares the count to the Unit Roster and the Movement Log to account for all inmates present and out of the Housing Unit.

## SAMPLE POLICY AND PROCEDURE FORMATS (continued)

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- E. If the Movement Log indicates the inmate is in the Adult Detention Center, the oncoming Detention Officer goes to that area to make the count or asks the Shift Supervisor to go there to conduct the count.
- F. If an inmate cannot be accounted for, the Detention Officer implements Procedure 6.5.
- G. If all inmates are accounted for, the Detention Officer coming on duty calls the count to the Control Officer.
- H. The Control Officer verifies the offsite count.
- I. The Control Officer compares the counts with the Unit Roster count.
- J. If the Control Officer determines that the numbers match, he clears the count by announcing the match over the paging system.
- K. If the Control Officer determines that the numbers do not match, he announces a recount and the Detention Officers conduct it.
- L. The Detention Officer coming on duty records the count on the Post Log indicating the location of all inmates.
- M. After the count is cleared by the Control Officer, the Shift Supervisor documents the count on the Shift Report (see [Shift Reports](#) chapter).

### 6.2 Formal Headcounts—During Shift

- A. The Detention Officer calls out “COUNT TIME” and all inmates go to their designated area, which is inside the cell at the cell door, or remain in their program area, ceasing movement.
- B. The Detention Officer obtains the Housing Notebook with the booking photos and conducts a physical count of all the inmates in the Housing Unit by comparing the inmate with the booking photo, unless the inmate is well known to the Detention Officer.
- C. The Detention Officer compares his count to the Unit Roster and the Movement Log to account for all inmates present and out of the Housing Unit.
- D. If the Movement Log indicates the inmate is in the Adult Detention Center, the Detention Officer goes to that area to make the count or asks the Shift Supervisor to go there to conduct the count, taking the Housing Notebook with him or her.
- E. If an inmate cannot be accounted for, the Detention Officer implements Procedure 6.5.
- F. If all inmates are accounted for, the Detention Officer calls the count to the Control Officer.
- G. The Control Officer compares the counts with the Unit Roster count.
- H. If the Control Officer determines that the numbers match, he clears the count by announcing the match over the paging system.
- I. If the Control Officer determines that the numbers do not match, he announces a recount and the Detention Officers conduct it.
- J. The Detention Officer records the count on the Post Log indicating the location of all inmates.
- K. After the count is cleared by the Control Officer, the Shift Supervisor documents the count on the Shift Report (see [Shift Reports](#) chapter).



## SAMPLE POLICY AND PROCEDURE FORMATS (continued)

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### 6.3. Standup Counts

- A. The Detention Officer announces via the paging system “STANDUP COUNT TIME,” and all inmates go to their designated area, which is outside of their cell against the cell door for general population inmates or at the cell door inside the cell for special management inmates.
- B. The Detention Officer obtains the Housing Notebook with the booking photos and conducts a physical count of all the inmates in the Housing Unit by comparing the inmate with the booking photo, unless the inmate is well known to the Detention Officer.
- C. If the Detention Officer finds that the inmate’s appearance has changed so significantly that a new identification photo is needed, he will arrange for a new photo to be taken.
- D. The Detention Officer observes each inmate for signs of injury, assault, unusual behavior, etc.
- E. The Detention Officer compares his count with the Unit Roster and the Movement Log to account for all inmates present and the out-count. If inmates cannot be accounted for, see Procedure 6.5.
- F. If the Movement Log indicates the inmate is in the Adult Detention Center, the Detention Officer goes to that area to make the count or asks the Shift Supervisor to go there to conduct the count, taking the Housing Notebook with him or her.
- G. If all inmates are accounted for, the Detention Officer calls the count to the Control Officer.
- H. The Control Officer compares the counts with the Unit Roster count.
- I. If the Control Officer determines that the numbers match, he clears the count by announcing the match over the paging system.
- J. If the Control Officer determines that the numbers do not match, he announces a recount and the Detention Officers conduct it.
- K. The Detention Officer coming on duty records the count on the Post Log indicating the location of all inmates.
- L. After the count is cleared by the Control Officer, the Shift Supervisor documents the count on the Shift Report (see [Shift Reports](#) chapter).

### 6.4 Informal Counts

- A. Detention Officers account for all inmates under their supervision at all times.
- B. The Detention Officer conducts informal counts in the Housing Unit for each wellness check completed as follows:
  - 1. At least every hour on an irregular schedule for general population inmates whether in their cells, in the housing unit, or in programs.
  - 2. At least every 30 minutes on an irregular schedule for special management inmates.
  - 3. At least every 15 minutes on an irregular schedule for inmates who are mentally disordered or who demonstrate unusual or bizarre behavior.
  - 4. Continuous observation of suicidal inmates (see [Suicide Prevention/Intervention](#) chapter)
- C. The Detention Officer records the count in the Post Log.

## SAMPLE POLICY AND PROCEDURE FORMATS (continued)

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### 6.5 Count Discrepancies

- A. When a Detention Officer discovers a count discrepancy that cannot be rectified by either recounting the inmates or by checking the Movement Log, he explains the situation to the Shift Supervisor.
- B. The Shift Supervisor proceeds to the Housing Unit.
- C. The Detention Officer and the Shift Supervisor determine the name of the inmate not accounted for.
- D. The Shift Supervisor notifies the Control Officer of the situation and the Shift Supervisor verifies if the inmate was released or is an out-count.
- E. If the Shift Supervisor confirms that the inmate was released, the Shift Supervisor confirms with the Releasing Officer that the inmate was released correctly and appropriately.
- F. If the Releasing Officer confirms that the inmate was released and the numbers balance, the Shift Supervisor reports that the count is cleared.
- G. If the comparison shows that the inmate has not been released, the Shift Supervisor notifies the Control Officer that the Facility is on "LOCKDOWN STATUS."
- H. The Control Officer verbally notifies the Housing Units that the Facility is on "LOCKDOWN STATUS" and orders a recount, and staff conduct it.
- I. If the recount still indicates a discrepancy, the Shift Supervisor verbally orders all staff in the Facility to inspect their immediate area for the inmate not accounted for by checking areas within the Housing Unit, including showers, closets, under beds, and anyplace where the inmate may hide.
- J. The Shift Supervisor assigns a staff member to check all other areas of the Facility, e.g., classrooms, restrooms, Booking, Outdoor Recreation, Gym.
- K. If the inmate is found, the staff contacts the Shift Supervisor via telephone or in person (not via radio) with the inmate's name.
- L. The Shift Supervisor contacts the Control Officer via telephone with the inmate's name.
- M. The Control Officer balances the count with the new name.
- N. The Control Officer notifies the Shift Supervisor that the count is clear. If the inmate is found in an unauthorized area, the discovering staff prepares a Disciplinary Report (see [Inmate Rules and Discipline](#) chapter).
- O. The Shift Supervisor notifies the Housing Unit Detention Officer that the count is clear.
- P. If the count cannot be confirmed in this way, the Shift Supervisor determines whether or not an escape has occurred (see [Escapes](#) chapter).

## **SAMPLE POLICY AND PROCEDURE FORMATS (continued)**

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### **6.6 Emergency Counts**

- A. If an emergency occurs that requires that a count take place immediately, the Shift Supervisor notifies all staff via radio to secure all inmates in the closest available area or contacts the Control Officer to make the announcement via the paging system.
- B. The Detention Officer directs all inmates to enter their cell and stand at the door for an emergency count.
- C. The Shift Supervisor may order that the count take place as is or may have inmates moved back to their Housing Units in controlled groups for the count.
- D. If any inmates are out of the Facility, the Shift Supervisor instructs the staff to immediately return them to the Facility until the count is cleared.
- E. When the Shift Supervisor determines that the emergency situation has passed and normal operations may resume, he advises staff and the Control Officer.
- F. The Detention Officer has the inmates who were locked down taken off lockdown status.

## Appendix 5—6.

### SAMPLE LIST OF FORMS

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Forms include, but are not limited to the following:

#### Title

Alpha Inmate Roster  
 Application/Recruitment and Screening  
 Arrest Report  
 Booking  
 Booking Sheet  
 Cell Checkout Sheet  
 Classification Interview Form  
 Classification Interview Score Sheet  
 Code of Ethics Acknowledgment  
 Contraband Log  
 Criminal Complaint  
 Custody Request Form  
 Death of an Inmate  
 Disability Accommodation and Tracking  
 Disciplinary Disposition Log  
 Disciplinary Investigation  
 Discipline Committee Findings Report  
 Education Log  
 Employment Processing  
 Escape Checklist  
 Escape Report  
 Expense Voucher  
 First Aid Kit Log  
 Food Equipment Sheet  
 Grievance Form  
 Incident Report  
 Inmate Log  
 Inmate Request Form

#### Title

Inmate Worker Application  
 Inmate Worker Assignment  
 Inmate Worker Contract  
 Inspection—Common Area  
 Inspection—Housing  
 Interview Rating Form  
 Interview Rating Summary  
 Inventory Control Card  
 Key Log  
 Key Log—Permanently Assigned Keys  
 Library Log  
 Mail Log  
 Maintenance Order  
 Master Roster  
 Meal Order Sheet  
 Medication Log  
 Movement Log  
 Observation Log  
 Pat Search Consent Form  
 Policy and Procedure Acknowledgment  
 Post Log  
 Post Order Acknowledgment  
 Property Form  
 Receipt for/Release of Funds or Property  
 Receiving Report  
 Reclassification Decision  
 Reclassification Hearing  
 Reclassification Notice

**SAMPLE LIST OF FORMS (continued)**

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<b>Title</b>	<b>Title</b>
Recreation Log	Statement of Preference
Release of Information	Suicide Prevention Screening
Religious Services Log	Telephone Log
Requisition Order Request	Tool and Equipment Checkout Form
Restraint Inventory Form	Training Record
Restraint Signout Form	Unit Roster
Shakedown—Common Areas	Visitor Log
Shakedown—Housing	Visitor Log—Professional
Shift Report	Visitor Pass
Sick Call List	Volunteer Agreement
Special Diet Receipt	Volunteer Application Form
Special Diet Request	Waiver of Liability

# Appendix 5—7.

## SAMPLE POST ORDER FORMAT

Post Order: \_\_\_\_\_ P.O. #: \_\_\_\_\_

Effective Date: \_\_\_\_\_ Version #: \_\_\_\_\_

Authorization by: \_\_\_\_\_

Hours of Duty: \_\_\_\_\_ Days: \_\_\_\_\_

\_\_\_\_\_ Shifts: \_\_\_\_\_

Post Overview/General Instructions: \_\_\_\_\_

\_\_\_\_\_

### Scheduled Duties:

Grave Shift	Day Shift	Swing Shift	Duties

### Unscheduled Duties:

All Shifts

\_\_\_\_\_

Grave Shift

\_\_\_\_\_

Day Shift

\_\_\_\_\_

Swing Shift

\_\_\_\_\_

## Appendix 5—8.

### SAMPLE MASTER SCHEDULES

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Activities include, but are not limited to, those listed in the sample schedules.

#### Narrative

##### Sunday

- 4:30am Breakfast Meal Count
- 5:30am Shift Briefing at Roll Call
- 5:45am Shift Briefing at Post/Inmate Count
- 6:00am Unlock/Lights On/Razors and Clippers
- 6:30am Breakfast Delivery
- 7:00am Medication Rounds
- 7:30am Pod Cleaning
- 7:30am Replacement of Personal Hygiene Items
- 9:30am Lunch Meal Count
- 10:00am Returning Cleaning Supplies
- 11:30am Lunch
- 12:00pm Medication Rounds
- 2:30pm Shift Briefing at Roll Call
- 2:35pm Lockdown Announcement
- 2:45pm Shift Briefing at Post/Lockdown
- 3:00pm Inmate Count
- 3:15pm Unlock
- 3:30pm Dinner Meal Count
- 5:30pm Dinner
- 7:00pm Library Cart Delivered
- 8:30pm Shift Briefing at Roll Call
- 8:45pm Shift Briefing at Post
- 9:00pm Laundry Exchange
- 9:50pm Lockdown Announcement
- 10:00pm Lockdown/Inmate Count
- 10:30pm Lights Out/Library Cart Returned

**SAMPLE MASTER SCHEDULES (continued)**

**Tabular**

In this format, as you check items, times when events are clustered are evident graphically. Look for patterns and consider schedule adjustment to equalize demands on your staffing.

**Daily Schedule**

Time	Activity	Days Task Occurs						
		S	M	T	W	Th	F	Sa
0530	Food Service Workers Wakeup							
0600	Unlock/Standup Count							
	Food Service Workers to Kitchen— after count clears							
0600–0640	Showers/Housekeeping/Telephone							
0630	Shift Briefing at Staff Training Room							
0640	Lockdown							
0645	Shift Briefing at Post							
0700	Shift Change/Official Count							
0715	Breakfast Delivery							
0720	Unlock/Breakfast							
0725	Medication Rounds							
0745	Breakfast Completion/Cleanup							
0745–0800	Housekeeping Inspection							
0800–1130	Television/Telephone On (based on inspection)							
0800–0900	Indoor Recreation							
0800–0900	Programs							
0800–1130	Professional Visitation							
0910–1010	Programs							
0915–1015	Indoor Recreation							
1015–1130	Indoor Recreation							
1020–1120	Programs							
1130	Lockdown/Official Count							
1200	Lunch Delivery							
1210	Unlock/Lunch							
1215	Medication Rounds							



**SAMPLE MASTER SCHEDULES (continued)**

Time	Activity	Day Task Occurs						
		S	M	T	W	Th	F	Sa
1235	Lunch Completion/Cleanup							
1300–1440	Professional Visitation							
1300–1440	Television/Telephone On (based on inspection)							
1300–1430	Programs							
1300–1400	Indoor Recreation							
1300–1330	Visiting							
1335–1405	Visiting							
1410–1440	Visiting							
1430	Shift Briefing at Staff Training Room							
1445	Lockdown Complete							
1445	Shift Briefing at Post							
1500	Shift Change/Unlock/Standup Count							
1500–1700	Television/Telephone On (based on inspection)							
1505–1700	Professional Visits							
1515–1615	Indoor Recreation							
1715	Lockdown							
1730	Dinner Delivery							
1735	Unlock/Dinner							
1745	Medication Rounds							
1800	Dinner Completion/Cleanup							
1800–1900	Programs							
1800–Lockdown	Telephone/Television On (based on inspection)							
1800–1900	Recreation							
1830–1900	Visiting							
1910–2010	Programs							
1915–2015	Recreation							
1915–1945	Visiting							
2000	Special Management Lockdown							

**SAMPLE MASTER SCHEDULES (continued)**

Time	Activity	Day Task Occurs						
		S	M	T	W	Th	F	Sa
2000–2030	Visiting							
2015–2130	Recreation							
2200	Official Count							
2230	Shift Briefing at Staff Training Room							
2230	Inmate Worker Lockdown							
2245	Shift Briefing at Post							
2300	Shift Change/Official Count							

**CHAPTER SIX**



Training and  
Orientation



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## CHAPTER SIX

# Training and Orientation

### ACTION PLANS

#### Action plans for training and orientation may include—

- Overall training.
- Staff training.
- Training equipment and supplies.
- Training facilities and space.
- Training sessions.
- Facility user orientation.

### Overview

Training is one of the major transition tasks. It is the essential activity that translates all the policies and procedures, post orders, schedules, and numerous other details into reality. It is also the most effective way for transition staff to reduce anxiety about the change from the old facility to the new. The amount and types of training that are needed vary from situation to situation. For example, jails that are moving from intermittent surveillance to direct supervision will require specialized training in that area. In spite of their differences, all transitions share some training constants. This section of the manual focuses on the types of training that will be associated with all transitions. Exhibit 6–1 is a flowchart that illustrates the major elements of training and orientation as they relate to transition.

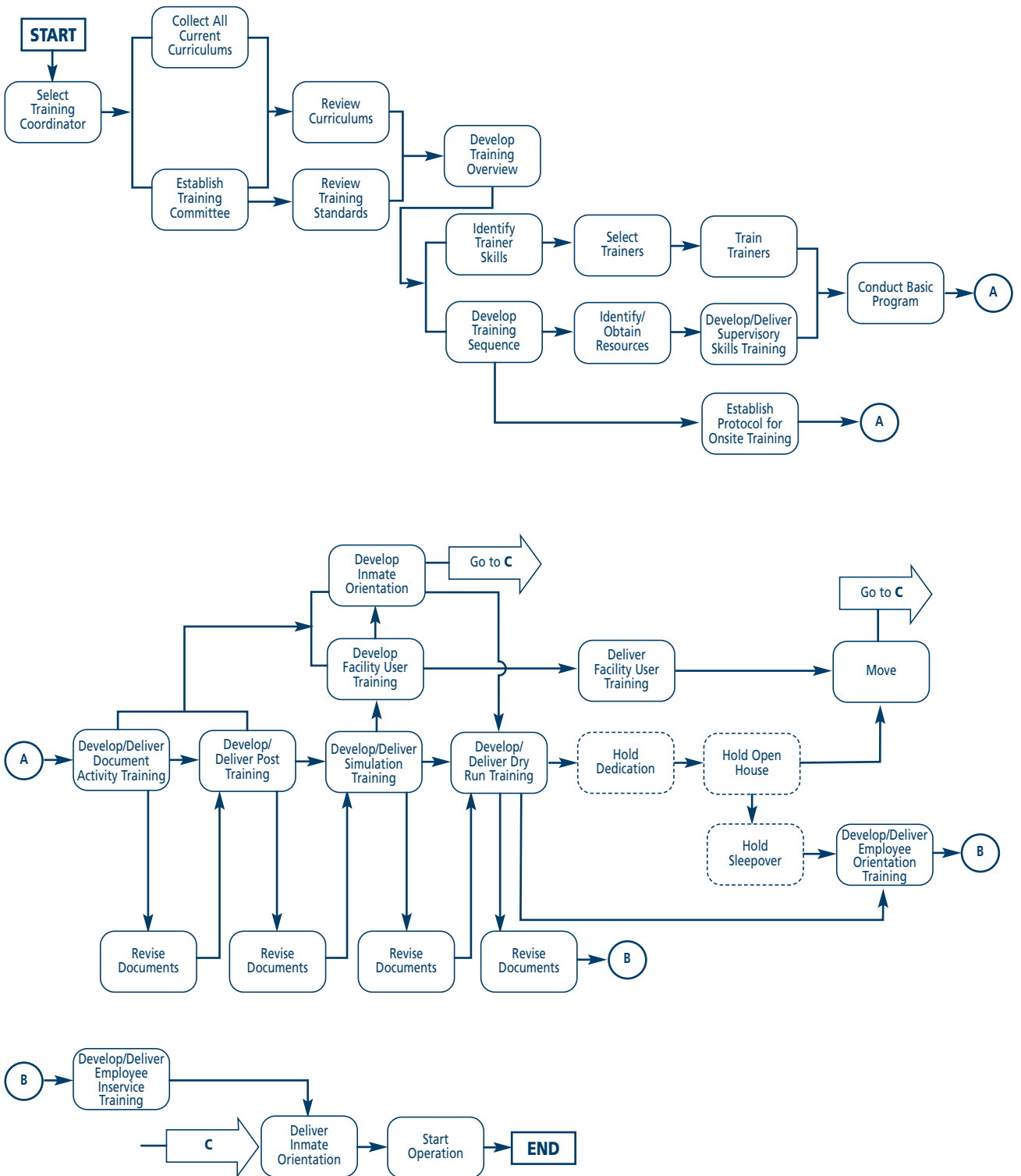
### Who Requires Training and Orientation?


It is easy for transition staff to focus on training departmental staff—particularly line correctional staff—because they are typically the largest group to be trained and perhaps the most critical. However, everyone who works in the facility or spends time there will require some training. Transition team members will need to determine which groups of staff require which types of training. Inmates, particularly those who will work in the facility, will also require some specific types of training.

In new facilities, visiting procedures often change; both professional and family visitors will need some training in how visitation will work. Volunteers, particularly those who are in the facility on a regular basis, will require training about new procedures and the areas of the facility they will use.

Criminal justice users, particularly law enforcement agencies, will require specialized training on booking procedures and other relevant topics. Officers from first responder law enforcement agencies and fire and emergency medical services personnel will need a more detailed orientation to the facility. Vendors

## Exhibit 6-1. Training and Orientation Flowchart



 = Task is part of another chapter, but is critical to completion of this flowchart.

who regularly deliver items or provide other services will also require an orientation both to new procedures and to the areas they will enter.

### What Types of Training and Orientation Are Needed?

Training programs should include—

- Training for trainers, if the department's training strategy will include people who have not been taught training techniques.
- Facility orientation for staff and other users.
- Document/activity training.
- Post training.
- Simulation and dry run training.
- Inmate orientation and training.

Each of these training types will be discussed in this chapter. Staff should receive between 2 and 4 weeks of training.

### What Resources Are Needed for Training and Orientation?

Training resources come from a variety of sources:

- **Transition documents.** The documents created by the transition team, particularly policies and procedures and post orders, form the basis for much of the training that will occur.
- **Space and equipment.** The transition team will need to identify places where training can occur and where training equipment, including computers and audiovisual technology, is available. In many cases, space is available in the new facility. In any case, trainees will need access to the facility during the training.

- **Financial resources.** The level of training needed for transition typically requires more financial resources than the department's budget can absorb. This is particularly true if equipment must be purchased or if training results in overtime for staff. The transition team needs to identify the financial resources they will need for training early enough to get them into the appropriate budget cycle.
- **Existing curriculums.** For teaching the basics of jail procedures, existing curriculums may be a resource, particularly for new hires. Additional training resources may also be available from the state and/or other local jurisdictions.
- **Training for trainers.** It is likely that a number of people who will have to train others will be unfamiliar with training techniques. A training-for-trainers program for the entire training team can enhance the quality of training that they provide.

The training coordinator is the key individual in the training process. The coordinator develops a training schedule, organizes each of the programs, identifies needed space and equipment, and maintains records for all training. In developing the training schedule, the coordinator needs to recognize that the current jail must operate during transition. If overtime is necessary to provide shift coverage, it must be requested in advance, typically as a part of the normal budget process, which may be a year or more before the time when the dollars will be spent. If you have missed a budget deadline, consider other options, including supplemental budget requests or potential use of any available project dollars. The

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Training needs frequently exceed the training resources of the transition team. Team members should consider using other training resources within the department, including existing trainers.

trainees for each class should be selected carefully, considering the mix of seasoned and new staff and security and program/support staff.

Training needs frequently exceed the training resources of the transition team. Team members should consider using other training resources within the department, including existing trainers. Supervisors can often be particularly good in areas of training related to the posts they will supervise. Vendors may also be a resource. Specifications for equipment should require some level of training with specific equipment. The transition staff and/or other departmental trainers can prepare the curriculums and lesson plans, make training resources available, conduct some of the training themselves, and support others in their training responsibilities.

### What Are the Training and Orientation Management Tasks?

Training and orientation management tasks include—

- Selecting a training coordinator.
- Establishing a training committee.
- Collecting and reviewing the current training curriculum.
- Developing an overall training schedule long before training begins.
- Identifying when documents need to be available for training.

### What Are the Benefits of Involving Others in Training and Orientation?

The delivery of training provides another opportunity to transfer transition tasks from the transition team to the operating staff. Because of multiple

training sessions and the many groups to be trained, you are likely to need more trainers than you have transition team members. Training needs also peak at the same time as other essential transition activities:

- Furniture, fixtures, equipment, and supplies are being delivered and installed.
- The construction punchlist process is underway.
- Numerous requests for tours are received.
- The dedication needs to be planned and held.

### How Should Training and Orientation Be Documented?

The training coordinator must document all the training that has been conducted. Training documentation should indicate more than just attendance; it should describe how the staff did in the training. The training staff, along with the jail administration, should establish competency levels for each training program. Staff who do not meet those competency levels will need to be retrained. If retraining does not result in the staff member achieving the identified competency level, the administration will need a policy on what further action should be taken.

Training documentation tasks include—

- Maintaining a class roster for each class.
- Developing a training record for each employee, if one is not already available. Automating the record-keeping will make the flow of paperwork much easier.



- Ensuring that staff have attended the appropriate training.
- Making provisions for makeup sessions for staff who miss training.
- Restricting optional leave during training and initial occupancy (with the cooperation of jail administration).

Orientation documentation tasks include—

- Keeping a list of the groups who have received orientation.
- Ensuring that all who need orientation have received it before moving into the new facility.

### Types of Training

Transition teams commonly offer five types of training. Depending on the specific circumstances, additional types of training needed may include subjects such as training in direct supervision, interpersonal communication, or training for trainers. This section provides information about the goals and training process for—

- Facility orientation—for both staff and other users.
- Document/activity training.
- Post training.
- Simulation training.
- Inmate orientation and training.

### Facility Orientation

#### Goals

Goals of the facility orientation may be to—

- Orient staff and other users to the layout of the facility.
- Inform staff and other users about the processes used to move in and out of different areas of the facility.

- Educate staff and other users about the new facility's intended philosophy of operations.

### Training Process

One of the basic types of training that will be required is an orientation to the building and its general systems, such as intercoms and card access systems. All staff working in the facility will need an orientation on how the building is designed to operate. The jail should also include other individuals who use the facility in this training or develop another orientation track for those users.

This training should teach people how the building is organized and the location of and proper terminology for all spaces; it may also include an indepth tour of the facility. Training documents should use room names consistently. Trainers may test staff's knowledge of the new facility by requiring them to fill in the correct room numbers and names on a blank floor plan. Another approach is to engage staff in a scavenger hunt, sending them to different parts of the building to find particular items.

### Document/Activity Training

Document/activity training should be provided to all security and program staff who work in the jail.

#### Goals

Goals of document/activity training may be to—

- Teach staff the importance and purpose of policies and procedures, how to use them, and how they relate to other documents.
- Formalize facility terminology.

- Promote consistency between shifts, between custody and noncustody staff, and between administrative and line staff.
- Create “ownership” in the documents, operations, and facility.
- Reduce the potential for litigation through enhanced training and documentation.
- Increase staff competence.
- Provide opportunities for greater staff awareness, understanding, and appreciation of the diverse roles and levels of experience among staff and the complexity of jail operations.
- Promote professionalism.
- Enhance policies and procedures by providing feedback.
- Start the process of transfer of authority from transition staff to supervisors and line staff.
- Become familiar with the facility operations.
- Strengthen staff training/presentation skills.

### ***Training Process***

Policies and procedures are the basis for jail operational training. This training teaches all aspects of the operation that relate to a specific function. Using the policies and procedures drafted by the team, lesson plans are developed. A sample lesson plan is provided in appendix 6–1. This training also serves as another test for the policies and procedures. It is likely that the policies and procedures will undergo another revision/enhancement as a result of this training.

Supervisors can provide the majority of the document/activity training. This

increases ownership of the policies and procedures, ensures that supervisors know the operation, and provides an opportunity to enhance the new trainer’s training and public speaking skills.

Document/activity training requires a tremendous amount of resources, particularly printed materials. Every student should have access to a paper or automated copy of the policies and procedures manual. Automation can make the manual available on a departmental intranet, workstations, and/or a CD-ROM.

Because the policies and procedures will likely be revised based on what occurs during each training, the transition team needs to develop a process for approving changes. During class, someone needs to take notes, either by writing them or typing them on a computer. It is also helpful to have someone who was involved with the development of the policies and procedures attend each class to explain why activities are completed a particular way. This is especially important if the new operation has significantly changed from the current operation. It is important for staff to know that they need to make every effort to operate the facility according to the policies and procedures in place when the facility opens. However, the administration also needs to commit to making appropriate revisions in a timely manner if certain policies and procedures do not work as intended, or if staff develop suggestions for more efficient procedures. If significant changes have been made, policies and procedures should be updated before the next class—if not sooner—and then redistributed. The revised policies and procedures also must be made available to

previous and subsequent classes. If there are multiple classes and/or staggered classes, it is important to make sure the instructors and all classes have the current policies and procedures. Additionally, the document coordinator will need to review lesson plans to determine if they are affected by changes to policies and procedures. Someone will also need to track the drafts of both policies and procedures and lesson plans to ensure that only the most current are used. Ideally, high-speed copiers with sorting capabilities or a copy shop should be available during this training. Because the policies and procedures from which the training is being done will already have been approved, the document coordinator needs to know which changes he or she can make on his or her own and which will require reapproval prior to training. The reapproval process should include a mechanism to ensure that the final copies of all policies and procedures are signed and approved appropriately.

## Post Training

### Goals

Goals of post training may be to—

- Ensure staff can carry out post duties with confidence and as described in the post order.
- Make certain that staff understand the relationship between post orders and policies and procedures.
- Improve and update post orders with staff input.
- Ensure staff know the names of all spaces/rooms within the post area and how to access them.
- Provide opportunities for staff to learn where all equipment related to

the post is located, how to operate it, and how to turn off and reset all systems.

- Teach staff which keys operate which locks in their area and how each lock works.
- Teach security staff how to function independently at a minimum of two posts.
- Make sure that all items needed to operate each post are identified and obtained.
- Provide opportunities for staff to learn how their post relates to the overall facility operation.

### Training Process

All staff who will work at a post need training in how posts, such as master control or housing, will operate in the new facility. This training uses the post orders as the principal training curriculum and focuses on all of the activities that occur at a specific post. It includes a number of hands-on activities using equipment and systems at the post. Ideally, supervisors will be the trainers for this curriculum and will deliver it in the areas they supervise. This training will provide another opportunity to review specific policies, procedures, and post orders and to check the facility and systems to see that they are ready for occupancy. Items to be tested and learned are listed in the training goals.

The department needs to determine the number of posts on which an individual staff member should be trained. This will depend on the number of posts in the facility and the jail's work schedules. If staff rotate posts infrequently, e.g., every 6 months, then they

The department needs to determine the number of posts on which an individual staff member should be trained.

might receive an overview of each post and more intense training on the post they will be working initially.

## Simulation Training

### Goals

Goals of simulation training may be to—

- Train staff to perform each major operation.
- Review and update policies and procedures.
- Use and revise forms and post orders as necessary.
- Identify and obtain keys, supplies, and equipment.
- Test the facility, operating systems, and schedules (time allocations) for accuracy and modify as needed.
- Improve staff teamwork.
- Enhance staff confidence.
- Familiarize staff with normal facility operations, i.e., all doors locked consistent with policies and procedures.

### Training Process

If document training on policies and procedures focuses on functions, and post training focuses on activities at specific places, simulation training links the two. Simulation training entails walking through major activities, especially those that involve significant movement of staff, inmates, or items. Simulate activities in groups of related functions with staff available for each of the roles involved in the activity, e.g., housing officer, visitor, and inmate. An evaluator should observe/critique the simulation. The simulation training needs to last long enough—typically several shifts—to

accurately reflect what a period of operations will be like. It also provides an opportunity to test equipment and systems. The sleepover, which is a community relations event often held as part of the opening of the new facility where local officials and community members spend the night as “inmates” (see chapter eight), may serve as a simulation.

Policies and procedures that might be simulated together are—

- Group 1—Shift Briefings/Reporting to Work, Inmate Counts, and Lockdown/Unlock.
- Group 2—Housekeeping and Waste Disposal.
- Group 3—Personal and Professional Visits.
- Group 4—Meal Delivery Service (multiple housing areas).
- Group 5—Laundry (multiple housing areas).
- Group 6—Inmate Telephone Use (multiple housing areas).
- Group 7—Recreation and Showers.
- Group 8—Inmate Searches.
- Group 9—Emergency Procedures.

Use the post log to document the simulation. Simulation training should be provided to all staff who are involved in the activity being simulated. Security staff should participate in all simulations.

Dry run training is a dress rehearsal for full operations, and might be a 24-hour simulation of a typical day. This simulation should be made as close to the real thing as possible, allowing staff to handle multiple functions and to gain practical experience before the jail opens. The dry run may be done using

Dry run training is a dress rehearsal for full operations, and might be a 24-hour simulation of a typical day.

a variety of individuals (staff, volunteers, and possibly college students) to play the roles of various types of inmates. Dry run training should involve as many staff as possible to make it as true to life as possible. Ideally, in a dry run staff should not have to refer frequently to policies and procedures or post orders to carry out their tasks.

### **Inmate Orientation and Training**

Transition staff may be so focused on the tasks they need to accomplish for facility staff that they lose sight of the needs of another significant population—inmates. The attention paid to preparing the inmate population for transition by providing appropriate kinds and amounts of information and by using this opportunity to establish behavioral expectations can help make occupancy a positive change.

This change begins with inmate orientation. Inmate orientation represents a microcosm of the transition process; in a number of ways, it is similar to the orientation process for staff. The staff orientation process includes developing written materials that are then converted to various forms of training. The same process applies for inmates, although there may be less information to convey.

During transition, staff of the existing facility who are not involved in preparing for the move frequently have many questions and concerns about the new facility; the inmate rumor mill works just as effectively as the staff's. As a result, it is essential to give inmates information about the new facility that they need to know, at an appropriate time. This may create tension within the transition team as team members

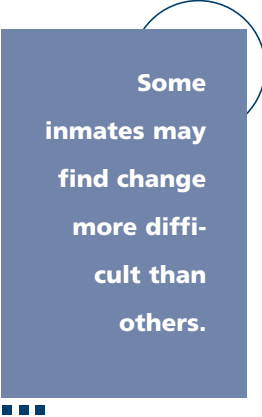
responsible for move logistics weigh security considerations against the need to provide accurate information.

General orientation strategies include using both the new inmate handbook and an orientation video. Staff can present the information to inmates in their housing units individually or in groups, as appropriate, and respond to questions about the new facility and new procedures. Once inmates have been moved to the new facility, they will need some form of in-facility orientation. This is particularly true if inmates will move unescorted in the new facility and need to know how to get to the appropriate location.

Specific orientation needs fall into at least two categories:

- Inmate workers will need to know the locations within the new facility more thoroughly than other inmates because they must report to work and may be responsible for tasks in various parts of the facility. The current inmate worker population may also be used during transition as the time for occupancy approaches. Inmate workers may help place furniture, stock supplies, and otherwise assist the transition team.
- Inmates and their families also need orientation and basic information, such as new addresses and telephone numbers in the new facility, new visiting procedures and equipment, and changes to visiting hours.

As the time to occupy the new facility nears, the transition team needs to consider how to prepare the inmate population for all aspects of the new facility. There is strong evidence that people respond behaviorally to the physical environment. Part of the orientation



Some  
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cult than  
others.

should deal with specific elements of the physical environment that will affect inmates, such as new equipment and ID cards. In addition, when the move to a new facility involves philosophical shifts, such as changing from a traditional linear facility with intermittent surveillance to a podular facility with direct supervision, transition staff need to plan carefully how to make the move an opportunity to reinforce the new philosophy.

Some inmates may find change more difficult than others. Special needs inmates may require a different type or level of orientation. In addition, during both transition and early occupancy, a variety of special events may occur. For example, inmates may need to learn how they are expected to behave during facility tours. If portions of the facility are not operational, such as food service, inmates must be told how their basic needs will be met during the transition period. Some facilities use transition as an opportunity to make a major operational change, such as from a smoking to a nonsmoking policy. In these situations, the transition team needs to think through how to advise inmates of this change and when, where, and how to implement the change.

## Training Challenges

Training tasks offer a number of critical challenges for the transition team. Because new staff typically require the most training and because their salaries have an impact on the budget, the desire to complete their training quickly and thoroughly at the time they are hired conflicts with wanting to save money by hiring them at the last possible moment. It is also challenging to figure out how to provide meaningful training to staff on two or three shifts while continuing to operate the facility and with minimal impact on the overtime budget. When potential construction delays and facility startup issues are factored in, scheduling training can be challenging. Yet, training is essential to making staff comfortable with the new facility and capable of making the transition successful.

It is also worth noting that some staff in the existing facility may not adapt to the new facility. This is more likely to be true if major shifts will be made in inmate supervision strategies. The department management team will need to determine how it will deal with employees who cannot make the transition from the old to the new facility.

# Appendix 6—1.

## SAMPLE LESSON PLAN

### LESSON PLAN COVER SHEET

**Course Title:** Document/Activity Training

**Instructor(s):**

**Lesson Title:** Inmate Counts (3.1.6)

**Prepared by:**

**Date:**

**Time Frame:**

**Total:** 0.5 hour

**Suggested Schedule:**

**From:**

**To:**

**Target Population:** Correctional officers

**Number of Participants:** Standard class size

**Space Requirements:** Access to a housing unit. Students practice a minimum of one count in a housing unit.

#### Performance Objectives:

At the end of this session, the students will be able to—

1. Identify the three reasons why inmates are counted at designated intervals.
2. Specify how the oncoming Housing Officer compares his count to account for all inmates present.
3. Identify whom the Housing Officer notifies when there is a count discrepancy that he or she cannot rectify by recounting the inmates or checking the Movement Log.
4. State where the Housing Officer directs all inmates to move for an emergency count.
5. Describe how the Control Officer verifies during offsite counts the number and identification of all inmates in the Escorting Officer's custody.

**Evaluation Procedures:** All students will take a multiple-choice examination. The examination is scored; 80% is a passing score.

**SAMPLE LESSON PLAN (continued)****Methods and Techniques:**

The module uses a combination of lecture, structured review and study time, and small group activity.

**Instructor Materials:**

Inmate Counts Policy and Procedure

**References:****Equipment and Supplies Needed:**

\_\_\_\_\_ Easel pads and stands—how many \_\_\_\_\_  
                   markers\_\_\_\_\_      masking tape\_\_\_\_\_      # colors\_\_\_\_\_

\_\_\_\_\_ Chalkboard

\_\_\_\_\_ 16mm projector—film length\_\_\_\_\_minutes

\_\_\_\_\_ Slide projector—type: carousel\_\_\_\_\_ tray\_\_\_\_\_ sound-on-slide\_\_\_\_\_

\_\_\_\_\_ Videotape player—type: 3/4" cassette\_\_\_\_\_ Betamax\_\_\_\_\_ VHS\_\_\_\_\_

                  tape length\_\_\_\_\_minutes

\_\_\_\_\_ Videotape recorder and camera

\_\_\_\_\_ Public address system

\_\_\_\_\_ Overhead projector

\_\_\_\_\_ Screen

\_\_\_\_\_ Other:

<b>Participant Materials</b>	<b># Needed</b>	<b>When Distributed</b>	<b>Comments</b>
Inmate Count Policy and Procedure	1/student	Day prior to class	Students are advised to review the policy and procedure prior to coming to class.



## SAMPLE LESSON PLAN (continued)

### Trainer Note

Trainer advises students that they have 5 minutes to review the policy and procedure before they will simulate a count.

### Presentation Guide

**Anticipatory Set:** Accurate and timely counts are a critical element of the facility security system. Although you may have counted inmates many times in the old facility, counts in the new one may occur differently because of a variety of policy changes and new technology.

Trainer will determine which type of count will be done. Type of count should vary from class to class.

**Instructional Input—Structured Group Exercise:** Students move into the Housing Unit. At the door, each student draws a piece of paper from a container, identifying his or her role in the group exercise.

*Trainer note:* These roles will include Housing Unit Officer, Central Control Officer, supervisor(s), and inmates.

Supervisor calls out the type of count and the simulation begins.

*Trainer note:* You do not need to post someone in Central Control for this training event although in a full simulation, of which counts will be a part, staff would operate control.

Trainer allows up to 5 minutes for the count. At the end of that time, the trainer calls the exercise.

Trainer assists in processing the exercise.

Trainer must observe the exercise completely and know how the procedure should occur.

Trainer asks “supervisors” to critique the count, identifying areas of compliance/noncompliance with the new procedure. After the “supervisors” offer their critique, the trainer opens the floor to other participants.

Trainer asks students to identify what was important to them about the count, identifying how it may differ from current procedures.

Trainer posts information on an easel pad.

Trainer distributes examination.

The trainer must provide the examination at some point before the end of the training period. It may be desirable to combine this examination with related exams, or time constraints may require that it be given immediately.

## SAMPLE LESSON PLAN (continued)

## EXAMINATION

## Performance Objectives:

1. Identify the three reasons inmates are counted at designated intervals.

2. Specify how the oncoming Housing Officer compares his or her count to account for all inmates present and out-count.

3. Identify whom the Housing Officer notifies when there is a count discrepancy that he or she cannot rectify by recounting the inmates or checking the Movement Log.

4. State where the Housing Officer directs all inmates to move for an emergency count.

5. Describe, how the Control/Dispatch Officer verifies during offsite counts the number and identification of all inmates in the Escorting Officer's custody.

## Related Question:

1. Identify the three reasons inmates are counted at designated intervals.

Answer:

A. To confirm their presence and well-being.

B. To maintain the safety and security of the facility.

C. To maintain control of inmates during regular operations and emergency situations.

2. True or False:

The oncoming Housing Officer compares his or her count with the Unit Roster and the Movement Log to account for all inmates present and out-count.

Answer: True

3. Identify whom the Housing Officer notifies when there is a count discrepancy that he or she cannot rectify by recounting the inmates or checking the Movement Log.

A. Police

B. Corrections Director

C. On-Duty Supervisor

D. None of the above

Answer: C

4. State where the Housing Officer directs all inmates to move for an emergency count.

A. To enter their cell and stand at the door or foot of their dorm bed.

B. To the north side of the Adult Detention Center.

C. To the closest restricted area.

D. To the Dayroom.

Answer: A

5. True or False:

The Control/Dispatch Officer contacts the Escorting Officer via radio/telephone to verify the number and identification of all inmates in the Escorting Officer's custody.

Answer: True

**CHAPTER SEVEN**



Furniture,  
Fixtures,  
Equipment,  
and Supplies



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## CHAPTER SEVEN

# FURNITURE, FIXTURES, EQUIPMENT, AND SUPPLIES

### ACTION PLANS

Action plans for the acquisition of furniture, fixtures, equipment, and supplies may include—

- Furniture and equipment.
- Supplies.
- Telephones (inmate, staff, public).
- Signage.
- Computers, information management system, and software.

### Overview

People often assume that all of the items that are required in the new building will be provided by the contractor. In reality, except in a few specialized circumstances in which the contractor has been asked to purchase furniture, fixtures, and equipment (FF&E), the jurisdiction is responsible for acquiring these items. The jurisdiction will always be responsible for acquiring supplies. The goal of this phase is to identify, purchase, place, and inventory the FF&E needed for new jail operations. For the purposes of this chapter, FF&E will also include supplies.

### Who Is Responsible for Purchasing FF&E?

As with many tasks necessary to occupy the jail successfully, the responsibility for purchasing FF&E may be spread among a number of individuals. Some items, such as the brackets for dayroom television sets, may even be included in the construction contract. Other items may be under a general open contract, e.g., telephone services, copiers, and computers, while still others may be the direct responsibility of the jail. Although this chapter uses the term “furniture, fixtures, equipment, and supplies,” you should identify and use the terminology familiar to your project, purchasing personnel, budgeting process, and department.

Who within the jurisdiction actually acquires these items may also vary. In some cases, the jurisdiction may have a purchasing department that manages the process; in other cases, it may be done by the department or the transition team. Regardless of who acquires the items, transition team members need to be represented in the process and to be familiar with the jurisdiction’s procurement procedures.

## How Can This Task Be Organized?

Exhibit 7-1 illustrates the major elements in the acquisition of FF&E as they relate to transition.

This task occurs in several distinct phases—one group of activities takes place relatively early in transition and a second considerably closer to occupancy. Early tasks include—

- Developing a list of FF&E items.
- Developing a list of supplies.
- Establishing/checking/acquiring the budget.
- Researching and evaluating the items.

Later tasks include—

- Bidding or purchasing the items.
- Receiving the items.
- Storing the items, if the facility is not ready and the contractor is not responsible for this.
- Placing or observing the placement of items.
- Inventorying the items.

These tasks may be spaced at different times during the transition process, based on the amount of lead time required from the time that the items are ordered until they are available.

The transition team should designate one team member as the FF&E coordinator. Like many transition tasks, this may be a collateral duty, especially because this work tends to occur in phases.

At the outset, a representative of the transition team should consult with the architect and contractor to learn what already has been done and what still

needs to be done. The FF&E coordinator will focus on ensuring that the items to be purchased meet security requirements. Before proceeding, because they will not have had previous experience purchasing items, many team members will need to familiarize themselves with normal purchasing procedures to ensure that they comply with the legal requirements in their area. Acquiring a number of new products and purchasing additional products currently being used may overwhelm the capability of the department's and jurisdiction's purchasing staff. The transition team should meet with purchasing staff inside and outside the department early in the transition period to explain the project scope, its impact on the purchasing operation, what resources may be needed, and how those resources will be obtained. You might be fortunate and learn that a number of items are on existing government contracts and will not need to be bid.

## Defining FF&E Needs

The FF&E coordinator should begin by clarifying what items are the responsibility of the contractor; plans and specifications are the best sources for this information. Next, review the pre-architectural program, the design minutes, and the equipment list sections of the scenarios, policies, and procedures to determine what other items are referenced. Finally, look at the plans, make certain how each room will be used, and consider what items will be required for that function.

This exercise should result in a list of required FF&E organized by—

- Building component, e.g., intake.

- Room name and number.
- Item, including specialty items for functions such as seating, meetings, and special equipment, with a description of the item, supplier/vendor name(s), estimated cost, and estimated delivery time.

Although this can be done in various ways, a database application may be the easiest because it allows a single list to be grouped, sorted, and printed in multiple ways.

A sample list of possible FF&E needs is shown in appendix 7-1.

### FF&E Selection Parameters

Budget constraints should be reviewed to establish a preliminary budget. You will need to determine if the project budget has allocated funds for FF&E and what may already have been spent out of that account. Next, determine which products and finishes are preferred, such as brushed stainless versus solid polymer tabletops. Even if the item has been specified as part of the construction contract, you may still have some choices. For items you are purchasing, consider your preferred finishes, durability, and security issues. Check catalog cut sheets, specifications, and vendor references, but also consider your experience with existing items. Next, find out about any issues associated with production and delivery of the item within the time you have available. Be sure to review fire safety standards to ensure that the item can be used in a correctional environment.

Determine if any existing FF&E will be used. Take an inventory of all existing items to ensure that they are serviceable and will fit—both literally and figuratively—in the new facility. Make

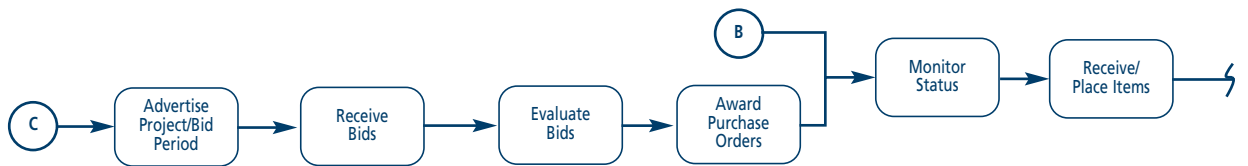
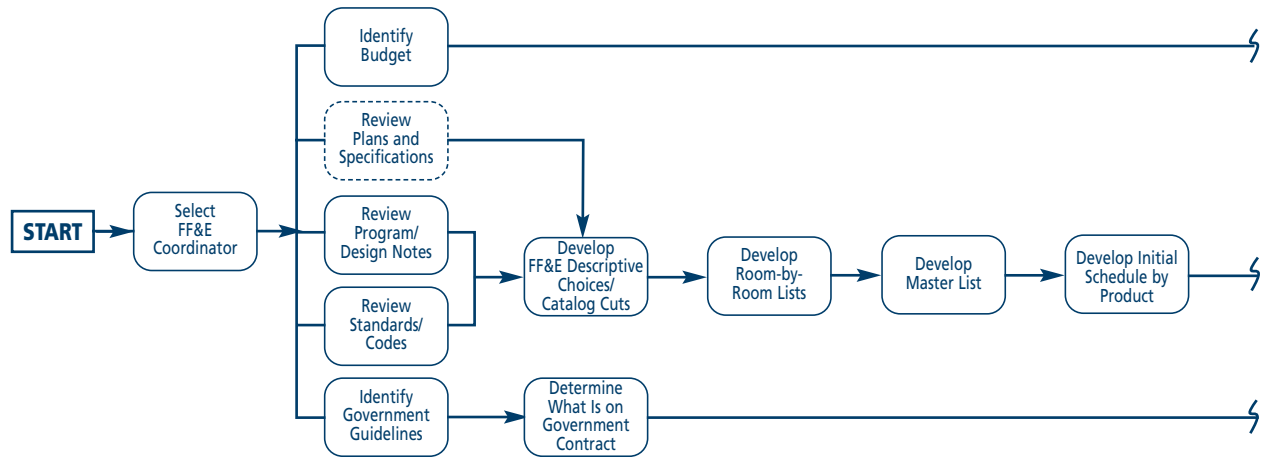
recommendations for future use of all items that will not remain in service. Consider the amount of time between your inventory date and the occupancy date and determine whether the item will still be in good condition at the time it will be needed. As you review FF&E, consider the dimensions of the item you are acquiring. Will it fit through the doorways into the room? Is the size appropriate for the room? If the item moves through the facility, e.g., a service cart, will its dimensions allow navigation through hallways, doorways, and around corners? Finally, consider if you had to replace the item, would you be able to get it in and out of the facility?


### FF&E Plan

After the budget, functional needs, and available products have been assessed, develop a descriptive list of all types of FF&E from which choices can be made. This list is the start of your FF&E plan; when complete, the plan will identify the FF&E required in each room. For each item, use catalog photos, written descriptions, and fabric and finish examples to develop and present your recommendations. Check references of vendors specifically by consulting other jails. Before finalizing the plan, test your preferred items. You might place the item in inmate areas in the old jail to see how it works and if it presents any safety or security issues. Because others may write the specifications and/or bid the items, transition team members need to provide clear descriptions of the items they have chosen. Finalize the catalog cuts and develop the budget estimate. Once the budget and the list of items are approved, proceed.

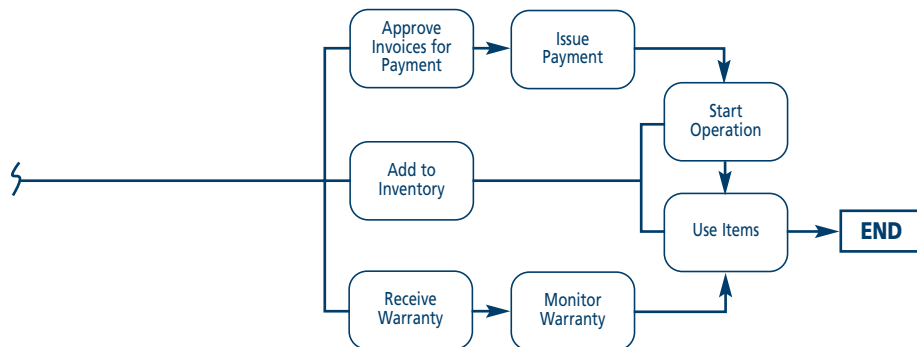
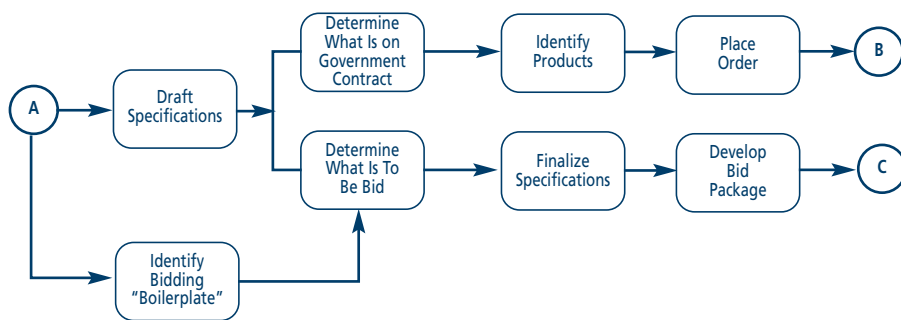
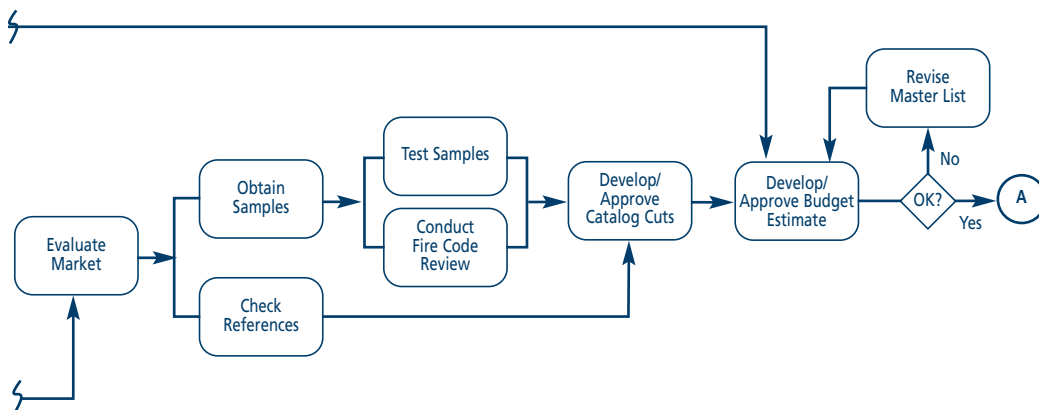
If you had to replace the item, would you be able to get it in and out of the facility?

## Exhibit 7-1. Furniture, Fixtures, Equipment, and Supplies Flowchart



 = Task is part of another chapter, but is critical to completion of this flowchart.





Develop a master schedule by product to identify quantities needed and to flag items that have long lead times. Prioritize items by their importance and when they are needed. You will also need to ensure that there is a plan to coordinate the placement of furniture with the locations of lights, power, phones, and other utilities.

### **Supply Ordering**

Supplies are items that do not go in the department inventory, but are still necessary. The existing facility may have many of these items, such as uniforms and bedding for inmates, but not in the quantity needed for the new facility. It is also important to think about items you don't automatically purchase every year, like vacuum cleaners and wastebaskets. These items might go into the startup budget. Develop and price this list of supplies. You will need to work with jail and department administrations to ensure that these items are approved and included in the appropriate operating budget.

### **Bidding and Acquiring the Items**

The acquisition process consists of bidding, award recommendation, and observation of the installation. The process you will use to acquire the FF&E items will vary based on the legal requirements in your jurisdiction. However, FF&E generally falls into two types:

- Items you can purchase outright.
- Items you must bid.

At least two things can determine this: the price of the item and the availability of open contracts or purchase orders, which may include lists of government

contracts maintained by other jurisdictions. If you are going to bid items as part of the construction project, you will need to ensure that they are in fact included in the bid package. Check the final plans and bidding specifications. The plans will indicate the size and placement of each item. Plans will also include a condensed summary list of items by number, along with a brief description.

### **Bid Process**

The bid package/specifications consist of a bid form, instructions to bidders, project work descriptions and responsibilities, and technical specifications for each item. Be sure that the specifications include vendor requirements, such as the following:

- The vendor must place and unpack the items.
- The vendor must remove packaging materials.
- The vendor must install the items, including a description of how the item is to be installed and any code requirements.
- Alternate delivery dates and/or storage options if the facility is delayed.

The final bid documents will likely have to be approved by the county or agency purchasing officials. They will prepare, publish, and advertise the bid documents. During the bidding phase, someone will need to be designated to answer bidder questions. These may result in addenda to bidding documents that must be issued to bidders.

### **Direct Purchase of FF&E**

Review any existing government purchasing contracts to identify what can

be purchased using these established processes. Next, develop a list of all items to be purchased using the existing contracts and, at the appropriate time, place orders for these items.

### Acquisition and Recommendation of FF&E

Once the bids have been developed, more transition tasks must be done. Although others may manage the bid process, the transition team should have an opportunity to review and evaluate the bids and recommend contract awards. The team must continue to monitor product availability and delivery requirements. Finally, the transition team will be responsible for observing the installation process to ensure that FF&E items, particularly those used in secure areas of the facility, are installed properly.

### Receipt and Placement of FF&E

The transition team has a number of responsibilities related to receipt and placement of FF&E, including—

- **Delivery coordination.** Coordinate deliveries with the construction schedule to ensure that no conflicts occur.
- **Observation/inspection.** Check each item for defects in manufacturing and/or installation.
- **Compliance.** Check each item to ensure that it complies with the purchase order or contract.
- **Approval of invoices.** This task may be designated to transition team members, depending on jurisdiction policy.
- **Placement of items.** Ideally, vendors will place the items where they are required, but lack of facility availability/accessibility may make

this impossible. Staff may be required to place items if vendors cannot. It is important that the jail be secure before items are placed because your jurisdiction becomes responsible for these items when they are no longer in either the contractor's or vendor's control. Security is particularly important for valuable items such as televisions and computers.

- **Inventory.** All new FF&E must be added to the department's inventory. Be sure to determine how this process is currently done. You may be able to acquire computer software to assist with this; many jurisdictions use barcodes and barcode readers to manage inventory.
- **Warranties.** Make sure that you have warranties on all equipment. Determine the start and end dates of all warranties. If you receive the item some time before it is actually installed, make certain that the warranty begins following installation. Finally, ensure that you have a plan for continuing service of the FF&E item once the warranty expires.

### Final Thoughts

The detail associated with FF&E tasks is significant and highly technical. The team member who is responsible for them will acquire a great deal of knowledge that will be useful in the future. It is also worth noting that acquiring FF&E presents a unique opportunity to improve the department's inventory process. FF&E tasks also relate to a number of activities that often occur after the formal move, as described in chapter eight, Move Logistics.

Check each item for defects in manufacturing and/or installation.

## Appendix 7—1.

### SAMPLE LIST OF FF&E

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Belly chains	Clocks—visible to inmates
Bibles	Closed circuit TV (CCTV)—all components if not included in contractor's bid
Blankets	CCTV—digital recording system
Body fluid cleanup kits	Computer printers
Bookshelves—all offices	Computer terminals
Bookshelves—program rooms	Computers—paper
Breakroom chairs	Copier
Breakroom coffee maker	Copier supplies—toner, paper
Breakroom microwave oven	CPR masks
Breakroom refrigerator/freezer	Credenzas
Breakroom tables	Crutches
Breakroom TV/VCR/DVD (to watch training tapes)	Desk chairs
Brooms—kitchen style	Desk side chairs
Brooms—push style	Desks
Cell extraction shield	Dustpans
Chairs—dayroom	File cabinets—all offices
Cigarette receptacle—outside front door	Fingerprint equipment
Cigarette receptacle—outside visiting door	Fire extinguisher cabinets
Cleaning buckets	Fire extinguishers
Cleaning carts	First aid kits
Cleaning rags	Flagpole
Cleaning sponges	Flags
Clipboards	Flashlights
Clock—lobby	Floor cleaning chemicals
Clock—public side of visiting area	Floor polisher

**SAMPLE LIST OF FF&E (continued)**

Floor wax	Kitchen supplies—cutlery, serving pieces, pots, pans, etc.
Forms—booking, medical, request, etc.	Kitchen supplies—food trays for inmate meals, cups, glasses, utensils
Games—recreation yard or gym	Kitchen supplies—hot food carts
Games—table top	Latex gloves
Garbage bags—various sizes	Laundry carts
Garbage cans—all offices	Laundry soaps/bleach
Garbage cans—vehicle sallyport, kitchen, dayrooms, cells	Laundry tables
Garbage dumpster or compactor	Law library—books, materials, computers
Garbage receptacles—outside front door and visitor door	Law library—tables, chairs, shelves
GED materials	Leg irons
Gunlockers—vehicle sallyport, lobby	Legal pads
Hair clippers	Library books
Handcuffs—cuffs, cases, keys	Light bulbs
Inmate envelopes	Mattress covers
Inmate pencils	Mattress storage shelves
Inmate property bags	Mattresses
Inmate razors	Medical exam room furnishings
Inmate shampoo	Medication cabinet
Inmate shoes	Medication distribution cart
Inmate soap	Mop buckets/wringers
Inmate socks	Mop handles
Inmate towels	Mop heads
Inmate t-shirts	Mop hooks in janitor closets
Inmate underwear	Mug shot equipment
Inmate uniforms	Paper shredder
Inmate writing paper	Paper towel dispensers at sinks
Key control lockbox—in central control	Paper towels
Key rings	Pillowcases
Key tags	Pillows
Keys	Plastic storage tubs for under bunks

## Sample List of FF&E (continued)

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Playing cards	Television wall brackets
Records storage boxes	Televisions
Restraint chair	Three-ring binders for policies and procedures
Sanitary hygiene supplies	Toilet bowl brushes
Sheets	Toilet bowl cleaner
Shelving—archived records storage, janitor closets, supply storage	Toilet paper
Shower mats	Toothbrushes
Shower sandals	Toothpaste
Signs—inside and outside	Uniforms—staff and inmates
Soap dispensers	Vacuum cleaner bags
Spray bottles	Vacuum cleaners
Storage cabinets	Wheelchairs
Telephones—inmates	Window cleaner
Telephones—staff	

**CHAPTER EIGHT**



Move  
Logistics



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## CHAPTER EIGHT

# MOVE LOGISTICS

### ACTION PLANS

#### Action plans for move logistics may include—

- Overall strategy.
- Building shakedown.
- Dedication.
- Tours.
- Open house or sleepover.
- Move of supplies.
- Move of staff operations.
- Move of inmates.

### Overview

Conventional wisdom used to say that the logistics of the move were not much more complicated than getting everyone on a bus and driving to the new jail. In reality, move logistics are the culmination of all of the previous transition activities. When well planned and executed, the move seems easy; when poorly planned and executed, it may embarrass your department.

The move must be carefully coordinated with the completion of the construction project; acquisition of fixtures, furniture, equipment, and supplies; and implementation of staff training. Ideally, all the construction will be complete, the punchlist items will all be resolved, and the move date will be scheduled after the facility dedication and open houses. However, sometimes you need to move while work is still occurring in parts of the new facility. It is imperative that the essential systems—security systems, building systems, phone systems, and computers—be up, running, and fully tested before inmates occupy the facility.

Move logistics activities can be divided into three groups:

- Activities that happen before the move.
- The move itself.
- Activities that happen after the move.

### Pre-Move Activities

The following basic activities occur before the move:

- Equipment and system shakedowns.
- Public events.
- Searches.
- Service startup.
- Notifications.

Agencies must never allow consultants who provide commissioning services to sign off on crucial systems without approval from the transition team leader.

## Equipment and System Shakedowns

Shakedowns are a process for achieving, validating, and documenting that the completed building and its systems meet the design requirements and needs of the owner. The term “commissioning” generally refers to the process of testing and balancing the building’s heating, ventilation, and air-conditioning systems according to established standards before the owner accepts the building, although it is more frequently used to describe the testing of all systems. However, for the purpose of this document, shakedown is the more common term and is more inclusive. Agencies that hire a consultant to provide commissioning services for various systems in the new building must still provide input to the testing process for crucial systems such as security electronics and fire systems. One or more members of the transition team must be involved in the commissioning of those systems. Once commissioning is complete, the transition team will continue to work on testing specific systems. Agencies must never allow consultants who provide commissioning services to sign off on crucial systems without approval from the transition team leader.

During the shakedown process, it is important to test the systems as they will be used, not just one element at a time. The transition team should ensure that—

- The security system is tested with all components operating and performing multiple activities, e.g., multiple doors being opened, under both normal and emergency conditions.

- The plumbing is tested with multiple demands on water flow.

The transition team should also test all areas of the facility, e.g., each housing unit, by simulating a period of operations. Once each area has been tested, the transition team should conduct a full-scale simulation in which the facility is operated for an extended time, perhaps 48 hours, to ensure that the systems function correctly over time and with reasonable levels of activity. This will require enough personnel to fully staff the facility. Some agencies use volunteers and family members for some tasks, such as opening and closing doors and setting off alarms, to offset the cost of staff. The test of the facility under a full-scale simulation is probably one of the most important facets of move logistics. Failure to test the systems fully can lead to later problems such as security failures and facility damage due to flooding. The test should be fully documented; agencies may even want to videotape the activities in some areas.

Many jurisdictions follow up the simulation with other functions, such as training or an event, e.g., a sleepover, in which officials and citizens play the roles of inmates.

## Public Events

As the facility nears completion, a number of public events occur. These are unique opportunities to showcase the facility, the department, and the transition team’s achievements; enhance public relations; and increase the public’s knowledge of the jail and its operations. These activities typically involve the media, so be sure that the information provided—both written and oral—is consistent and accurate.

Although the contractor will have a contractual obligation to clean the facility when it is completed, it is important to make sure that the facility's level of order and cleanliness is up to your department's standards. Contractors may have the floors swept, but they will not mop the floors or wash concrete dust off the walls. Be prepared to clean the facility after the contractor has finished and before public events.

### ***Tours and Open Houses***

Because the jail represents a substantial investment of public dollars, it should be open to the public for tours. Tours and an open house are opportunities to promote pride in corrections, provide an understanding of the jail's mission, and introduce corrections as a career. They provide another opportunity for staff to enhance and demonstrate their knowledge of the building and jail operations. Plan special events for staff and their families as well as others who are close to the department and its jail operation. These events are a great opportunity to show staff and their families the new facility before the public tours. For tours, the transition team should—

- Develop a tour route, script, and possible questions and answers in advance of the open houses.
- Prepare and practice for these events.
- Provide brief fact sheets about the jail.
- Gear the information provided to the audience. Not everyone needs the same level of detail about the facility.

### ***Dedication***

The dedication is an official ceremony to open the facility. Typically, it involves recognition of those who were involved in the planning, design, and construction process. Local officials, representatives of key user groups, and the media will also be attending.

### ***Sleepover***

A sleepover in which officials and citizens play the role of inmates can be used as a fundraiser (“inmates” might pay for the privilege of staying the night in the new facility), as an opportunity to inform key people about the facility, and as another chance for staff to operate the facility and its systems. Sleepovers are often accompanied by pre-event festivities, which can range from dinner and dancing to “arrests” of various dignitaries who then “make bond” by making a contribution to an appropriate charity. The sleepover should not occur until after a successful simulation and/or dry run training (see chapter 6, Training and Orientation). “Inmates” are booked into the facility, spend a typical day, and are released—typically with souvenirs—at the end of the event. Conduct a debriefing to outline what was learned, what items are still needed, what changes to the documents are needed, and where improvement or additional training is needed. As many staff as possible should participate in the sleepover to make it as real as possible and because it provides another opportunity for staff to practice the new operations.

Because the jail represents a substantial investment of public dollars, it should be open to the public for tours.

All areas of the facility need to be searched—at least twice.

### Searches

Although the activities carried out in a facility search overlap with the shakedown of equipment and systems, their timing and intent are different. After the public activities have been completed and the contractor has left the facility, transition team members (or other staff familiar with the facility and with clear direction) should conduct a final shakedown of the building. Individuals who have been involved in the punchlist may be helpful in this process.

As in typical searches, team members need to search for items that are where they should not be and for damage. However, they will also need to search for atypical items, i.e., contractor tools, debris, and other items that workmen or the public may have left behind. In addition to all the typical places that are searched during a shakedown, team members should consider searching atypical places such as inside vents and behind security plates. All areas of the facility need to be searched—at least twice. Give the teams conducting the search small sets of floor plans so they can identify the areas that have been searched. This will ensure that areas are not overlooked. Because this shakedown is likely to uncover an unusual amount of material, team members will need supplies such as garbage bags, flashlights, gloves, ladders, and tools, and a dumpster should be available. After the final search, seal the building before moving inmates in.

### Service Startup

Regardless of whether you move all at one time or in phases, you almost certainly will be operating some services, such as food service and health care, in

both facilities for a period of time. This is particularly true if the old facility will stay in operation. Other services, such as booking, are likely to move from one facility to the other at a specific time. Some activities, such as recreation, may not begin immediately after moving inmates to the new facility.

Transition team members need to develop a strategy for each of the programs and services to be delivered. These may include—

- Parallel operation in both facilities, i.e., food service operates in both facilities.
- Phased operation in which programs move their operations into the new facility according to a schedule while providing satellite services in the old facility, e.g., meals are prepared in the new facility and transported to the old facility.
- A clear turnover and shutdown in which service begins in the new location and stops in the old with only a brief overlap.

Each of these options has implications for staffing requirements and logistics. The decision that you ultimately make will depend on whether you will continue operating the old jail, the size of your inmate population, the distance between the two facilities, and your staffing levels, including your ability to use overtime. Regardless of how the move occurs, determine what services will be available the first day of operation and a schedule for the startup of subsequent services. It is better to start slowly but correctly than to rush into everything at once. The acceleration of services should be a joint decision between transition staff and jail administration.

As services are implemented, non-correctional staff and other facility users, such as visitors and other agencies, may encounter difficulties. The team needs to develop a formal process for identifying and resolving these difficulties and publishing responses to them. This process must be an established procedure and made available in areas where users, including those who may not stay in the facility for long periods, can let staff know about these issues. This process could be as simple as a suggestion box.

### Notifications

Jail administration must always face the question, “Should we tell the media and others of the move in advance?” There is no one answer to this question—the right answer will depend on the specific set of circumstances each jurisdiction faces. The transition team, jail administrator, and chief executive officer should discuss the pros and cons of making the move public and make the decision that is right for them.

Regardless of this decision, selected agencies should be notified of the move just before it begins. At a minimum, these agencies should include all law enforcement agencies that book into the jail, courts, fire departments, ambulance services, and suppliers such as food vendors. Inmates can notify their family members after they are in the new facility. To provide for appropriate security during the move, one approach is to suspend visiting during a range of dates even if the actual move-in date is not made public.

### The Move

Now that the necessary preparations for the move have been completed, it is time to physically move jail operations and personnel from the old to the new facility. Two groups of people and their belongings will have to be moved: staff (who are there voluntarily) and inmates (who are not). As noted in the first chapter, moving a jail facility is unique in that you have to deal with people who are confined and therefore may have little inclination to cooperate with the move and may see an incentive to disrupt the move for their own ends. However, the move also creates an opportunity to institute changes in classification of inmates and rules for inmate behavior.

### Moving Staff

All of us have moved in our lives and know how disruptive it can be. Consider the impact the move will have on your staff and the operation. Answer the following questions:

- Will staff move their own items?
- Can inmates help with packing and the move?
- Will the move occur during business hours?
- Who will carry all of the boxes?
- Who will unpack and place items?

Establish a schedule for the staff move. This should include determining the dates when—

- Staff will remove all personal items from their offices.
- Old files will be reviewed, sent to the appropriate location in the new building or a storage facility, or disposed of.

**Jail administration must always face the question, “Should we tell the media and others of the move in advance?”**

The actual inmate move provides a unique opportunity to set expectations for inmate behavior in the new facility.

- Storerooms will be cleaned out and items either marked for placement in the appropriate location in the new facility or removed from the inventory and disposed of appropriately.

Office assignments usually are made during design, but have been known to switch after administrators see their office size and/or location. Before the move, confirm office locations, write names on the floor plan, and post the plan in several locations. In the new facility, make sure that each office has an appropriate sign or room number. Staff who pack should ensure that cartons are marked with the same name or room number. Consider establishing a protocol for how offices can be decorated in the new facility if this has been an issue in the past.

Files that are required for ongoing operation, such as active health records and inmate files, present specific problems, particularly if all of the information is located in the paper file. These files need to be maintained securely and access restricted consistent with legal requirements. Coordinate moving these files with the plan for implementing services and, potentially, the plan for moving specific inmates.

The transition team must have a formal process for identifying and resolving issues and publishing answers. Even if you do not usually have shift briefings, consider implementing them for the period immediately before and after the move. They will provide an opportunity to exchange information, troubleshoot, and identify issues. Remember to plan for these briefings as you develop and monitor the transition and operating budgets.

## Moving Inmates

The actual inmate move provides a unique opportunity to set expectations for inmate behavior in the new facility; it also needs to be coordinated with inmate orientation. Some facilities make significant changes in policies at the time of the move. If some of these changes are going to be unpopular with the inmate population, such as changing to a smoke-free facility or reducing commissary items, it might be a good idea to implement the negative change gradually over several months before the move.

Many facilities consider moving inmates according to their jail classification. Generally, new facilities have more inmate classification options than the current jail and often adopt new policies and procedures for classification in the new facility. Months before the move, develop a practice roster for moving day that indicates where the current inmates will be housed in the new jail, following the new classification policies and procedures. The jail management team should review this practice roster to see if it meets their expectations. If it does not, the classification policies and procedures may need to be revised. Develop the final move roster the day before the move and update it on moving day.

You should suspend nonessential services during the changeover of essential services so staff can concentrate on the critical elements of ongoing operations as well as the move. Several items require specific attention.

There likely will be procedural questions and suggestions, a certain amount of unfamiliarity with the layout of the new facility, and possible equipment

failures that will require contact with the contractor. Consider having transition team members on duty 24 hours a day for the first few days of operation. At the very least, provide staff with contact information for transition team members so they will know whom to call for certain issues.

### ***Inmate Personal Property***

Inmates should not be allowed access to their property held by the jail. Movement of inmate property should be carefully controlled and may occur at a different time from the inmate move. The move provides an easy way to implement any changes you are making in what inmates can have in their cells or what property will be kept in the new facility. Notify inmates weeks in advance of any change and develop a mechanism for them to dispose of property that they cannot move. This should include a method to release inmates' personal property to family members. Team members must determine how to deal with the period when property is in one facility while the inmate is in another, particularly as it relates to release.

### ***Inmate Cell Property***

The team must determine how items inmates have in their cells will be moved. If inmates will not take this property with them during the move, they will need a means to package it so that it can be labeled and moved efficiently. Thought will need to be given to their bedding and uniforms. Team members should determine if inmates will carry their bedding and if these items will be processed into the facility (along with a search and issuance of a new uniform). Consider having the inmate cells in the new facility set up

with new linens, blankets, and mattresses so inmates will not need to carry them to the new facility. This will allow the linens to be laundered and the mattresses to be thoroughly searched before being taken to the new facility. In either case, searches will be required to minimize the opportunity to move contraband from the old facility to the new.

Inmates will also encounter problems during the move that should be addressed. The transition team needs to develop a formal process to identify and resolve these issues and publish the answers.

A detailed example of an Inmate Move Plan is included as appendix 8–1. An example of an Inmate Move Checklist is included as appendix 8–2.

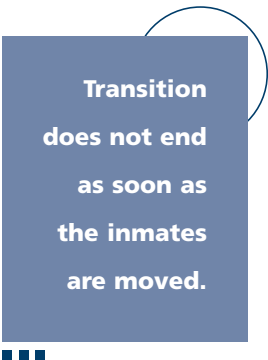
### **Post-Move Activities**

For all staff, transition is a temporary assignment. Depending on the nature of individual team members, that may be either a great relief or a great disappointment. During the hectic days immediately preceding and following the move, transition team members may not have a great deal of time to think about what's coming, but soon transition will be over. Team members need to plan for life beyond transition.

### **What Will Happen to the Old Facility?**

One of the big questions throughout this manual's entire facility planning process has been, "What happens to the old jail?" The tasks of the transition team will vary based on the plans for the old jail. Those plans could include—

Inmates should not be allowed access to their property held by the jail.



Transition  
does not end  
as soon as  
the inmates  
are moved.

- Continued operation with no changes.
- Continued operation with policy and procedure changes consistent with those in the new facility.
- Renovation with continued operation as a correctional facility.
- Renovation for another purpose.
- Closure.
- Demolition.

If the facility is being renovated with no continuing operations, closed, or demolished, consider the following:

- Shutting off utilities.
- Removing all items that will be used in the new facility and appropriately disposing of all others.
- Documenting the facility as part of the department's historical record with potential special activities such as a family day.
- Posting signs at all entrances to direct the public to the new facility and provide location and contact information.
- Disposing of keys appropriately, which could include turning them over to the new facility owners and disposing of security locks (with potential replacement with commercial locks).
- Securing the building.

### Post-Move Transition Tasks

Transition does not end as soon as the inmates are moved. Various tasks must be completed as the new facility begins to operate full time:

- No matter how well the documents have been prepared, unanticipated situations will occur that may

require modifying some documents. If it was necessary to prioritize which policies and procedures and post orders to complete prior to the move, additional documents will need to be finished.

- Team members and maintenance staff must monitor the status of equipment warranties to ensure that all items that require repair or replacement are identified and attended to before the expiration date.
- Ongoing and preventive maintenance activities must begin. Although the facility is new, some equipment may require a break-in period, and good maintenance from the start will extend the useful life of building systems and equipment.
- If the old jail is being closed, a number of activities will be required to close up the building and/or prepare it for renovation.

Each department will need to determine the level of effort required for post-move tasks and how long the transition team will need to stay in place to complete these tasks. Typically, the number of people assigned to the transition team increases as occupancy approaches. It is common to see a reduction in force after occupancy.

### Closing the Transition Office

It should be no surprise to transition staff that, in conjunction with department and jail administrations, they need to develop a plan for closing their office.

### Personnel Assignments

Staff allocated to the transition effort will require new assignments. The



nature of those assignments may determine when staff members need to move away from most transition tasks, although staff may keep some transition activities as collateral duties. As part of long-term personnel planning, the department may want to consider the potential benefits of personnel from the transition team. These individuals will have a high level of knowledge of the facility and experience in document development, training, and planning.

As a result, they may be strong contenders for specialized and supervisory positions. In addition, the department is likely to find these individuals useful in any accreditation effort and in carrying out quality assurance functions in general.

### ***Transition Equipment and Supplies***

The transition team typically has an office with associated office equipment, such as computers, telephones, fax machines, and copiers. If these are new, the team needs to determine where this equipment will go in the new facility as part of their FF&E planning. If the equipment is old, the team needs to plan for its reassignment or removal from inventory.

### ***Documents and Plans***

The transition team has the master copies of the new policies and procedures manual, the post orders, the inmate handbook, and a broad spectrum of automated and paper files that will have varying degrees of usefulness to the department in the future. Some of these materials must be maintained as operations continue; others that relate only to transition may be required for documentation only; still others may no longer serve any purpose. It may be helpful to develop a

list of files that are going to be stored and saved for future reference. The team needs to sort the materials to determine—

- Which will be inventoried, boxed, and stored.
- Which will be destroyed and whether they can simply be thrown away or must be shredded.
- Which must be archived consistent with legal requirements.
- Which will be moved to another location, and the person/office who will be responsible for these items.

### ***Recognition***

Transition requires a significant commitment of time and effort for the personnel involved. It is an activity that is clearly beyond normal operations. When transition team members take on this responsibility, the task is less certain and, therefore, more challenging than most other activities they do. The team needs to be recognized for the work it has done to make the switch to the new facility.

### ***Post-Occupancy Evaluation***

Post-occupancy evaluations typically occur 6 months to 1 year after the facility is occupied. Personnel involved may include the planner, architect, contractor, and key personnel within the department, such as the transition team.

Typical post-occupancy evaluations focus on the facility to determine if it is operating as intended. Two areas receive most of the attention: how space is allocated within the building and whether it is being used for the function for which it was originally intended. These activities also may

The team needs to be recognized for the work it has done to make the switch to the new facility.

consider the interface between equipment—often security equipment—and the facility to determine if they are working together as intended. This is an excellent time to pull members of the transition team together to determine if the operations that they planned are, in fact, working as they intended. This may take the form of a relatively informal walkthrough and discussion or a more formal internal audit.

Regardless of how much time passes between transition closeout and the post-occupancy evaluation, team members need to conduct a debriefing of the transition process to determine what they learned in the process, what worked well, and what did not go as planned. This activity should also focus on the interaction of team members and bring closure to any outstanding issues. This information should be documented, not only as a record for this team,

but as a resource for other transition teams who will face similar issues.

### **And Everything Else**

Before you get too far into transition, it's a good idea to consider two themes that recur many times during a transition project. First, the transition team is likely to have a number of opportunities to interact with the public. These interactions provide a unique opportunity to shape the relationship between the jail and the community. Second, there are likely to be a number of strange reactions from staff inside the department both to transition and to the transition team members. Some of these reactions relate to how people respond to change. Chapter 9 prepares transition team members for the unique challenges of public relations and managing change.

## Appendix 8—1.

### **SAMPLE INMATE MOVE PLAN**

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#### **Abbreviations**

BO—Booking Officer

BS—Booking Supervisor

BT—Booking Team

FO—Floor Officer

HO—Housing Officer

MC—Move Coordinator

MT—Move Team

TO—Transporting Officer (officer from sheriff's department or other agency responsible for the move from the old to the new facility)

#### **Before the Move**

1. Develop a Move Team.
2. Prepare a Move Roster showing each inmate's name, number, current housing location, and new jail housing location. Organize the move roster in three ways: old location, new location, and alphabetically by inmate's last name.
3. Set a date for the Classification Coordinator to consolidate (number of) inmates into one Housing Unit.
4. Notify the Commissary provider in advance which inmates will move on which days so the Commissary can be delivered to the new facility.
5. Tell inmates in advance what items will be allowed in the new jail and that no open Commissary items will be moved.
6. Provide the Move Roster to all involved staff.
7. Prepare for any inmate releases that may occur during the move.
8. Prepare photos of inmates in advance, and develop wristbands or another comparable type of inmate identification.
9. Decide whether to give inmates clear plastic bags with their names on them to move their cell property.

#### **First Day of Move**

1. MT reports to each existing Housing Unit.
2. HO wakes inmates at 4:30 a.m.

**SAMPLE INMATE MOVE PLAN (continued)**

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3. HO notifies inmates of their move and tells them to come out for an early breakfast.
  - Feeds the inmates to be moved.
  - Keeps phones off.
4. HO announces which inmates will be moved today.
5. HO tells the inmates to gather jail-issued items and their personal items, and that all inmates will lock in.
6. Provide inmates with clear bags with their names on them to hold their cell property.
7. MT and HO go to each cell.
8. HO inspects the cell and documents problems.
9. MT verifies the inmate's identity using inmate's wristband or ID.
10. MT takes property bag, puts it aside, and pat searches the inmate.
11. HO takes jail-issued items, inspects them, and puts them in a laundry cart.
  - Inventories issued items.
  - Documents problems.
12. After all inmates have moved out for the day and prior to unlock, the HO has the laundry cart moved to laundry.
13. MT pulls and searches property bag in the Property Room.
  - Checks against policy.
  - Disposes of excess and disallowed property.
  - Keeps property bag.
14. MT escorts inmates to current jail booking.
  - Briefs inmates as to what will happen.
  - Allocates one staff member per four inmates per movement.
  - Has staff carry inmate's cell property in cell property bag.
  - Puts inmates into holding cells according to their new jail housing assignments.
  - Carries property bags to van.
15. MT turns inmate over to TO, checking off names on the Move Roster to keep track of who has custody of which inmates.
16. TO takes custody of inmates.
  - Searches inmates.
  - Shackles inmates.
17. TO leaves current facility.
18. MT calls new jail with estimated time of arrival.
19. MT leaves with property.
20. TO and MT drive to new jail and announce arrival at intercom, giving van numbers.

**SAMPLE INMATE MOVE PLAN (continued)**

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21. TO and MT pull vans into parking spot.
22. TO puts weapons into gunlocker and takes key.
  - Jail staff are present to observe and provide assistance, i.e., to point out gunlocker locations to the TO.
23. TO escorts all (number of) inmates out of the vehicle at the same time.
24. TO escorts inmates to Booking.
25. TO delivers inmates to BOs who are in the Booking vestibule.
26. MT delivers property to BT.
27. BO compares inmates to the Move Roster, inmate cards, and their wristbands.
28. BO tells TO they accept the inmates.
29. TO unshackles the (number of) inmates.
30. BO moves inmates to holding cell designated by the Housing Unit.
31. TO leaves the booking vestibule and goes to the vehicle sallyport.
32. BO takes inmates one at a time to the fit-for-confinement area for their medical screening or to the other rooms used for this purpose.
  - Allocates one medical staff member to each screening room.
33. BT escorts inmates to the Booking desk, a holding cell, or to open seating if BOs are busy.
34. BO verifies the inmate's information in the computer system and transfers inmates from the old location to the new jail location on the system.
35. BO escorts inmates to shower area.
  - Searches personal property bag.
  - Reinventories jail-held property.
  - Moves inmate personal property separately.
36. BT supervises inmates.
  - Issues new inmate property.
    - Issues uniforms, linens, etc.
    - Provides boxes for inmates to store property?
    - Issues Inmate Handbook.
  - Inmates undress (need laundry carts).
  - Inmates shower (need soap/towels).
  - Inmates dress.
37. BT escorts inmates to Classification.
  - Provides interview rooms.
  - Makes two staff available all day.
  - Performs inmate briefing and verifies classification assignment.

## SAMPLE INMATE MOVE PLAN (continued)

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38. FO escorts inmates to Housing Unit.
  - Escorts inmates in groups of four.
  - Introduces inmates to HO by established protocol.
  - Waits while HO checks inmates in, assists if needed.
39. HO assumes control of the inmates.
40. HO orients inmates per orientation policies and procedures.
  - Gives inmates a tour of the Housing Unit.
  - Reviews typical daily schedule.
  - Explains rules or expectations specific to the Housing Unit.
41. HO shows inmates a cell and explains how inmates are to make their beds.
  - Selects a cell in each unit for the demonstration.
  - Has inmate make up the bed in that cell per HO's instructions.
42. HO escorts each inmate to his or her cell and tells inmate to make his or her bed and to read his or her inmate handbook.
  - Inspects cell and documents condition.
  - Locks inmate in.
43. Process continues until all inmates are received.
44. HO walks around to see that inmates are getting settled.
45. HO unlocks cells and tells inmates via intercom to bring their Inmate Handbooks, come out of their cells dressed, close their cell doors, and report to the Dayroom.
46. HO conducts inmate orientation per orientation policies and procedures.
  - Reviews entire Inmate Handbook.
  - Has inmates read sections of the Handbook out loud, reads the Handbook to the inmates or goes over important elements of the Handbook with the inmates. It is essential that inmates have a full and complete understanding of the Handbook's contents.
  - Answers questions.
  - Tells inmates when the following services will start:
    - Visiting.
    - Commissary.
    - Sick call.
    - Telephones.
    - Recreation.
47. HO turns on phone.
48. HO turns on TV.

**SAMPLE INMATE MOVE PLAN (continued)**

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- 49. HO implements daily schedule.
- 50. HO has inmates do a thorough cleaning of the unit.
- 51. Food Service Staff will call for inmate workers to visit the Food Service area later today or tomorrow.

**After the Move**

- 1. After the old jail Housing Unit is vacated, staff search the unit and then inmate workers from other units clean cells, Dayrooms, and common areas.
- 2. Staff vacate workstations and Housing common areas.
- 3. Current jail Housing Unit staff are reassigned to the new facility.

## Appendix 8—2.

### SAMPLE INMATE MOVE CHECKLIST

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- \_\_\_ 1. Determine potential move date.
- \_\_\_ 2. Develop an estimate of the size of the inmate population, by classification, to be moved.
- \_\_\_ 3. Determine the mode and route of transportation, both internal and external, for moving the inmate population.
- \_\_\_ 4. Determine the number of personnel required, transportation vehicles needed, and moving equipment needed.
- \_\_\_ 5. Determine whether it is necessary to use personnel from state/local law enforcement agencies to augment facility staff during the move.
- \_\_\_ 6. Identify available personnel, transportation, and moving equipment resources for the inmate move (item 4 deals with establishing minimum staffing levels and equipment needs).
- \_\_\_ 7. Where necessary, develop written agreements/contracts for the provision of resources.
- \_\_\_ 8. Prepare agreements/contracts for the movement of equipment and supplies.
- \_\_\_ 9. Develop a plan for reclassifying inmates before the move to the new facility. Concurrent classification will need to be done for at least 1 month before the move.
- \_\_\_ 10. Develop a plan for determining each inmate's living unit in the new facility.
- \_\_\_ 11. Determine the types of cell property inmates will be allowed to take from the old to the new facility.
- \_\_\_ 12. Develop a plan for disposing of the cell property that inmates will not be allowed to take to the new facility.
- \_\_\_ 13. Develop a plan for searching all inmates before and after the move.
- \_\_\_ 14. Develop a plan for handling new inmates who are being admitted during the actual move.
- \_\_\_ 15. Develop a plan for handling inmates who may be released during the actual move (where is their property, files, etc.?).
- \_\_\_ 16. Determine what information will be provided to inmates regarding the move.
- \_\_\_ 17. Develop a plan for handling escape attempts, riots, or other security threats that may occur during the move.
- \_\_\_ 18. Develop a plan for emergency medical services during the move.



**SAMPLE INMATE MOVE CHECKLIST (continued)**

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- \_\_\_ 19. Develop a plan for the repair and/or replacement of equipment critical to the move that stops working during the move.
- \_\_\_ 20. Develop a meal service schedule for the move days.
- \_\_\_ 21. Establish a move command center communication network.
- \_\_\_ 22. Develop a plan for handling vehicle traffic and crowd control along the transportation route, if necessary.
- \_\_\_ 23. Identify all costs involved in moving the inmate population.
- \_\_\_ 24. Establish criteria for handling staff requests for vacations and sick leave during the move.
- \_\_\_ 25. Develop a written scenario with detailed instructions for moving all inmates, including descriptions of staff roles.
- \_\_\_ 26. Establish staffing levels for both facilities during the move.
- \_\_\_ 27. Schedule briefings of all staff, especially the Move Team, to update them on plans and changes made.
- \_\_\_ 28. Establish a communication system with other criminal justice agencies affected by the move to keep them updated.
- \_\_\_ 29. Develop a plan for handling vendors, deliveries, mail service, and other services provided by outsiders before, during, and after the move.
- \_\_\_ 30. Determine what information about the move will be released to the families of inmates and the general public.
- \_\_\_ 31. Orient inmates to the new facility and the move procedures.
- \_\_\_ 32. Develop a plan for any visits by attorneys, parole officers, or other justice system representatives or any other court-related activities that may arise during the move.

[Add additional steps as needed.]

- \_\_\_ 33. \_\_\_\_\_
- \_\_\_ 34. \_\_\_\_\_
- \_\_\_ 35. \_\_\_\_\_
- \_\_\_ 36. \_\_\_\_\_
- \_\_\_ 37. \_\_\_\_\_
- \_\_\_ 38. \_\_\_\_\_
- \_\_\_ 39. \_\_\_\_\_
- \_\_\_ 40. \_\_\_\_\_

**CHAPTER NINE**



Transition  
Themes

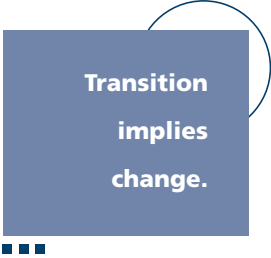


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## CHAPTER NINE

# TRANSITION THEMES

Throughout transition, regardless of the length of the process, several recurring themes present significant challenges and opportunities. This section of the manual focuses on two: managing change and community relations.



Transition  
implies  
change.

### Managing Change

As transition teams confront the many tasks before them, it is easy to forget that transition implies movement from one situation to another. Transition implies change. This is important because change sets in motion many of the behaviors that the transition team will experience. It is essential that transition team members know a bit about people's reactions to change so that they can understand and respond to them appropriately. This will enable team members to shape the results of transition by being positive agents of that change.

### What Are the Differences Between “Change” and “Managed Change”?

There is nothing unusual about change—nothing is so constant as change itself. But there is a significant difference between change and managed change. Change often seems random, and it occurs constantly. In an organizational context, it often comes from outside the organization or the group affected. Laws change, judges change—and the department responds. Policies change, procedures change—and line staff respond.

Managed change is deliberate and is set in motion from inside the organization. Someone makes the change occur, and the movement of the change is toward a specific goal. By becoming part of the transition team, members step from “outside” the change—where many departmental personnel continue to be—to “inside” the change. They help shape the direction and quality of the change. This may seem like a subtle difference, but it helps to explain some of the dynamics transition team members may encounter as they do their work.

## What Are the Principles of Change?

Organizational development recognizes several principles of change:

- Some factors increase resistance to change.
- Other factors decrease resistance to change.
- Resistance to change has consequences.

Because transition team members will be change agents, they must understand the dynamics of change. First, resistance to change is the normal state of affairs. One of the laws of physics says, “bodies in motion tend to stay in motion, and bodies at rest tend to stay at rest.” Even in nature, there is resistance to change. People in organizations and the organizations themselves are no different. But this resistance to change has consequences, and specific actions can either increase or decrease this resistance. As team members think about rewriting policies and procedures, about changing how operations occur, they need to go about the change in a way that will minimize resistance.

A number of factors can increase resistance to change:

- If the change is perceived as threatening, rather than helpful, resistance will increase.
- Changes that are imposed on a group of people—supervisors, line staff, support staff—are more likely to be resisted. Do not assume that because people have wanted a new (or improved) jail they will automatically like the new facility. A good example of this kind of resistance occurs in some line staff in

facilities that change from an inmate management philosophy of intermittent surveillance to one of direct supervision.

- The magnitude of the change determines the magnitude of the resistance.

Resistance to change can be overt or implicit, immediate or deferred. How strong the overt resistance is depends on how strongly top management and other key individuals support the change. Consider the influence that a single shift supervisor has on his or her shift. If these supervisors support the change, staff are less likely to resist it. It is also important to note that overt signs of resistance may not have a one-to-one relationship to the actual opposition that exists. In the direct supervision example noted, staff may not gripe about or overtly resist the change, but you may see more passive forms of resistance or increases in resignations.

Passive resistance often comes out as efforts to maintain the status quo and in defensive behavior. It may be expressed as “officer safety” concerns. What it is often about, however, is resistance to change and the fear of the unknown.

A variety of factors can decrease resistance to change:

- If individuals see some personal benefit to the change, they are more likely to support it.
- If strong individuals with prestige and influence (formal or informal) in the organization support the change, resistance will decrease.

- If groups that are meaningful to an individual support the change, that individual is more likely to support it.
- Responding to specific questions that a group has about the change can reduce its resistance.
- Shared perceptions about the need for a change decrease resistance.
- Shared perceptions that those who experience the change and those who direct it belong to the same group—“we’re all in this together”—decrease resistance.
- Those who have access to information relating to the need for change, the plans for the change, and the consequences of the change are less likely to resist it.

In short, people tend to support what they help create. The degree to which transition team members can find a way to involve others in the organization will influence how much resistance they encounter.

### How Is Change in Government Different?

Change is often more challenging in government agencies than in other arenas. Many government agencies have their roles and responsibilities defined by statute. Each organization has many layers, and change often occurs in a political context. These increase the challenges in creating and managing change.

Government agencies by their very nature involve diverse groups; these groups may have competing interests that make it more difficult to build on the unifying factors that decrease resistance to change. In addition, statutes often require that planning be

done in public. Don’t discount the potential impact of politics on the transition process. When the arena is politicized, it makes managing the change process more challenging. Although transition team members may be insulated from politics to some degree, what they are doing has the potential to be politicized.

### What Are the Implications for Transition Teams?

The information in this manual is presented not only to provide a theoretical basis for the change. It also has direct and powerful implications for the transition team. Within the department, team members may be seen as agents of the change, and they need to be prepared for how they may be perceived. The following strategies can help the transition team to build and maintain a positive image:

- Consider the groups whose support you need during transition as you determine team membership.
- Create opportunities to solicit input from others—and listen to it.
- Share information about transition activities and the facility.
- Have a positive attitude and convey that in your interactions within the department.
- Stay aware of what is happening in the department and the jail.
- Expect staff to forget that you have an operational background, and don’t pay attention to comments like, “You don’t know what these inmates are like . . .” They are about anxiety and resistance to change. They aren’t personal.

The degree to which transition team members can find a way to involve others in the organization will influence how much resistance they encounter.

Changing the physical environment in which people work is one of the most profound changes in organizational life.

- Be prepared for envy, concern, and sometimes hostility from other staff members.
- Be prepared for team members who have been forced into service and don't want to be there.
- Be prepared to respond to questions and concerns with accurate information.

Changing the physical environment in which people work is one of the most profound changes in organizational life. It creates considerable anxiety, but it is also one of the most effective ways to increase morale, professionalism, and pride. Use this opportunity to take your operations to a new level of excellence.

### Community Relations

When the facility planning process began, it's likely that there was a flurry of activity associated with community relations. Jurisdictions often identify advisory groups, composed of community members, to assist in the planning process. They also hold informational and neighborhood meetings about the facility and its building site, conduct public education campaigns, and seek lots of media coverage. A lot of this activity stops once the decision to build is made and/or authorization to build is received. However, as the construction project begins and the building takes shape, community interest peaks again.

The transition team has two responsibilities with regard to community relations:

- Remembering supporters who were involved during the beginning of the planning process.

- Shaping the relationship that the facility will have with the community in the future.

### Who Is the Community?

The community includes diverse groups:

- Staff and families.
- Contractors and families.
- Outside law enforcement agencies.
- Other criminal justice agencies.
- Civic groups.
- Media.
- The neighborhood.

Each of these stakeholder groups has different interests and concerns about the facility. Each group wants to know different things and is interested in seeing different aspects of the facility. Each group also has very different needs in terms of information about and familiarity with the facility and its operations. The transition team needs to consider how they will tailor their public information based on the audience to whom they are speaking.

Some of these groups will require special attention:

- The neighborhood, particularly businesses and homes around the facility, will be living through a construction project. Projects of the size and scope of the jail can be very disruptive, and they often last long enough to require a structured, regular response to the community. Although the contractor and the project manager will be responsible for resolving construction-related issues, the transition team may need to address specific neighborhood concerns about future operations.

- Other criminal justice agencies, including law enforcement agencies, will need structured briefings and training about the facility. You may also need the police department in whose jurisdiction the new jail is located to assist in security around the site.
- The media are likely to be particularly interested in the political aspects of the planning process. However, the media can be a tremendous asset if their portrayal of the new jail is accurate and addresses community concerns.

### Why Is “the Community” an Issue?

Transition team members don’t get a clean slate when it comes to community relations. All jail projects share the same baggage: the public’s concern about how much money is being spent on the building and questions about why it should be spent on inmates. The project probably has a history with the community and neighborhood in which it is being located, as does the current jail. The people who live or work near both locations have legitimate concerns about the kind of neighbor you will be as you move into your new facility. This is your opportunity to make a good first impression. If the existing jail will be closed, those who live nearby may be particularly concerned that the facility will become an eyesore if it is abandoned. The transition period is an opportunity to address their concerns.

Transition also offers a unique opportunity to influence people and agencies who will be frequent users of the new facility—to get them started on the right foot. By introducing them to the new facility and the new procedures

that come with it, the transition team can reduce users’ concerns and begin to shape the behavior that they expect from these groups.

To address concerns, you need to know what the concerns are. Because the facility is going to be a long-term addition to the surrounding community, your department has a compelling need to build strong collaborative relationships. Transition team members are some of the first faces that the jail’s new neighbors will see. Making a good first impression will be an important step.

### What Strategies Can Improve Community Relations?

Accurate information and the willingness to listen to concerns are two of the best things the transition team can provide the public. In the absence of a strategy to exchange information, the rumor mill will take over—inside and outside your department. Who releases what information and how that information is released must be carefully defined. If the department has a public information officer, team members should start there.

In addition, the following materials, products, and services can help establish and maintain good community relations:

- Brochures can provide consistent factual information about the facility, particularly during tours and open houses.
- Newsletters, both inside and outside the department, can focus on transition activities and the status of the project. Team members also could consider brief articles for neighborhood papers.

The people who live or work near both locations have legitimate concerns about the kind of neighbor you will be as you move into your new facility.



**[Transition]**  
is a process  
used to  
develop a  
new method  
of operation,  
and it is a  
time that  
will make a  
difference  
for all jail  
stakeholders.

- A good Web site offers an opportunity to provide information and solicit questions through e-mail and other interactive activities.
- A drop-in center may provide information in various media—particularly larger pieces such as architectural renderings or models of the new facility—in one place. Many agencies can use their existing public lobby for such a center.
- Neighborhood meetings offer an opportunity to find out about and address specific issues.
- Agency briefings can introduce key user agencies to the changes that will be occurring in the new facility and the new procedures that may be put in place.
- Public events, such as tours, open houses, and sleepovers, can help introduce the facility to the community (see chapter eight, Move Logistics, for more information about these activities).

### **Conclusion**

By now, it should be clear that transition is much more than just moving from one facility to another. It is a process used to develop and transfer a new method of operation, and it is a time that will make a difference for all jail stakeholders. It is worth doing to the best of your organization's ability.



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