



State of California
Youth and Adult Correctional Agency
Board of Corrections

Corrections

Planning

Handbooks

Prepared by Farbstein/Williams & Associates

128352

**U.S. Department of Justice
National Institute of Justice**

This document has been reproduced exactly as received from the person or organization originating it. Points of view or opinions stated in this document are those of the authors and do not necessarily represent the official position or policies of the National Institute of Justice.

Permission to reproduce this copyrighted material has been granted by
California Board of Corrections

to the National Criminal Justice Reference Service (NCJRS).

Further reproduction outside of the NCJRS system requires permission of the copyright owner.

© 1981 Board of Corrections
600 Bercut Drive
Sacramento, CA 95814
Telephone: (916) 445-5073

Please contact the Board of Corrections regarding additional copies of the Handbooks. The preparation of these materials was financially assisted through a federal grant (Number E 4441-1-71) from the Law Enforcement Assistance Administration and the California Office of Criminal Justice Planning and under Title I of the Crime Control Act of 1973.

The opinions, findings, and conclusions in this publication are those of the author and not necessarily those of OCJP or LEAA. OCJP and LEAA reserve a royalty-free, non-exclusive, and irrevocable license to reproduce, publish and use these materials, and to authorize others to do so. A copy of these materials may be obtained from OCJP or LEAA upon payment of the cost for reproducing the materials.

Preface

These jail planning handbooks were commissioned by the Board of Corrections to help counties decide whether to build a new jail. In addition, the handbooks chart a course that encourages clear and careful thinking about what to build in those counties that have already decided that they must build.

California's jails face a crisis. Many jails are overcrowded, many are outdated. Almost all face challenges in the courts. The Board of Corrections seeks, in these handbooks, to encourage thoughtful planning. When the need for replacement or renovation is urgent, there is a danger that some counties will rush to build without having a clear, long-term view of the best and most cost-effective correctional options. The procedures outlined in the handbooks are time-consuming, but they are worth the time invested because they help counties discover the best long-term solutions to their jail problems.

The handbooks reflect the Board's belief that jail planning should involve broad-based participation by all segments of county government and the public. Of course, sheriffs and jail commanders must be centrally involved. For the long-term support of corrections activities, it is crucial that other officials and citizenry also take part in the jail planning project.

In addition to describing special planning tasks, issues, and methods, the handbooks recommend a framework for planning, involving an advisory committee, and various task forces and planning groups.

To supplement these handbooks, the Board of Corrections will provide a number of technical assistance and training resources. Interested counties should contact the Board of Corrections for further information.

These handbooks do not represent Board policy or thinking in every particular, but the board does urge county officials to study and use them. They contain excellent guides to the difficult, but invaluable, process of thinking carefully about a county's jail requirements.

HOWARD WAY
Chairman
Board of Corrections

Acknowledgements

State of California

Edmund G. Brown, Jr., Governor

Youth and Adult Correctional Agency

Board of Corrections

Members:

Howard Way, Chairman (Secretary, Youth and Adult Correctional Agency)

Pearl West, Vice-Chairperson (Director, California Youth Authority)

Susan Berk Cohen (Public Member)

Theodore Flier (Public Member)

Al Loustalot (Sheriff, County of Kern)

Ruth L. Rushen (Director, Department of Corrections)

Maxine Singer (Chief Probation Officer, County of Yuba)

Daniel Vasquez (Associate Superintendent, California Correctional Center)

Thomas V. A. Wornham (Executive Director, Project JOVE, Inc.)

Jail Services Staff:

Norma Phillips Lammers, Executive Officer

Edgar A. Smith, Assistant Executive Officer

Mark O. Morris, Project Director

Karen L. Rosa, Project Manager

Verne L. Speirs, Field Representative

J.W. Pederson, Field Representative

E.P. Williams, Field Representative

R. Neil Zinn, Field Representative

Peggy Gray, Secretary

Dorinne Forneris, Secretary

Local Corrections Needs Assessment and Jail Construction Funding Advisory Committee:

Thomas V. A. Wornham, Chair (Executive Director, Project JOVE, Inc.)

Connie Carter (Administrative Analyst, Santa Cruz County)

Tom Finley (Project Manager, Contra Costa County Jail)

Clyde Gould (Supervisor, Tulare County)

Richard Kenyon (President, California Criminal Justice Planning Directors' Association)

Ron Koenig (Sheriff, Tehama County)

Don Lunsford (Administrative Officer, Placer County)

Jan Marinissen (Criminal Justice Secretary, American Friends Service Committee)

Raul Ramos (Undersheriff, County of Orange)

Cecil Steppe (Chief Probation Officer, San Diego County)

Hon. Peter Stone (Judge, Superior Court of Santa Clara County)

Betty Trotter, (Government Director, League of Women Voters of California)

Steve Zehner (County Supervisors Association of California)

Contractor for Preparation of the Handbooks:**Farbstein/Williams & Associates**

Jay Farbstein, Project Director
Gregory Williams
Mark Goldman, Project Manager
Larry Barone
Nancy Hirschfeld
Dorothy Pike

Sub-consultants

John Heiss
Herbert Sigurdson
David Dupree
Marlene Goldman, Editor
Linda Farbstein, Graphic Designer
Andy Wheeler, Graphics
David Voorhis, Special Consultant to the Board of Corrections

The National Institute of Corrections Jail Center, provided considerable assistance with this project. A significant proportion of the material presented in these handbooks was developed for NIC's Planning of New Institutions program. Specific thanks are due to John Milosovich and to the staff of the NIC National Information Center.

The following individuals reviewed one or more drafts of the handbooks and provided valuable comments. David Bennett, David Burright, Susan Cohen, Gerald Davis, Gail Elias, Michael Feerer, Bill Ferguson, Robin Ford, Min Kantrowitz, Dennis Kimme, Carol Kizziah, John McGough, Susan Stanton, Michael Stonebreaker, Ron Taylor, Betty Trotter, Marion Varner, Don Voth, and Ed Zimmerman. Of course, the reviewers cannot be held responsible for shortcomings which may exist in the final version.

In addition, certain of the techniques presented in the handbooks were field tested in California jails. Butte County Sheriff's Office, San Luis Obispo County Sheriff's Department, Santa Clara County Sheriff's Office, and Solano County Sheriff's Office kindly cooperated in this testing.

Table of Contents

Handbook One: Learning about Corrections and Correctional Facilities

- 1.0 Introduction to the Handbooks
- 1.1 Corrections and the Justice System
- 1.2 Correctional Standards and Legal Requirements
- 1.3 Recent Developments in Correctional Operations and Facility Design
- 1.4 Costs of Building and Operating Correctional Facilities
- 1.5 Sources and Resources: Where to Find Information and Help

Handbook Two: Starting the Corrections Planning Process

- 2.0 Introduction to Handbook Two
- 2.1 Step 1: Set Up a Participatory Planning Structure
- 2.2 Step 2: Identify Correctional System Problems
- 2.3 Step 3: Develop Corrections Mission Statement and Goals
- 2.4 Step 4: Develop Action Plans for Solving Problems
- 2.5 Step 5: Select Needed Consultants

Handbook Three: Assessing Current and Future Corrections Needs

- 3.0 Introduction to Handbook Three
- 3.1 Step 1: Profile the Detention Population
- 3.2 Step 2: Profile Existing Correctional Facility Programs
- 3.3 Step 3: Document Current Criminal Justice System Operations
- 3.4 Step 4: Consider and Evaluate Alternative Programs
- 3.5 Step 5: Document Trends and Project Future Volumes
- 3.6 Step 6: Convert Projections to Capacity and Program Needs
- 3.7 Step 7: Document Needs in a Final Report

Handbook Four: Determining the Feasibility of Developing a Correctional Facility

- 4.0 Introduction to Handbook Four
- 4.1 Step 1: Establish the Need for Facilities: The Preliminary Program
- 4.2 Step 2: Evaluate Existing Facilities for Continued Use, Remodeling or Expansion
- 4.3 Step 3: Develop and Consider Facility Options
- 4.4 Step 4: Consider Consolidated Correctional Facilities
- 4.5 Step 5: Calculate Construction and Operating Costs
- 4.6 Step 6: Pursue Funding Sources and Strategies
- 4.7 Step 7: Select the Most Feasible Option

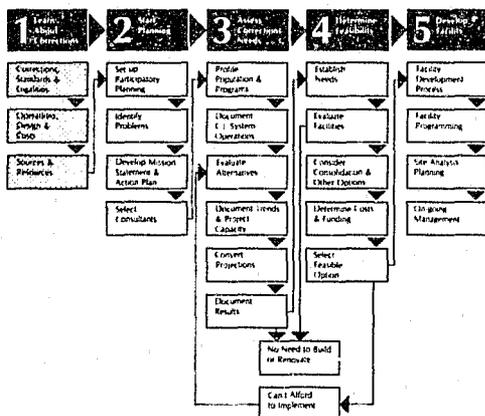
Handbook Five: The Correctional Facility Development Process

- 5.0 Introduction to Handbook Five
- 5.1 The Correctional Facility Development Process
- 5.2 Correctional Facility Programming
- 5.3 Site Analysis, Selection and Planning
- 5.4 On-going Project Management

Appendices

- Appendix A. Snapshot Profile Data Form
- Appendix B. Suggested Sources for Snapshot Profile Data
- Appendix C. Sampling Guidelines
- Appendix D. Estimated Time Requirements for Snapshot Profile
- Appendix E. Inmate Release Data Form
- Appendix F. Longitudinal Profile Data Form
- Appendix G. Offense Groupings of Penal Code Violations
- Appendix H. Inmate Needs Survey Form
- Appendix I. Projection Method Two
- Appendix J. Jail Staffing Analysis Forms

1.0 Introduction to the Handbooks



Purpose of the Handbooks

These handbooks are provided to the counties of California for a range of purposes:

- To help your county identify and define its correctional problems and to find solutions to such difficult problems as:
An overcrowded jail
An old, inefficient or unsafe facility
How to best use limited resources.
- To define a planning process in which important questions are asked and critical information collected prior to entering into a building program.
- To encourage consideration of planning alternatives (programs, operations, facility approaches) which may be less costly but equally beneficial.
- To simplify and help organize the planning process.
- To help avoid costly mistakes by reviewing other counties' experiences.

These handbooks present a "model" corrections planning process consisting of valid, tested methods. The process is flexible so that your county as well as counties with differing needs can apply it to a variety of situations. Not every county will need to complete each step or use all the information provided. To help find your own and your county's way through the process, refer to the sections below on "Options for Counties with Differing Needs" and "Introductions for Each Participant."

Why These are "How-To-Do-It" Handbooks

Planning for corrections can be a long and complex process. Because of the effort required, many counties simply don't bother to plan as carefully as they might. Thus they don't benefit from possibly better, more cost-effective solutions which are often discovered during the planning process. To encourage counties to plan carefully, these handbooks provide a step-by-step process and guide to the many skills you can tap from county agencies, community organizations and interested citizens.

Each step in the planning process is spelled out in terms of **what** is to be done, **who** can or should do it, **how long** it will take and what the end **product** will be like. Forms are provided for collecting and analyzing information, and questions are suggested to help interpret the results. Examples and illustrations are given throughout the manuals. Each chapter or book identifies its intended primary and secondary users.

Crime, Corrections and the Jail

The jail is only a part of the entire criminal justice system. Unfortunately, it is often regarded as the poor relation, even the receptacle, of the rest of the system with detainees "dumped on the door step" and left. The question which must be answered is: how and for whom does your county wish to use the scarce and expensive resource of the jail?

Corrections planning too often focuses entirely on a "concrete" end product—the jail facility. Sometimes, the assumption is so strong that a new or expanded jail will solve a county's problems with crime (or even with the jail itself) that this assumption is never questioned or tested. However, you must examine **who** is currently held in custody and for how long. Before adding jail beds, the necessity for detention must be compared to its cost. A jail is extremely expensive to build and operate, costing about \$40 per day to house one inmate. Yet, there is considerable evidence that jails are "capacity driven": the more jail space available, the more it will be used by law enforcement, prosecution and the judiciary.

While many communities do need to construct or renovate jail space, others may find different solutions to their problems. These "alternatives" can include changing policies and practices concerning who is detained (and for how long) before trial, or employing sentences such as restitution or community service. The problem for corrections planning is to satisfy the increasing public demand for security and protection, while minimizing the costs of incarceration—both to the community which pays for the jail and to the individuals who are held in it.



"4567811302 HAS BEEN PAROLED? HEY, THAT'S GREAT NEWS, WARDEN! IF YOU HAVE A NEW PRISONER WHO'S 5'6", NOT OVER 110 POUNDS, WITH FLAT EARS AND SMALL FEET, I THINK WE CAN FIT HIM INTO THE VACANCY"

By permission of Etta Hulme.

These handbooks will help you examine the purpose of jailing in your county and whether it is achieving its goals. By studying who is incarcerated, for how long, how they are released, and so forth, your county can consider options for dealing with alleged and sentenced offenders in the near and more distant future. At the same time, the character and potential of your county detention and corrections facilities can be studied in light of future needs. Hopefully, you will be able to avoid the costs of over or under building for your county's needs.

A Note About Terminology

Within these first few pages, we have already used a variety of terms, some of which have similar meanings. To clarify our use of terms, the following brief definitions may be helpful.

People who are locked up in jail may be called "detainees," "inmates" or "prisoners" once they are booked into the jail, "arrestees" before. They are defendants before conviction, "offenders" afterward.

In terms of their status, they are referred to as "pretrial" before the court has ruled on their guilt or innocence, "pre-sentenced" before sentence is passed, and "sentenced" thereafter.

The person responsible for operating the jail in most California counties is the sheriff. While we will use the term "sheriff" for this role, it could also be filled by a director of corrections, chief of police, or chief probation officer. In most cases, a subordinate is designated as "facility manager" and runs the jail on a day-to-day basis.

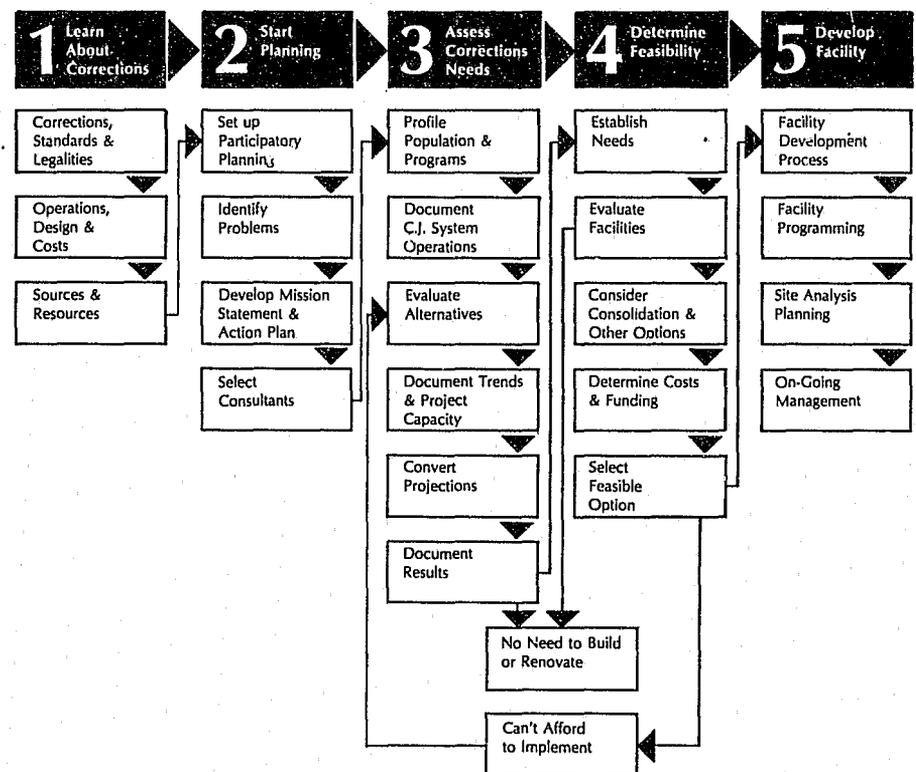
Finally, the "jail" itself. We use this term loosely to denote any secure place where people are detained. It is important to remember, however, that there can be a wide range of specialized detention (or "corrections") facilities, including:

- Intake (or short term holding) facilities.
- Pretrial detention centers.
- Sentenced facilities of various security levels such as honor farms or camps).
- Women's facilities.
- Special mental health or substance abuse units.
- Pre-release facilities.
- Multifunctional jails.

Overview of The Corrections Planning Process: Five Phases

Figure 1.0-1: Corrections Planning Process

We have organized the planning process into five major phases which correspond to the five handbooks in this set. For an overview of the process, refer to the chart of the "Corrections Planning Process."



Phase One: Learning About Correctional Planning Issues

The first step for most participants in the planning process is to acquaint themselves with the major issues involved in corrections. Handbook One presents an overview of many of these issues.

Phase One involves:

- Learning about how corrections and the justice system work.
- Understanding the demands made by correctional standards and other legal requirements.
- Becoming acquainted with recent trends in corrections operations and facility design.
- Becoming aware of the significant costs involved in building and operating correctional facilities and of the role of planning in controlling those costs.
- Finding out about sources of information and help.

Phase Two: The First Planning Steps

Phase Two includes the activities which are necessary to begin the planning process. These activities involve:

- Setting up a participatory planning structure. Reviewing the history of the project and identifying current problems.
- Setting goals and objectives for corrections.
- Preparing "action" plans for solving problems.
- Selecting a planning consultant, if one will be used in the next phase.

Phase Three: Gathering, Analyzing and Interpreting Data

Phase Three involves finding out what has happened in your correctional facility in the past—for example, who has been jailed, why and for how long—and projecting what is likely to occur and what your county wants to occur in the future. Data gathering and analysis are technical tasks which will be done by "experts" (county staff or consultants). On the other hand, many critical policy decisions concerning how the jail is to be used and which kinds of programs and alternatives may be acceptable or desirable for your county will have to be weighed by citizens and elected officials.

Phase Three tasks involve:

- Developing a profile of your county's jail population and programs.
- Documenting the operation of the "justice system" in your county (crime, law enforcement, prosecution, courts, probation, etc.).
- Identifying key issues in terms of how justice system operations affect the county jail.
- Considering a range of "alternative" programs (other than incarceration) which may be desirable or necessary in your county.
- Documenting the trends in population growth, crime and incarceration rates which will affect your county's future need for jail beds and other programs.
- Projecting needed jail beds and programs for the next five, ten and twenty years.

By the end of Phase Three, your county will have developed a clear picture of its future correctional needs.

Phase Four: Feasibility Study

In Phase Four, corrections needs are translated into facility requirements, ways of satisfying those requirements are considered, and a feasible approach is identified. Like Phase Three, these tasks are done in part by specialists and in part by citizens and elected officials. Phase Four tasks include:

- Establishing a preliminary estimate of facility needs.
- Evaluating the potential of existing facilities for continued and future use.
- Developing a range of options for facility development.
- Considering the possibility of sharing a consolidated or regional facility with other jurisdictions.
- Calculating the construction and operating costs of proposed facilities.
- Exploring potential funding sources for facility construction.
- Selecting the best—and most feasible—facility option.

Phase Five: Facility Development

In Phase Five, you will be involved in designing and constructing (or renovating) a correctional facility if the earlier phases showed it to be both needed and feasible. Some of the focus will shift to the facility operators; however, input, review and approval from citizens and elected officials will still be required. Phase Five activities include:

- Overview of the facility development process.
- Facility programming and design.
- Site selection.
- Selecting and working with an architect.
- On-going project review and coordination.

Options for Counties With Differing Needs

Option 1: Little Change or Expansion Anticipated

Each county has special needs depending on its size, its particular problems, and its available expertise and resources. Because of these variations, your county may use some sections of these handbooks and skip others.

Thus, there are a number of options in the planning process depending upon your county's starting point and where it is heading.

You may intend to make only minor changes on slight additions to your current facility and think, therefore, that a full needs assessment is unnecessary. However, you should review the reasons given earlier for doing a needs assessment. Some may well apply to your county. These handbooks are designed to help you develop much useful information and considerable local support for your jail.

Option 2: Recently Completed Needs Assessment Study

If your county has completed a corrections system needs assessment study within recent years and is considering whether to update it, you compare each of the phases and steps presented in the handbooks with the kind and quality of information you already have. You will need to evaluate whether the information is still valid. If more work is needed, follow the steps as indicated.

Option 3: Immediate Fire and Life Safety Problems

If your jail faces certain immediate problems such as fire and life safety deficiencies, overcrowding, or court order, turn to Chapter 4.2 for immediate help in evaluating your facility. Once the current problem is resolved, start the planning process at the beginning.

Option 4: Possibility of Shared Facility

For certain counties, particularly small ones, and for certain special groups of prisoners (mentally disturbed, sentenced, women, and others), consider a regional or shared facility. If such a possibility exists, your county should explore it at once since many tasks will need to be coordinated between jurisdictions. Read Chapter 4.4 before starting on other tasks even though you won't have all the information you need to make a final decision until much later. Be sure that other potential cooperating counties or cities also embark on the needs assessment process and that you establish a means of coordinating your efforts.

Participants in the Planning Process

Many people—each with his or her own particular interest, expertise and level of involvement—will be involved in the planning process at one stage or another. The overall organization and specific roles of various actors and groups are detailed in "Participatory Planning" (2.1). Some people will follow the sequence of steps from beginning to end. Some will have an overview with less direct involvement. Others will be called upon from time to time to perform particular tasks or advise on particular issues. The following brief descriptions are intended to help each participant start the process with a basic understanding of what is expected.

Board of Supervisors

The Board of Supervisors plays a crucial role in local corrections planning. The Board represents the interests of county citizens by seeing that local law enforcement and detention services are adequately funded. At the same time, the Board must assure that they are provided in a cost-effective way by the sheriff who is directly responsible for detention and corrections.

Specific duties of the Board in the needs assessment process include:

- Establishing an Advisory Committee and selecting its members.
- Issuing a directive to county staff to carry out the planning study (or to hire a consultant).
- Funding the project manager (and perhaps other staff positions) as well as other project expenses.
- Input to and review of policy issues as they develop.
- Review and approval of major reports produced in the process.
- Ratification of selection and contracts with any consultants used in the process.
- Authorization of capital and operating costs for detention facilities and programs.

Sheriff and Corrections Staff

With immediate responsibility for detention and corrections, the sheriff plays a critically important role in the planning process. The sheriff is in a sensitive position, particularly when others question the way things have been done in the past and suggest how to do them in the future. The difficulty can be aggravated by inviting comments from "outsiders" from the community and other agencies as well as by having to gather and digest extensive data. The process can only succeed with the sheriff's support and active involvement from beginning to end. Sheriffs who have not used these techniques before have been surprised to find that justification and support for their difficult work became stronger than ever before.

Corrections staff also has a great deal to contribute, both in time and ideas. Staff will carry out the results of the process much more enthusiastically if it has been involved in its development. A fulltime corrections staff person should be assigned to this project, perhaps as project manager, to provide liaison with the jail and the rest of the department. In addition, other corrections staffers in detailed operations and facility planning should be involved.

Project Manager

The project manager will be a pivot of the entire project—a person who will always know what is going on. The project manager will attend all group meetings, will convene the Planning Team and be staff to the Advisory Committee. He or she should also sit in on all task force meetings. Duties will include coordinating and scheduling activities, serving as contact and spokesperson, and documenting the results of each planning activity.

The Planning Team

Made up of individuals with corrections, justice and general planning experience, the Planning Team will carry out most tasks detailed in these handbooks. Specialized tasks such as data collection or site analysis may be delegated to a task force or be accomplished by the team as a whole. The team will report to the Advisory Committee and the Board of Supervisors.

The Advisory Committee

While some Advisory Committee members will already be familiar with correctional planning issues, others will be invited to participate because of their concerns or representation of important community interests. Widespread participation in planning is important because the jail belongs to the community it serves, not just to the sheriff or jailers. The kind of jail your county builds and the way it is used (that is, who is held there and for what reasons) is as much a reflection of community values as it is of state or federal law.

The planning process is rather long and involved, yet rewarding when it produces effective results. A great deal will be asked of Advisory Committee members in terms of time and thought, (especially for unpaid representatives of the public or community based organizations). It will, however, be a worthwhile investment in learning about corrections and contributing to the community.

Representatives of Criminal Justice Agencies

Justice agency representatives will be asked to serve on the Advisory Committee or Planning Team. Since each justice agency has a significant impact on corrections, this input and expertise will be of great value in the planning process. Police, courts, prosecutors, defense attorneys and probation departments all make a myriad of decisions that influence who goes to jail and for how long. Thus, representatives' ability to speak for their agencies is very important.

Consultants

Some counties will hire consultants to help with certain tasks. Chapter 2.5 provides guidance in selecting and working with consultants. A variety of consultants may be considered, but the major ones are corrections planners (for early steps) and architects/engineers/construction managers (for later steps). Consultants may have minor or major roles. In any case, the county and its corrections staff must control the planning process. Whether or not consultants are used, the process will be the same and will require considerable involvement from the county.

Special Task Forces

Task force members will have special duties at various points in the corrections planning process. More detailed information on the functions they may fulfill can be found in the chapters dealing with each subject.

Special task forces can be involved with such activities as consultant and architect selection, data gathering and analysis, facility evaluation, cost analysis, site selection, and fund raising.

Planning to Plan: Allocating Time and Resources

Two conflicting conditions of corrections planning must be reconciled:

- Good corrections planning takes time.
- You don't have that kind of time.

Time pressures on correctional planning can be severe. They may range from severe operating problems (such as life safety deficiencies or overcrowding), to court orders, deadlines for filing grant applications, or anticipated inflation in construction costs which can mean 12 to 18 percent erosion in what a dollar will buy from year to year.

Thus, it is easy to understand why, once the planning process has started, people will be very anxious to proceed. Unfortunately, numerous counties have had to start over after too hasty beginnings. Good planning and organization at this stage will save time later.

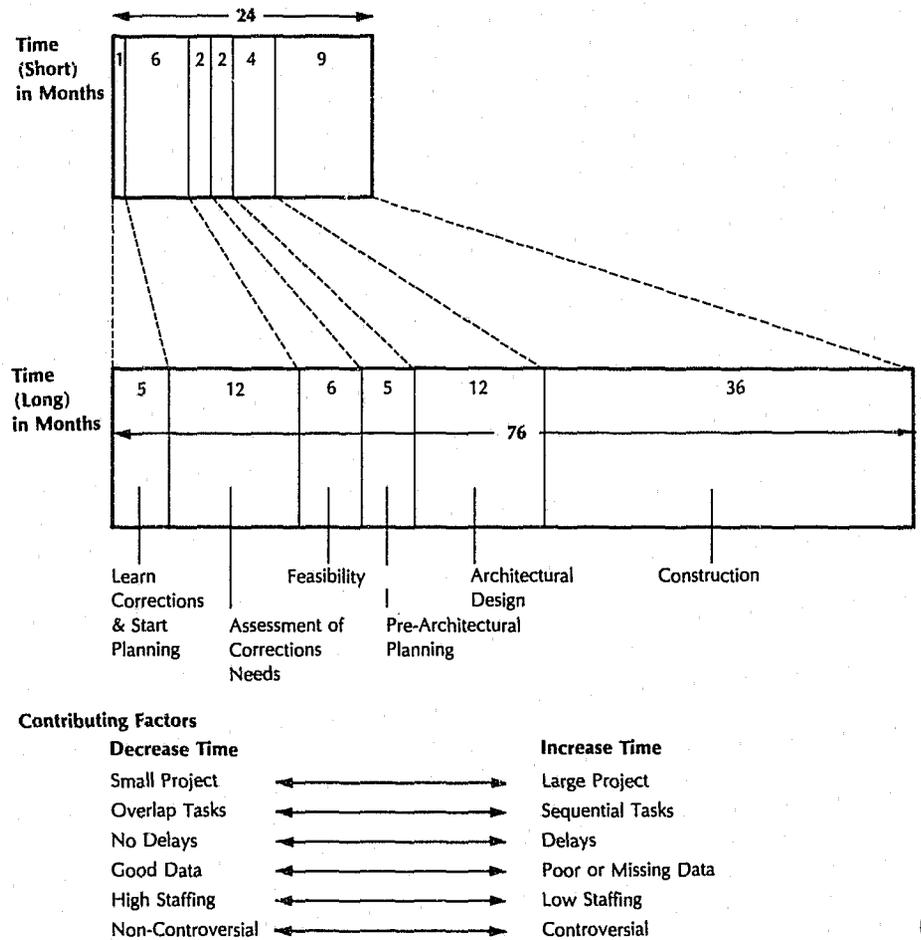
How much time does corrections planning take? From the start of planning to the ribbon cutting ceremony, a new facility can take from three to six years to complete. While much of this time is spent in architectural design and construction, the pre-planning phase is also quite time-consuming. It is important to note that certain phases and steps can be carried out concurrently. Here are some reasonable timeframes for each planning phase.

Figure 1.0-2: Planning Timetable

Phase I (Issues):	1 month (Concurrent with Phase II)
Phase II (First steps):	1-5 months
Phase III (Needs):	4-12 months (Start during Phase II)
Phase IV (Feasibility):	2-6 months (Start during Phase III)
Phase V (Architectural design): (Construction):	4-12 months 9 months-3 years

The time required by your county's project will depend on its scope and complexity, your ability to overlap tasks, the level of controversy anticipated within county government and in the community at large, and the number and length of delays you may encounter. Finally, the amount of time, attention and resources devoted to the project will have a major effect on how long it will take. The county should be prepared to appoint a full time project manager and sufficient staff to carry out the planning tasks.

Figure 1.0-3: Range of Time Requirements

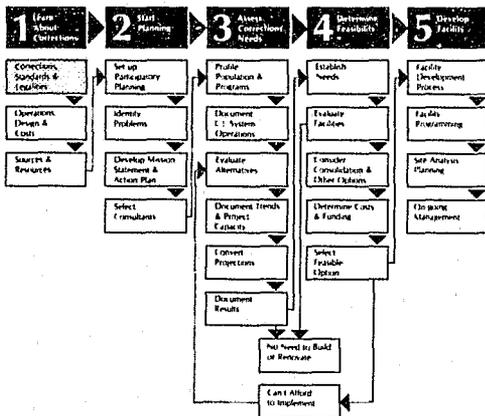


To control the progress of the project, the project manager should at the outset establish a schedule that is realistic in terms of providing sufficient review and decision-making time. It may need to be revised periodically as the actual completion time of tasks become known. Experience suggests that schedules are only revised in one direction: longer!

We hope that you will find the information presented in these handbooks to be of help in your community.

Thus, as your county begins this exciting and difficult planning project, we wish all of you: **GOOD LUCK!**

1.1 Corrections and the Justice System



Who Will Use This Chapter

Primary Users

Advisory Committee
Planning Committee

Secondary Users

Board of Supervisors
Justice and corrections agency representatives

Description of the Criminal Justice System

The criminal justice system is a mechanism charged with minimizing and dealing with criminal behavior. It encompasses all levels of government and is comprised of three major divisions: law enforcement, the courts, and corrections.

Governmental Responsibility

Criminal justice components are in all four sectors of governmental responsibility: cities and towns, counties, the state, and the federal government. We will focus on those which are the province of counties and, secondarily, cities and towns.

Law Enforcement. On the local level law enforcement is undertaken by city police and county sheriffs' departments which are primarily responsible for investigating offenses and apprehending suspects.

Corrections. Local corrections involves detaining pretrial defendants and carrying out sentences such as incarceration, probation, community treatment, or restitution. Corrections' personnel includes police and sheriffs' departments' detention staffs, probation and parole officers, and work furlough and community treatment staff.

Courts. In California, there are three kinds of local courts. Municipal and justice courts have jurisdiction over misdemeanors, including traffic offenses, while superior courts are major trial courts for felonies and some misdemeanors. The courts' responsibilities center around setting bail, hearing motions, holding trials, determining guilt or innocence, and sentencing convicted offenders.

Routes Through the Criminal Justice System

There are numerous possible routes for defendants and convicted offenders within the criminal justice system. The route taken and the speed of travel depend upon many variables. These include the type and severity of the offense, personal and historical characteristics of the offender, available pretrial options, and available sentencing options for those who are convicted. Numerous officials, including police officers, booking officers, district attorneys, judges, and probation officers, take part in determining individuals' routes.

Many offenses take the defendant along a route through more than one governmental sector. For example, a city patrol officer may apprehend a felony suspect who may be detained and tried in county facilities but sentenced to a state correctional facility.

To more fully explain the justice system, the next sections discuss its goals and the means—or processes—through which it tries to achieve them.

Justice System and Correctional Goals and Objectives

There are many goals and intentions of the justice system. Some are listed below.

- To **protect people** from being victimized.
- To **deter, reduce, and prevent criminal activity**; to discourage people from violating the law; to lower the incidence of crime.
- To **apprehend and (when necessary) detain suspects**.
- To **carry out justice**; to be fair to all parties (victims, alleged offenders, society).
- To **determine the innocence and guilt** of defendants.
- To **determine and carry out appropriate measures** to deal with convicted offenders, including incarceration, probation, fines, community service, or restitution.

Looking specifically at detention and corrections, some often-stated goals are as follows:

- To assure that accused offenders **appear in court**.
- To **punish** convicted offenders (“revenge”).
- To **rehabilitate**, reform, educate, reintegrate or “correct” convicted offenders.
- To **deter crime** through providing **undesirable consequences** such as incarceration that potential criminals may wish to avoid and by **immobilizing** potential criminals (“keeping them off the street”).
- To **exact restitution or repayment** to society and individuals who have been harmed.

(Correctional goals and objectives are developed in Chapter 2.3.)

The Criminal Justice Process

The criminal justice process varies according to type of offense and decisions made by the local agencies.

The “Criminal Justice Process” graphically describes the major routes with the fifteen steps. To simplify matters, the chart presents a generalized version of the process.

Major law enforcement and court activities are indicated in the middle column, and generally, are chronological. Opportunities for temporary or permanent release are indicated by arrows pointing to the right column. Activities requiring detention and corrections facilities are shown in the left column.

1. Offense Is Committed and Reported. An individual becomes involved with the criminal justice system in three ways. A law enforcement officer observes an offense being committed; a victim, witness or other interested party reports an occurrence, and a warrant for the suspect’s arrest is issued; or an investigation by law enforcement or the district attorney points to the alleged offender, and a warrant is issued.

2. Initial Contact. When law enforcement officers come into contact with a suspect, they may take one of several possible actions:

- If the offense is not considered serious or the officer believes prosecution is unlikely (and if a warrant has not been sworn out), the officer may **warn and release** the suspect.
- An officer may issue a **field citation or summons** to an alleged offender. This charges him or her with an offense without necessitating arrest and booking, but requires that he or she appear in court and/or pay a fine. Field citations are used for a variety of infractions and misdemeanors. (In California, see Penal Code (P.C.) 853.6.)
- An officer may bring a suspect to the police station or sheriff’s office, where a **station house citation** may be issued. Like a field citation, a station house citation is frequently used for alleged misdemeanants and results in releasing the defendant upon his or her signing a promise to appear in court.

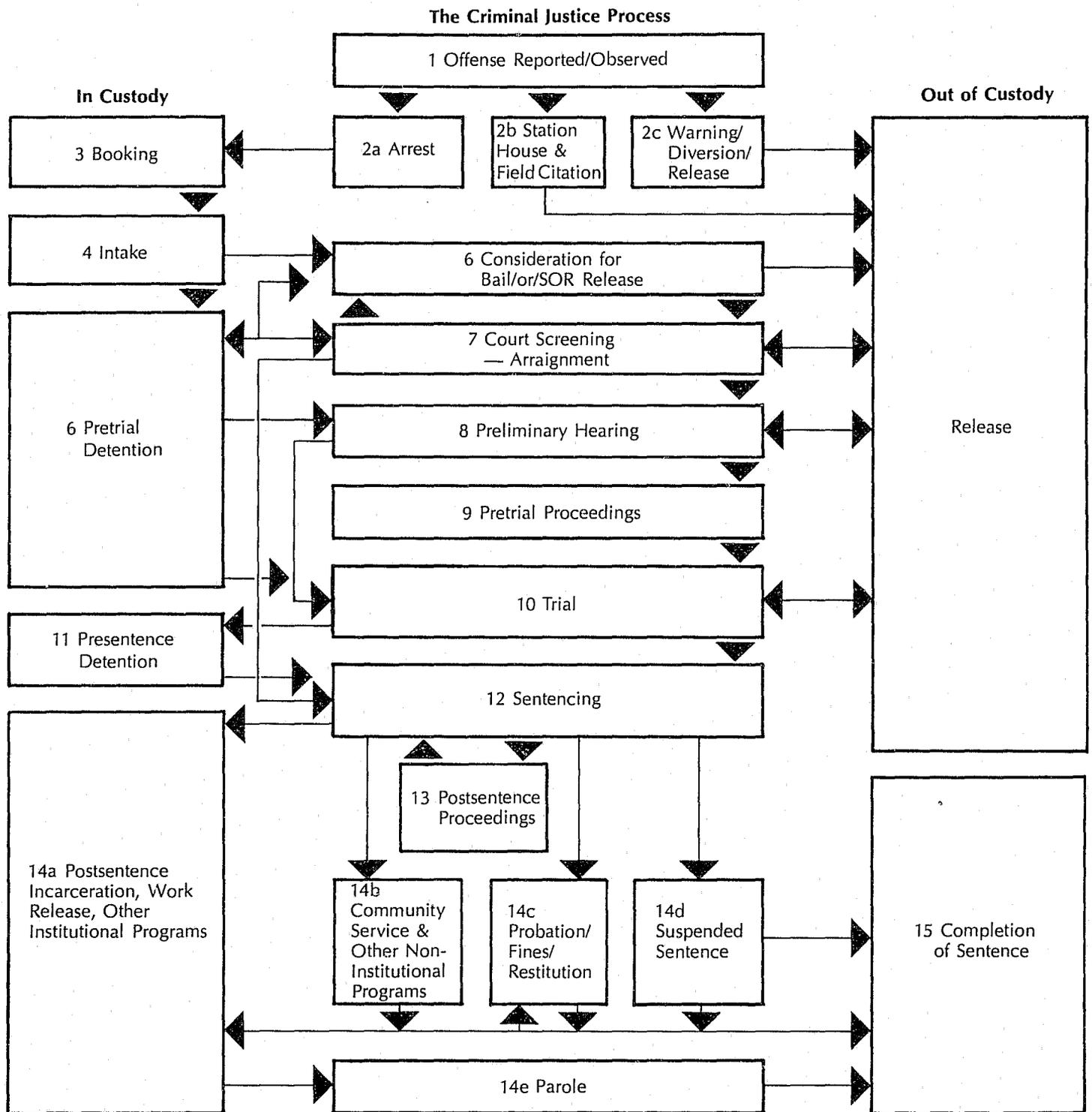


Figure 1.1-1: The Criminal Justice Process

- Officers may refer a suspect to a **diversion program** if one is available, or to outside services and resources such as substance abuse programs. A few California counties have detoxification centers for this purpose. (Late in the process, prosecutors and judges can also refer defendants to diversion programs.)
- Or, officers may **arrest** a suspect and take him or her into custody to insure appearance in court.

3. **Booking.** Upon arrest a suspect is escorted to the city or county jail (depending upon offense and jurisdiction) and booked. Booking consists of the police or sheriff's department recording the defendant's name and alleged offense; checking criminal

records; and fingerprinting, photographing, interviewing and holding him or her. After booking, the booking officer may issue a citation release or move the prisoner on to intake.

4. **Intake.** In the detention facility, the accused is classified, screened, evaluated, and may be medically examined and diagnosed. This process determines whether or not the suspect should be detained, and, if so, where he or she should be housed, and whether immediate medical attention is required. The detainee's clothes and possessions are usually taken, and institutional clothing is issued.

5. **Consideration for Bail or Release on Own Recognizance (OR).** An arrestee may be released from detention until his or her court appearance on bail or an own recognizance release program. Release on OR is based on the probability of the defendant appearing in court. As no relationship has been shown between success on OR and type of offense, California OR programs are "chargeblind" except for several capital offenses. The primary selection criteria usually include prior criminal history, stability and ties in the community, and employment at the time of arrest. Some OR programs, referred to as "supervised OR," are more structured and may require reporting to a court official, counseling, or engaging in other activities that help insure that defendants appear in court.

There are several variations of release on bail or bond. A person charged with a misdemeanor or felony may post the entire amount or, as is most often the case, pay a bonding company a nonrefundable percent of the bail while the bonding company guarantees the entire amount. An arrestee charged with a misdemeanor may participate in a 10 percent bail program that requires a deposit of 10% of the bail with the court. When the defendant appears in court, almost all of this money is returned. The amount of bail is intended to be commensurate with the seriousness of the offense and the defendant's likelihood to appear in court. Failure to appear in court may result in forfeiting bail.

6. **Pretrial Detention.** Following intake, offenders who are not likely to be released within a relatively short period of time are assigned and escorted to pretrial detention quarters.

7. **Court Screening and Arraignment.** The prosecuting attorney reviews the case to determine whether charges should be pressed. This process may involve reading police reports, interviewing arresting officers, and speaking with witnesses and victims. Armed with pertinent case information, the prosecutor decides to prosecute, defer the case, or drop charges.

If charges are deferred, the defendant is released but may be required to enter a diversion program consisting of some combination of counseling, psychological treatment, job training, or restitution. Generally, successful completion of the diversion program is necessary for charges to be dropped.

If the case will be pursued by the prosecutor, the accused is brought before a magistrate who scrutinizes the legality of the arrest and insures that the defendant understands his or her rights.

If bail or OR release has not already been achieved, these release options may be considered in court. A defendant who is not released by a station citation, OR, or bail is detained in a county detention facility. (The accused chooses a defense attorney or is assigned a public defender. Complaints are taken to the local municipal or justice courts where arraignment is conducted by a judge or magistrate.)

In a **misdemeanor** case, the arresting officer and prosecutor appear with the accused before a judge. The judge clarifies the rights of the accused and reads the formal charges. Next, the judge calls for a plea. If the accused pleads guilty, the judge may sentence him or her immediately. If the accused pleads not guilty, a trial date is assigned.

In a **felony** case, a municipal or justice court judge determines whether the accused is to be released or detained. Preliminary hearings are ordered, bail is set, and the case may be bound over to the superior court.

8. **Preliminary Hearing.** The purpose of the preliminary hearing is to determine whether there is sufficient evidence to proceed with adjudication of the charges. After examining the evidence to establish probable cause, the judge or, in some cases, the grand jury, has four options:

- The judge can hold a defendant for trial. If a misdemeanant pleads guilty, sentencing dates are set allowing time for presentence investigations. If the accused pleads not guilty, the case moves toward trial.

- If an accused felon pleads not guilty, he or she is bound over to superior court, for arraignment and trial.
- A judge can reduce charges and request a plea to the reduced charge.
- A judge can dismiss charges and release the defendant.

9. **Pretrial Proceedings.** Prior to the trial, possible legal proceedings are numerous:

- **Motions** initiate or challenge procedural steps. They can be entertained before or during a trial. There are many kinds of motions, including those to suppress involuntary confessions, to ask for a new trial, to adjourn or postpone a case, to sever a codefendant, to change venue (move trial to another county), to seek a competency hearing, and discovery motions (for disclosures of information by one party).
- **Pretrial hearings** serve to clarify issues and stipulate facts, by scrutinizing records such as medical reports. As a result of this information review, a case may move in one of three directions. One, the prosecutor may discover that there is not sufficient cause to prosecute and drop charges. Two, the defendant and defense attorney may realize that there is an overwhelming likelihood of being found guilty and decide to plead guilty or to plea bargain. Three, the pretrial hearings may not affect the direction of the case, and it may continue on course.
- **Negotiation/plea bargaining** may occur anytime after arrest. The defense and prosecution try to reach a compromise. The defense attempts to have the charges reduced in seriousness and number. The prosecution attempts to secure a conviction by agreeing to press a lesser charge if the accused will plead guilty to it. Generally, the result is that the accused does plead guilty to the lesser charge.

10. **Trial.** If charges have not been dropped and if the defendant has not pled guilty to the original or negotiated charges, the case is heard. The defendant can choose to be tried by a judge alone or with a jury.

Trials begin with both attorneys making opening statements concerning the issues of law that they intend to prove. Evidence is presented; witnesses are heard, and motions may be submitted. Finally, the judge or jury deliberates and decides whether or not the defendant is guilty as charged. Before the judge or jury reaches a verdict, a motion for acquittal may be filed.

11. **Pre-Sentence Reports.** Most convicted defendants remain free on bail or on own recognizance release until they are sentenced. It is assumed that good risks before trial continue to be good risks until sentenced.

For all cases awaiting sentencing in superior court, a presentence investigation report is prepared by the probation officer. In the lower courts the judge or the defendant may request a presentence report. The probation officer interviews the defendant, persons close to him or her, neighbors and employers, and other collateral sources. The defendant's criminal history is reviewed and a comprehensive report and sentencing recommendation is submitted to the court.

12. **Sentencing.** While either a judge or jury may find a defendant guilty, only the judge determines the sentence. For most felonies, definite terms are prescribed by law. There may be options to lighten or increase the sentence based on factors such as criminal history and whether the defendant was armed. Greater discretion is possible for misdemeanors and less serious felonies.

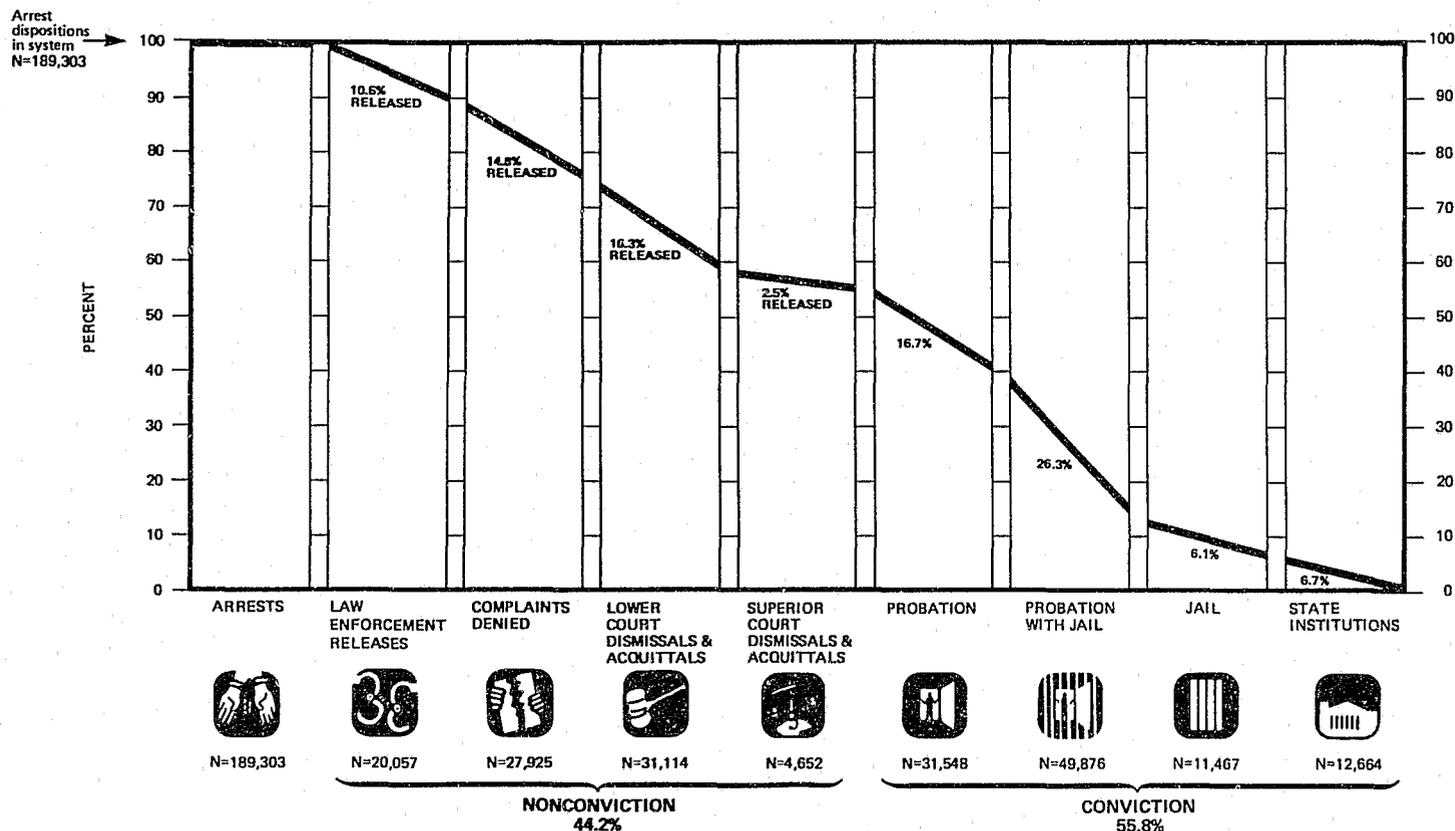
Probation—with or without jail time—is the most commonly given sentence in California. Recently, about one-quarter of convicted felons were sentenced to state prison. Judges also sentence offenders to serve time in jail or to alternative programs within or outside of institutions. Sentences—or their imposition—may also be suspended under certain circumstances. (See "Wider Variety of Consequences and Alternatives" later in this chapter as well as chapters 3.2 through 3.4).

13. **Postsentence Proceedings.** After the defendant is sentenced, several legal options remain. Motions may be filed for a new trial or reduction of the sentence. A judge can deny posttrial motions, leaving the defendant the option to appeal the conviction.

To appeal, the aggrieved party files a notice of appeal with the lowest applicable appellate court. Then, attorneys for both sides file and exchange briefs and orally present arguments to a panel of appellate court judges. Judges discuss the case, reach a decision, and issue an opinion.

Figure 1.1-2: Dispositions of Felony Arrests

DISPOSITIONS OF ADULT FELONY ARRESTS, 1980 "SYSTEM FALLOUT"



Notes: Probation includes straight probation, fine, and other (no sentence given and sentence suspended).
State institutions are comprised of prison, Youth Authority, California Rehabilitation Center, and state hospitals (mentally disordered sex offenders).
Prison includes 24 death penalty sentences.

State of California
Department of Justice
Division of Law Enforcement
Criminal Identification and Information Branch
Bureau of Criminal Statistics and Special Services
8/81

By permission of: California Bureau of Criminal Statistics and Special Services. From: *Adult Felony Arrest Dispositions*, August, 1981.

While a misdemeanor convicted in municipal courts or justice courts may appeal his or her case in the county superior court, the appellate process is used much more often in felonies. Five California court of appeal districts handle appeals of felony convictions. The final appeal options for convicted felons is the California Supreme Court and then the United States Supreme Court if a matter of federal law is presumed.

14. Serving Sentence. A person convicted of a misdemeanor or a minor felony may be sentenced to a county detention facility, usually for less than one year. A person sentenced for a major felony remains in a county facility until transferred to a state correctional facility. A felon appealing a conviction may remain in a county detention facility until the case is reheard. One who receives probation and violates its terms may have it revoked and serve the remainder of the sentence. Similarly, one who receives a suspended sentence and violates its conditions may have the original sentence activated.

15. After Completion of Sentence. Upon completion of sentence, the offender is processed out of detention, probation, or an alternative program and has no further obligation to the criminal justice system. He or she returns to the community.

It is widely recognized that many ex-offenders have a difficult time "making it" and, consequently, revert to criminal ways. An ex-offender is most likely to commit a new crime during the 12 months following the completion of a sentence. An ex-offender may return to find home, family, friends, and job gone. He or she may need job training, employment, housing, and help solving personal and family problems. Assistance in these areas may be provided by county mental health, housing, and education departments, but too often the ex-offender is not aware of these services. In some instances, help is available through the sheriff's department, probation, or county corrections

Problems and Trends in Criminal Justice and Corrections

Crime Patterns

department. Additionally, private nonprofit ex-offender programs such as Project JOVE and Friends Outside provide assistance during this often difficult transitional period.

One issue facing society is whether there is a benefit or a duty to provide more extensive re-entry assistance. There is a point of view that such re-entry assistance could make significant inroads in the cycle of arrest, incarceration, and rearrest.

Crime appears to be changing in both incidence and type. In 1980, the arrest rate rose 11 percent, while the reported crime rate increased 10.1 percent in California (California Department of Justice, 1980, 1981). Crimes against people, which the public seems most concerned about, rose 12 percent ("Crime Rise Biggest Since '74 Recession"). Nationally, more than 24 million households—about one out of every three—were touched by crime, mostly theft. Looking at the longer term, this percentage of "victimized" households has fluctuated little since 1975 when similar statistics were first collected (U.S. Department of Justice, 1981a).

Some criminologists argue that the crime rate is not increasing. They claim that crime rates appear higher because of an increase in crime reporting due to better and more law enforcement and improved, mandatory record keeping systems. Some argue that if the crime rate is rising, it may be temporary, cyclical and due to the economy or the "baby boom." (Doleschal).

While we cannot predict whether the crime rate will stabilize or escalate, we can be fairly certain that the incidence of crimes against people and property is likely to continue to be high.

Who Is Incarcerated

In planning a jail facility, many issues arise about which persons and how many of them are incarcerated. These issues are often matters of fundamental social justice and public policy so far-reaching that they cannot be significantly influenced by decision makers in one county. For example, criminologists have stressed that "white collar" criminals are less likely than other offenders to be apprehended and incarcerated. Differential access to legal and other assistance results in jail populations disproportionately constituted of poor and minorities.

It is beyond a jail's responsibility and capability to resolve whether such outcomes are just, let alone to correct them when they are deemed unjust. Yet, consideration of these issues may influence the programs and services planned for a jail and may effect other policies through which county officials determine who goes to jail.

Of all western industrial nations, the United States incarcerates the highest percentage of its population (Herbers). In 1977, for example, the U.S. imprisonment rate was 244 per 100,000 people, while most other western countries had rates less than 100. The incarceration rate in Scandinavia was as low as 18 per 100,000 (Doleschal).

Although the average stay in prison is considerably longer than in jails, far more people spend some time in city and county jails. In the midseventies, jails held between three and four million people annually, as much as 35 times the number entering all state and federal prisons (Goldfarb).

Recently, 158,394 inmates, or 76 per 100,000 people, were in this country's 3,493 jails. In California, the jail incarceration rate was considerably higher: 26,206 inmates, or 120 of every 100,000 were in the state's 135 jails on an "average" day (U.S. Department of Justice, 1981b).

Some criminologists believe that U.S. incarceration rates are unnecessarily high. They point out that more than two-thirds of prisoners in jails are detained for nondangerous and nonassaultive crimes and agree that such offenders could be incarcerated at a far lower rate (National Council on Crime and Delinquency).

As the population of prisons and jails has swollen, the "typical" offender has also changed. Current offenders are more aware of and vocal about their rights than in the past. In addition, there appears to be more violence in jails and prisons. Opinions differ about the causes and scope of this violence. Some believe the offender entering jails

The degree to which citizens worry about crime varies from locale to locale. A U.S. Department of Housing and Urban Development survey found that 72 percent of urban dwellers believe crime is a "severe problem," a higher percentage than for any other problem examined. However, only about 20 percent of suburban residents and about 15 percent of inhabitants of towns and rural communities considered crime to be a severe problem (U.S. Department of Justice, 1981b).

Whatever people's perceptions of crime, there is disagreement about how society should respond. While many citizens and criminologists advocate harsher penalties including longer sentences, others are pushing for lighter punishments. Citing research that indicates that there is no relationship between length of imprisonment and recidivism, some criminologists advocate short sentences. They believe resources should be allocated to attacking the root causes of crime: poverty, racial discrimination, lack of education, broken homes, and unemployment (Gillam).

Wider Variety of Consequences and Alternatives

In the search for more effective and economical solutions to crime, alternatives to many traditional criminal justice system practices have been tried recently to expedite justice, reduce costs, and lower recidivism. Some alternative programs are briefly described below. These and others are discussed in Chapters 3.2, 3.3, and 3.4.

At **initial contact**, besides the traditional methods of arrest or issuance of field and station house citations, specially trained law enforcement officers may **mediate**. For example, when neighbors report a domestic disturbance, officers can talk with the parties and work out conditions acceptable to both. This method keeps persons who commit minor crimes out of the correctional system, at least temporarily.

In addition to release on **bail**, programs such as **own recognizance (OR)**, **supervised OR**, **10 percent bail**, and other **liberalized bail** programs may be considered.

Various types of **pretrial diversion** programs are often available, including **mediation centers** and other nonprosecution alternatives to arrest.

Other approaches to diverting offenders from the judicial process include **temporarily suspending prosecution** for defendants charged with certain types of offenses who agree to participate in a program such as counseling or vocational assistance. Dismissal of charges is contingent on the successful completion of the program. One objection sometimes made to this is that, in a sense, people are sentenced without having been tried.

Using a similar method of handling cases outside of the courts, Yolo County experimented with "**unofficial probation**." Juvenile delinquents who admitted guilt were placed on probation without adjudication (Greenberg, p. 114). Like temporarily suspended prosecution, unofficial probation has been criticized for possibly violating people's rights.

The greatest number of both traditional and innovative alternatives within the corrections process come at **sentencing**. Offenders can receive **suspended sentences**; these specify imprisonment for a specific length of time only if terms are violated, for example, by committing another crime.

Although **probation** per se is not new, there are now a number of variations, including more intensive versions and those which incorporate educational programs.

As part of probation, offenders may be sentenced to pay **fines** to the county and/or **restitution** to the victim. Some jurisdictions have established restitution centers which are similar to work release centers except that a portion of the money that the offender earns goes to the victim. Restitution to victims has been proven to be far less costly and more effective than imprisonment for most nonviolent offenders (National Council on Crime and Delinquency).

Offenders charged with non-serious and non-assaultive offenses can also be sentenced to **community service** programs.

Another sentencing alternative outside of correctional institutions is the **community-based program**. These range from all day—every day to an hour or so a week. Some are designed for a particular problem (such as alcoholism), while others are geared to a particular offender type (such as first offenders) or offense (such as driving violations). In Alameda County, a successful work-oriented community service program operates through non-profit health and welfare agencies (National Council on Crime and Delinquency).

Even with determinate sentences, judges have some discretion over the **length of sentences to institutions** for many offense types. Since longer sentences tend to mean more crowded jails and prisons and more public expense, it is important for counties to be clear about their purposes for incarceration. Studies that relate length of incarceration with post-release outcomes should be reviewed (Kassebaum; Kolodney).

Judges also have discretion over types of sentences to institutions; they can sentence certain individuals to serve **weekend sentences**, or "**days only**." Judges can also recommend (but not sentence) offenders to work release programs.

For offenders who apparently need to be confined or closely supervised but for whom jail seems inappropriate, judges may use **alternative institutions**. Offenders who suffer from a common malady such as drug addiction could be sentenced to a facility like the Los Angeles halfway houses for male narcotics addicts (Berecochea and Sing). Other institutions can serve pre-releasees, work releasees, those in restitution centers, first-time misdemeanants, and so forth. To date, such programs have been most often used for juveniles and young adult offenders. The California Youth Authority has experimented with several approaches including minimum security forestry camps and inner city community treatment centers.

Correctional programs within local correctional facilities vary widely; still, most convicted offenders have minimal exposure to them. Such programs are less common in local correctional facilities than in state and federal correctional facilities, largely because of the philosophy that less can be learned during shorter sentences and that constant turnover of inmates makes it difficult to offer medium or long term programs. Institutional programs may include academic or vocational education, which may involve work for the jail, such as cooking. Counseling programs may include individual, group, pre-release, self-help, religious, problem-oriented (such as alcoholism, drug abuse, criminal behavior) counseling and may be led by staff, inmates, staff from other agencies (e.g., mental health) or volunteers (e.g., Alcoholics Anonymous).

County Parole, similar to probation, can also be structured to serve particular needs and objectives of your county.

Although **re-entry programs** are recognized by criminologists as among the most important in the criminal justice system, they are often inadequate or non-existent. Releasees from prisons and jails are often in dire need of assistance to "get back on their feet." Many need help with housing, employment, education, and a wide array of personal and family problems. However, ex-offenders in many areas experience difficulty obtaining help during this crucial period. As lack of assistance during re-entry is one factor that affects recidivism, it may be cost-effective for jurisdictions to develop or expand re-entry programs.

Alternatives to incarceration have been—and will continue to be—controversial. On the one hand, alternatives can help to control incarceration levels and reduce pressures for costly jail construction and operation. In addition, alternatives create a wider variety of sanctions and greater flexibility of response to criminal convictions. On the other hand, alternatives often "widen the net" without actually reducing jail populations; they can create new forms of control over persons who previously had limited contact with the criminal justice system.

Thus, in jail planning, careful attention should be given to the intended consequences of alternatives and to avoiding the pitfalls of unintended—and costly—consequences. Once implemented, on-going monitoring of alternatives is crucial to ensuring that their impact is as intended.

Pressure for Constitutional and Humane Treatment of Inmates

Studies of local correctional facilities indicate that conditions and treatment affect inmates. For example, overcrowding has been shown to seriously increase stress and affect health and behavior (McCain). Conditions in institutions have been related to inmate disturbances, violent incidents, and desocialization.

Armed with these studies, organizations such as the Committee Against More Prisons (CAMP) and the American Friends Service Committee (AFSC) have long criticized correctional systems and facilities. They have been instrumental in rousing public awareness of institutional problems such as overcrowding.

Other segments of our society, including the courts, are seeking better treatment of offenders from arrest to discharge. Often class action suits instigated by inmates at one facility affect inmates at all facilities within the state or other states. At one time or

another many jails and more than half of all the states' penal systems have been ruled unconstitutional by the courts due to overcrowding, double celling, and "inhumane" conditions. The legal issues and directions required by standards are treated in more depth in Chapter 1.2.

Los Angeles Times

OVERCROWDING AT COUNTY JAIL

Continued from Third Page

mates measure the conditions of their incarceration. Here are excerpts from the inmate complaints and responses from von Minden, Stoyanoff and Bennett: "Within Module 2000..."

said, "I couldn't tell you. But I know some of them do contain bunks. They overcrowding has even reached..."



Conditions at LAPD Jail Are 'Inhumane,' Grand Jury Charges

The Times Poll

Discontent Over Crime Focused on Judiciary

By WILLIAM ENGLISH

Man Dies in Jail Plunge After Admitting Robbery

By ERIC MALNIC and LEE HARRIS, Times Staff Writers

June 18, 1980

A man who surrendered after admitting to a priest that he had robbed a bank died Monday morning at the County-USC Medical Center after leaping over a jail handrail in an apparent suicide.

John Taggart said he was taken into Our Lady of the Angels Hospital on Monday.

to the jail Wednesday, June 18, 1980, following a landing on a stairway. Police said the man did not see the investigator who talked to him. The man's graphic technical details were not available.

The Growing Number of Prisoner Lawsuits

By John Herbers

Jail Population Rise Results in Crowding

County Inmates' Complaints Show Violations of 1978

Re-evaluation of Punishment and Rehabilitation

Inevitably, those involved in jail planning efforts become involved in discussions of the merits of "punishment vs. rehabilitation." This is a perennial, and perhaps unresolvable issue. During the past couple of decades, rehabilitation or "correction" of offenders was a much stressed objective, for both correctional institutions and alternatives to incarceration.

Recently, the pendulum appears to have swung back toward punishment. The California Legislature, for example, changed the Penal Code in the late 1970's to state directly that the purpose of imprisonment is punishment.

What constitutes "punishment?" To remain consistent with professional, humanitarian and legal requirements, loss of liberty—in and of itself—is punishment. Further deprivation or degradation could be expected to embitter prisoners, almost all of whom will return to society.

And what about "rehabilitation?" Although currently out of "vogue," some argue that rehabilitation has never been tried with the kind of resources needed to really test it. Others point to programs which "work" for some offenders (Michelmore).

Your county should look at its own special needs and circumstances, planning for programs and facilities which will allow the best response now and in the future—when the pendulum may swing back.

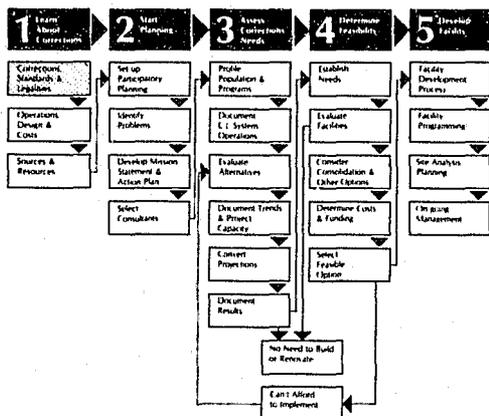
Spiraling Costs of Corrections

In recent years the costs of building, maintaining and operating correctional programs and facilities have skyrocketed. Furthermore, the rising cost of borrowing money has made the effective cost of building much higher. Unionization among corrections staff and court orders requiring more staff have driven up the number of employees, their salaries and benefits. (see Chapter 1.4).

References

- Bazelton, David L. "No, Not Tougher Sentencing." *The New York Times*, February 15, 1977.
- Berecochea, J. E., and Sing, G. E. "The Effectiveness of a Halfway House for Civilly Committed Narcotics Addicts" (Report no. 42). Sacramento: California Department of Corrections, 1971.
- California Department of Justice, Division of Law Enforcement. **Adult Felony Arrest Disposition in California**, Sacramento: California Department of Justice, 1980.
- California Department of Justice, Division of Law Enforcement. **Criminal Justice Profile—1979**, Sacramento: California Department of Justice, 1980.
- "Crime Rise Biggest Since '74 Recession." *Los Angeles Times*, May 1, 1980.
- Doleschal, Eugene. "Crime: Some Popular Beliefs." *Crime & Delinquency*, 20, No.1 (January, 1979), 1-8. Although most people believe crime has risen considerably, reliable data show that crime rates have remained relatively stable. Also, unknown to many, the United States is the most punitive of all free countries.
- Gillam, Jerry. "Prison Term Limit of 5 Years Suggested." *Los Angeles Times*, April 12, 1977.
- Goldfarb, Ronald. **Jails: The Ultimate Ghetto of the Criminal Justice System**, Garden City, New Jersey: Anchor Books, 1976.
- Greenberg, David F., editor. **Corrections and Punishment**. Beverly Hills, California: Sage Publications, 1977.
- Herbers, John. "The Growing Number of Prisoner Lawsuits." *San Francisco Chronicle*, June 18, 1980.
- Kassebaum, G., Ward, D.A., and Wilner, D.M. **Prison Treatment and Parole Survival**, New York: John Wiley, 1971.
- Kolodney, S., Patterson, P., Daetz, D. and Marx, R.L. **A Study of the Characteristics and Recidivism Experience of California Prisoners**. San Jose, California: Public Systems, Inc., 1970.
- "Major Crimes in California Rise by 10.1%." *Los Angeles Times*, May 1, 1981.
- National Council on Crime and Delinquency. "Prisons: The Price We Pay." Washington, D.C.: Government Printing Office, May, 1978.
- "Prisoners Can Be Rehabilitated—NOW." *Psychology Today*, October, 1976, pp.129-134.
- United States Department of Justice, Bureau of Justice Statistics. **The Prevalence of Crime**, Washington, D.C.: U.S. Government Printing Office, 1981a.
- United States Department of Justice, Bureau of Justice Statistics. **Sourcebook of Criminal Justice Statistics—1980**, Hindelang, M. J., et al., editors. Washington, D.C.: U.S. Government Printing Office, 1981b.
- Venezia, P.S., and McConnell, W.A. **The Effect of Vocational Upgrading Upon Probationer Recidivism: A One-year Evaluation of the Singer/Graflex Monroe County Pilot Probation Project**. Davis, Ca.: National Council on Crime and Delinquency, 1972.
- "Violent Crime Up 13% in Nation, FBI Reports." *Los Angeles Times*, October 10, 1979.
- West, Richard. "Murder Rate Rises 13.5% Due to Late March Surge," *Los Angeles Times*, April 25, 1981.
- "When Will It Happen Again"? *Newsweek*, February 18, 1980, pp. 68-76. This article accuses prisons of failing, resulting in violence and riots. It suggests more humane facilities, better trained and paid staffs, and reducing prison populations through more alternative programs.

1.2 Correctional Standards and Legal Requirements



Who Will Use This Chapter

Primary Users

Advisory Committee
Board of Supervisors
Sheriff

Secondary Users

Corrections professionals
Facility Evaluation Task Force

Introduction

The sheriff or director of corrections of your county is responsible for caring for and protecting the rights of every prisoner in your jail. This means providing for such basic needs as safety, shelter, food and medical care as well as the more difficult to define guarantees of the U. S. and California constitutions to rights such as privacy. A number of specific laws, regulations and standards also apply to the operation of a jail. As with all matters of law, the county should confer with its legal counsel. This chapter, however, provides an overview of the issues involved.

“Standards” include a range of guidelines for how correctional facilities should be designed and operated. These have been developed by state and federal agencies as well as professional groups to improve correctional practices. While not legally binding, they often form the basis for court judgments or governmental funding decisions. “Legal (or constitutional) requirements” refer to legally binding state statutes and case law definitions of constitutionally mandated rights of inmates to particular conditions or treatment.

There is a reciprocal relationship between standards and legal requirements. The development of standards has been stimulated by court action, and, as standards have evolved, the courts have referred to them in making their judgments. Standards and legal requirements change as society changes, or, as one court case put it, according to “the evolving standards of decency that mark the progress of a maturing society” (**Trop v. Dulles**, 1957).

It is the legal responsibility of your county sheriff and Board of Supervisors —both as county officials and also as private individuals—to comply with a wide range of requirements. Compliance with standards is the best protection against suits. Failure to comply with reasonable standards, (in California, the “Minimum Standards . . .”) could expose the county and its officials to unacceptable liability. In the event of a suit in federal court, elected officials do not enjoy the same immunities that they have in state court and they may be liable for personal damages.

Thus, one of the issues to consider when determining your county's need for new or renovated jail facilities is whether your existing facility does—or can—meet standards. The question of compliance of your existing jail is dealt with specifically in "Evaluating Existing Facilities" (Chapter 4.2).

For a new, renovated, or expanded facility, you must understand which standards you are required to meet and which you may want to meet for other reasons, such as the desire for a professional corrections system, ethical considerations, or avoidance of potential legal liability. All of these topics are dealt with in this chapter.

Standards, Problems and Goals

Two of the early activities of the Advisory Committee are identifying problems and setting goals for the corrections system (Chapters 2.2 and 2.3). Before engaging in these activities, it is helpful to understand the issues surrounding compliance with standards and other legal requirements. This knowledge may inform the discussion of problems and goals.

Keep in mind that standards—although some people feel they are high—are intended to set **minimum** levels of compliance. Thus, while meeting standards clearly requires the expenditure of effort and resources, they are not unattainable or utopian. Rather, standards help identify and solve corrections problems and form a foundation for establishing goals.

State and National Standards

Obviously, the design and operation of correctional facilities require considerable special expertise. To provide guidance to corrections specialists, several agencies and organizations have undertaken the development of standards for the planning, design, operation and administration of jails and prisons.

The United Nations issues a set of international standards for jails and prisons. These standards, like their state and national counterparts, are advisory in nature. They are guidelines, rather than law. National standards are promulgated by the following bodies:

- Commission on Accreditation of the American Correctional Association (ACA)
- American Medical Association (AMA)
- American Public Health Association (APHA)
- American Bar Association (ABA)
- U.S. Department of Justice (DOJ).

The ACA standards, which incorporate many of the AMA standards, are the most widely recognized of the national standards. They form the benchmark for accreditation by the ACA's Accreditation Commission as well as for the National Sheriffs' Association Jail Audit System. DOJ standards apply to potential federal funding of jails and serve as guidelines for Justice Department litigation.

In addition, many states have developed their own standards for local detention facilities. California was one of the first states to recognize the need for parameters for jails and has had state standards for many years.

California's Standards

In California, the development of standards came about as the result of legislation in 1944 that established the Board of Corrections. Penal Code Section 6030 charged the Board with the development of standards.

Interestingly enough, the early concern with standards was stimulated through a request of the California State Sheriffs' Association. In the very early post-war years, sheriffs were in competition for local tax dollars to upgrade their jails with other county departments which had more attractive needs such as new libraries, schools, and so forth. Needless to say, the jail had a very low priority with funding bodies. It was for this reason that the sheriffs asked the Board of Corrections to investigate the county jails and make recommendations for their improvement. It was thought that with the Board of Corrections' unbiased evaluation the sheriffs could obtain funds to upgrade their facilities. The idea has generally been effective, especially comparing conditions the Board found in their first jail survey with conditions today.

In 1946, the Board of Corrections promulgated the first jail standards in the state (and probably in the nation). These early standards dealt with food, clothing, bedding, and sanitation. The standards represented recommendations of the Board and were con-

tained in a booklet titled "Minimum Jail Standards." Although counties are not legally required to comply with these standards, compliance was given major impetus when a regular inspection process, with reports to the counties and to the Legislature, was implemented in 1973.

The most recent edition of California's **Minimum Standards for Local Detention Facilities** is the result of jail administrators, line personnel, medical experts, sanitarians, nutritionists, architects, program staff, and interested citizens working together to develop state of the art standards for California. They reflect national standards but are particularly tailored to meet detention and community needs in the state. The standards are accompanied by a set of explanatory documents, **Guidelines for the Establishment and Operation of Local Detention Facilities**, which present implementation methods and options. These documents are available from the Board of Corrections.

Standards are continuously evolving and developing. Since California's standards are periodically revised, your county must consult with the latest version of applicable California statutes. The most recent version at the time of this writing includes some significant changes from its predecessor, such as the requirement for single occupancy cells for all pretrial prisoners.

Although the standards are recommended rather than mandatory, the courts perceive them as the "rules of the game" for California jails. Judges generally rely on the standards when making decisions; therefore, administrators are encouraged to comply with standards **before** litigation arises in order to demonstrate good faith. Compliance should help save the time and expense of court proceedings which often result in being ordered to comply.

Counties applying for state funding for jail construction or renovation must comply with the entire range of minimum standards, not just those relating to building and design. Thus, other county personnel as well as jail planners should be familiar with the standards and their import. The program and procedures standards affect jail design as do health, sanitation, actual physical plant and other standards.



A (Very Brief) Guide to the California Standards—1980 Edition

Although a "grandfather" clause allows existing facilities to meet physical plant standards in effect at the time of construction (and does not require them to comply with later, more stringent standards), all facilities are expected to comply with programmatic and operational standards. You must comply with current standards when constructing a new facility or performing a major renovation of an existing facility.

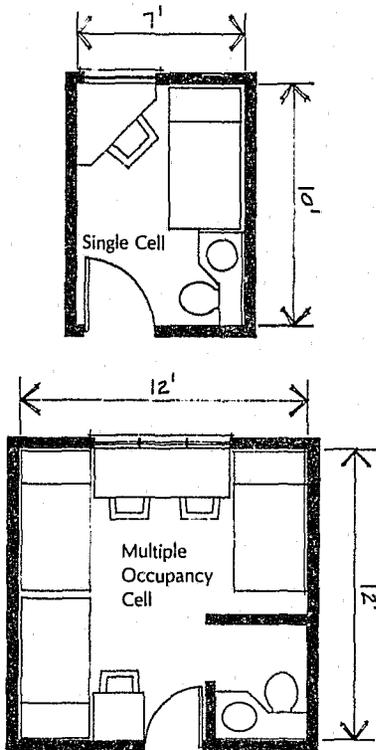
The standards cover many aspects of jail operation from training, personnel and management (Article 3) through classification and segregation (Article 5), medical services (Article 10), inmate clothing and personal hygiene (Article 12) and facility sanitation and safety (Article 14). In this discussion, Articles 8 and 9 ("Initial Planning for a Local Detention Facility" and "Design and Equipment for a Local Detention Facility") are highlighted.

Article 8 covers initial planning. Of particular interest are the sections detailing requirements for a needs assessment study and a program statement. The program statement ties together form and function and defines the goals and operations for the new facility (see Chapter 2.3). Also covered are the required submissions, reviews and approvals throughout the planning and design sequence. The final section of Article 8 covers design requirements, which include the following:

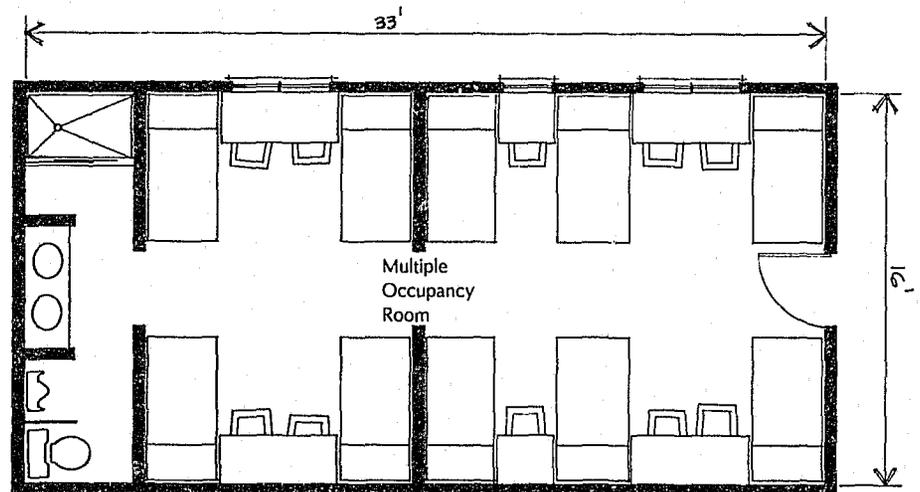
- Natural light, especially in living areas.
- Inmate privacy in toilet and shower areas.
- Fire safety regulations.
- Health and sanitation regulations.
- Single occupancy cells for certain inmates.
- Staff and inmate safety (the ability to summon immediate help).
- Heating and cooling requirements for comfort and energy conservation.

Article 9 deals in greater depth with design and equipment requirements. Here is a brief overview of its major sections:

- **Reception and booking area** shall contain gun lockers (outside, for law enforcement personnel); holding, detoxification and safety cells; a shower; and storage for inmate valuables.



- **Temporary holding cell or room** shall contain at least ten square feet per person, be limited to no more than 16 persons but no smaller than 40 square feet, and have seating, a water closet, wash basin and drinking fountain (or easy access to them).
- **Detoxification cell** shall contain 20 square feet per person, be limited to no more than eight persons but no smaller than 60 square feet and have a water closet, wash basin and drinking fountain.
- **Safety cell** shall contain at least 48 square feet (with specified minimum dimensions), be for one person only, have a special toilet and special light fixture, be padded and provided with a view panel and food pass through.
- **Living areas** must be separated from the area for reception and booking and contain the following types of cells, rooms and dayrooms.
- **Single occupancy cells**, with a maximum capacity of one person, 60 or 70 square feet (depending on the type of facility), should have a minimum ceiling height, a bunk, desk, seat, water closet, wash basin and drinking fountain. Seventy-five percent of cells in Type I facilities (i.e., short term holding facilities) and all cells for pretrial inmates in Type II facilities (i.e., general purpose detention facilities) must be single occupancy.
- **Multiple occupancy cells**, which house no more than eight persons, should encompass at least 35 square feet per person (with at least 100 square feet total), have bunks and personal storage space for each person, and contain a water closet and separate wash basin and drinking fountain.
- **Multiple occupancy rooms**, which can only be used for low security prisoners, may not contain more than 16 persons, have 50 square feet per person, provide secure storage for clothes and personal items of each occupant, and have access to water closets and separate wash basins and drinking fountains.



- **Dayrooms**, which must be provided for almost all inmates, must include 35 square feet with seating and table space for each person and have access to water closets, wash basins, drinking fountains and showers.
- **Furnishings and equipment** numbers, types and access to hygiene facilities, lighting (at least 30 footcandles at reading level, reduced to five footcandles at night), windows, padding, bunks, and others are covered by this section.
- **Space and equipment for support functions**, including the following, must be provided:
 - Exercise: an outdoor exercise area sufficient to give inmates regular access (calculated by formula).
 - Programs: requirements for program space will depend on the facility's program statement; can be a multipurpose room.
 - Medical services: a medical exam room and infirmary.
 - Grooming services: space and equipment for hair cutting and/or female hair dressing.

Canteen: provision for inmates to purchase a variety of items.
 Dining: group dining areas with at least 15 square feet per person, separate from hygiene facilities (space can also be used for dayroom functions).
 Visiting: facilities that allow each inmate at least one hour of visits per week, with private areas for confidential (e.g., attorney) visits and contact visits for minimum security inmates.

Figure 1.2-1: Table II B

Title 15 Board of Corrections		Table II B										(Register 79, No. 45—11-10-79)
Design Regulation by Space Allocation	Capacity Range	Square Feet Per Occupant	Minimum Square Feet	Toilet	Wash Basin	Drinking Fountain	Desk/ Table	Seating/ Benches	Minimum Ceiling Height	Beds/ Bunks	Padding	
Single Cell or Isolation Cell	1	60 in Type I	60 in Type I	1	1	1	1	1	8 Ft.	1		
		70 in Type II & III	70 in Type II									
Multiple Occupancy Cell	8 or Less	35	100	1	1	1		1	8 Ft.	At Capacity		
Multiple Occupancy Room	16 or Less	50	100	1:8 Occupants	1:8 Occupants	1			8 Ft.	At Capacity		
Dayroom		35	35	* 1:8	* 1:8	* 1	At Capacity	At Capacity	8 Ft.			
Holding Cell	1-16	10	40	* 1:8 Occupants	* 1:8 Occupants	* 1		1 seat per occupant at capacity	8 Ft.			
Safety Cell	1	48	48	Flush Ring Toilet					8 Ft.		Yes	
Detoxification Cell	8 or Less	20	60	1 w/ handrail or partition	1	1			8 Ft.		Yes (Floor Only)	

* Provide Access to

Comparing California Standards to National Standards

In general, California's current standards are in line with most national standards in requiring a reasonably high quality environment and humane treatment for inmates. In certain areas, California standards are somewhat less restrictive or demanding than national standards.

One current major area of divergence is that while California requires single occupancy cells only for pretrial detainees, national standards (such as the American Correctional Association's Commission on Accreditation, 1977) tend to require single cells throughout. They also tend to require 50 square feet per person in multiple occupancy cells (in existing facilities only) compared to California's requirement of 35 square feet.

If history is a guide, California standards will probably remain relatively close to national standards.

Other Regulations Affecting Jail Planning

Besides the Minimum Standards, there are a number of other California regulations that affect local corrections. The most relevant ones are referred to in the Minimum Standards, and all are compiled in **California Laws Pertaining to County and City Adult Detention Facilities**. Some of these laws and their subject areas include:

- The **Constitution** of the State of California specifies rights of prisoners (see "Legal Issues").
- The **Education Code** allows for the education of detainees.
- The **Government Code** pertains to county departments of corrections, rehabilitation programs, intergovernmental contracts, and inmate work.
- The **Health and Safety Code** includes fire safety and health standards.

- The **Labor Code** is concerned with workplace safety.
- The **Penal Code** pertains to release programs, the separation of women from men and juveniles from adults, work and educational furlough, bail, confinement of state prisoners in transit, and the use of city facilities and facilities of other counties.
- The **Public Resources Code** makes it legally possible for inmates to work in local parks.
- The **Welfare and Institutions Code** details special provisions for juvenile detainees.

Building Codes Which Affect Local Correctional Facilities

In building and renovating correctional facilities, all California counties must generally follow two nationwide codes: the **Uniform Building Code (UBC)** and the **Life Safety Code**. Both codes are primarily concerned with life safety, especially fire safety. The codes require fire resistant building materials and furnishings; adequate exits, light, and ventilation; and a workable evacuation plan. Local jurisdictions may amend the UBC. Your architect will be aware of such amendments.

The Relationship Between Standards and Legal/Constitutional Issues

Meeting standards does not guarantee that inmates' legal or constitutional rights are being met, although compliance is clearly a step in the right direction. Many courts use state or Commission on Accreditation standards in evaluating conditions and ordering changes. Sometimes, they will go well beyond standards in their orders.

Failure to meet state standards may suggest a lack of concern (or, perhaps, professionalism) on the part of jail administrators and probably would leave an unfavorable impression in court if an action were brought against the jail. Lack of resources to meet standards is not normally accepted by the courts as grounds for denying constitutional treatment to prisoners. Although corrections depends on county government for most of its funding, the failure of the Board of Supervisors to provide for needed improvements or the failure of a bond issue would not prevent a judge from ordering that those improvements be made.

Avoidance of legal liability is a somewhat negative way of stating what should be a positive goal for the jail: providing humane and constitutional conditions for inmates. The questions are: how have these conditions been defined by the courts and how can the county anticipate directions in which the definitions will evolve?

Legal and "Constitutional" Issues for the Jail

Until recent times, the courts were reluctant to become involved on behalf of prisoners. This so-called "hands off" attitude lasted until the late 1960's when courts actively began to apply Eighth Amendment protections against cruel and unusual punishment and other constitutional guarantees.

Prior to that time, it was held that prisoners lost their rights upon incarceration (**Price v. Johnson**, 1948) or that even terrible conditions were acceptable if they were beyond the resources of the jail to correct (**Pickens v. Alaska**, 1951). And these were very bad conditions:

"Pickens, along with 40 other prisoners, 36 of whom were being held for trial, was confined to a room 27 feet square, heated by an ancient coal stove, with fewer than 20 bunks, virtually no ventilation and one unsanitary latrine."

Subsequent cases gradually redefined the courts' ability to apply constitutional guarantees to prisoners. In 1961, **Monroe v. Pape** held that Section 1893 of the federal Civil Rights Act, which gives people the right to seek remedy against anyone who deprives them of their rights, also applies to inmates. The Supreme Court confirmed this in 1964 (**Cooper v. Pate**). Early cases dealt with freedom of religion, brutality and access to the courts.

1971 was a key year for court action affecting prisoners. The court began to distinguish between conditions acceptable for pretrial detainees compared to those for convicted prisoners. In **Hamilton v. Love**, the court held that the Fourteenth Amendment guarantee of equal protection required that conditions for pretrial detainees (who are presumed innocent) be superior to those permitted for convicted prisoners. Detention should be in the least restrictive manner possible, according to that decision. This was confirmed in **Anderson v. Nossen**, in which:

"plaintiffs were arrested for parading without a permit. After arrest, they were transported over 200 miles to the Mississippi State Penitentiary where they were forced to strip naked, consume a laxative, and were then confined eight men to a cell for up to 36 hours The bunks in each cell were without mattresses or bedding of any kind; neither towels nor soap were provided."

Another important 1971 case (**Holt v. Sarver**) held that the "totality of conditions" of incarceration could be considered as cruel and unusual punishment. In other words, while no single condition might be a violation in and of itself, many small problems could be considered as whole.

Since that time, a great deal of litigation has concerned conditions of incarceration, in a continuing process of defining both what makes a "constitutional jail" and what the court's role should be in developing that definition. The courts have ruled upon many conditions including:

- Space provision, overcrowding, single versus multiple occupancy cells.
- Sanitation.
- Fire safety.
- Diet and exercise.
- Medical and mental health care.
- Protection from violence.
- Access to visitation, correspondence and telephone calls.
- Classification and privileges.

Litigation, of course, is an adversarial process. The courts can only bring judgment in particular cases, and these must be judged upon their own merits. Thus, court involvement in the specification of jail conditions moves sporadically and not always in a single or clear direction.

The U. S. Supreme Court may be moving away from its prior willingness to intervene. Recent cases, including **Bell v. Wolfish** (1979) and **Rhodes v. Chapman** (1981), indicate a narrowing of the scope of court involvement. In the Wolfish decision concerning conditions in the modern, highly advanced Federal Metropolitan Correctional Center (MCC) in New York City, the Supreme Court reversed a lower court's finding that among other things double celling was not permissible. The high court held that courts should not get involved in "the minutiae of prison operations," but should leave such issues to administrators and confine themselves to broad constitutional questions.

In addition, the court appeared to draw back from the **Hamilton v. Love** protections for pretrial detainees, stating that the presumption of innocence ". . . has no application to a determination of the rights of a pretrial detainee during confinement . . ." It is now unclear what rights and standards for pretrial detention the federal courts will uphold.

In **Rhodes v. Chapman**, the Supreme Court ruled on the extent to which Eighth Amendment guarantees apply to prison conditions. It held that double celling at the Southern Ohio Correctional Facility at Lucasville did not constitute "cruel and unusual punishment." While the opinion was careful to leave open a different interpretation under other circumstances, the court found that in this "unquestionably . . . top flight, first-class facility, "double celling did not inflict "unnecessary or wanton pain."

Some jurisdictions might interpret these findings as making double celling constitutional. However, keep in mind that there are very few jails in the country which provide a "totality of conditions" as high in quality as that of the New York MCC or the Ohio prison. The concurring opinion in the Rhodes case even stated that the "decision should in no way be construed as a retreat from the careful judicial scrutiny of prison conditions."

Avoiding Legal Liability

Although there is no official tally, as many as half of the counties in California may have suits pending, have had court orders, or are about to have suits filed concerning their jail. These include all of the state's largest counties where inmates have won serious cases.

Since the future of corrections litigation is uncertain, what steps may a county take now to minimize the likelihood of losing court cases in the future?

Strategies which hold some promise—although no guarantee—of success include keeping informed about current trends in corrections, meeting state and national standards, and making “good faith” efforts to insure the rights of the incarcerated.

References

A Listing of Current Major Standards

California Administrative Code, Title 15, Subchapter 4. Minimum Standards for Local Detention Facilities (Articles 1–14), 1979 (published in 1979 but referred to as the 1980 standards). California was one of the first states to adopt standards in the 1950's. This is the most recent revision. The facility requirements of these standards are outlined above.

The Commission on Accreditation for Corrections (of the American Correctional Association), **Manual of Standards for Adult Local Detention Facilities**, 6110 Executive Boulevard, Rockville, MD 20852, 1981. These voluntary professional standards are widely regarded as the “leading edge” of correctional practice. The current goal of the California Department of Corrections is to accredit all state facilities (e.g., prisons) by meeting these standards in the relatively near future. All new construction is planned in compliance.

U. S. Department of Justice, Attorney General's Office, **Federal Standards for Prisons and Jails**, Washington, D.C., 1980. Modeled on Commission on Accreditation (ACA) standards, these standards apply to federal facilities and local jails that contract with the Bureau of Prisons to hold federal prisoners. They will also be used to administer potential Department of Justice financial assistance (see “Funding Sources and Strategies”, Chapter 4.6) as well as providing guidance to its litigation divisions. While compliance with these standards cannot guarantee against lawsuits brought by others, the Justice Department does not intend to bring suit where substantial compliance or a good faith effort to comply is demonstrated.

American Medical Association, Pilot Program to Improve Medical Care and Health Services in Correctional Institutions, **Standards for the Accreditation of Medical Care and Health Services in Jails**, 555 N. Dearborn Street, Chicago, IL 60610, 1978 (draft). These are the most widely accepted standards for health care and facilities in jails and form the basis for the Commission on Accreditation and Department of Justice standards. The AMA also provides a helpful booklet “Practical Guide to the AMA Standards.”

American Public Health Association, Jails and Prisons Task Force, **Standards for Health Services in Correctional Institutions**, 1015 Eighteenth Street, N.W., Washington, D.C., 1976. Another useful guide to consult on medical care standards.

American Bar Association Standing Committee on Standards for Criminal Justice, **Legal Status of Prisoners**, 1800 M Street, N.W., Washington, D.C., 1980. These cover many aspects of the treatment of prisoners, including those affected by the facility such as, availability of programs, medical care, visitation, physical security, and maintenance of institutions.

The National Sheriffs' Association, which does not have its own standards, has developed a jail audit system employing standards that generally follow the Commission on Accreditation's. The audit system includes an initial portion for jail staff followed by a visit from trained auditors who evaluate the jail's compliance with standards and make practical remedial recommendations.

References on Legal Issues

Collins, William C. **An Administrator's Guide to Conditions of Confinement Litigation**, College Park, MD: American Correctional Association, October, 1979. This very readable guide to the current state of “conditions of confinement” litigation relates what may happen during a lawsuit from the point of view of the corrections administrator. **Jail and Prison Law Bulletin**. Published by Americans for Effective Law Enforcement, Inc., 501 Grandview Drive, Suite 209, South San Francisco, CA 94080 (415-877-0731). This monthly bulletin reviews litigation affecting jails and prisons.

National Association of Attorneys General, Corrections and Institutional Confinement Committee. **Prison Conditions: an Outline of Cases**, Raleigh, NC: National Association of Attorneys General Foundation, March 1979. A brief synopsis of cases is presented.

Rudovsky, David, et al. **The Rights of Prisoners**, The Basic ACLU Guide to a Prisoner's Rights, New York: Avon, 1977. This includes a useful review of the range of issues which have led to lawsuits and judgments, mostly from the point of view of the inmate who may consider bringing suit. It is written in an easy to read, question-and-answer format, but is somewhat outdated.

Sensenich, Ila Jeanne. **Compendium of the Law on Prisoners' Rights**, Washington, D. C.: Federal Judicial Center, April, 1979 (available from the U.S. Government Printing Office). This compendium is an encyclopedic listing of rights and cases.

In addition to the above references, the California Attorney General or State Public Defender may be able to provide up-to-date information on litigation in the California courts.

(Note: full case citations, if required, can be found in the above publications.)

New Attitudes and Philosophies: New Environments

The 1960's were characterized by a general liberalism and questioning of past practices. The first major court involvement with the jails came at the end of the decade and forced some substantial changes. In other social service fields such as mental health, movements toward "deinstitutionalization" and "normalization" developed. Many of these factors contributed to the design of the first "humane" or "normalized" jail facilities built by the federal government—the metropolitan correctional centers.

Increased Numbers of Inmates: More Jails Being Built

The tolerant attitudes of the idealistic sixties and seventies have yielded to a period of increasing crime, more incarceration, and a much harder public attitude toward the criminal. With more people in jail, overcrowded conditions are becoming all too common. Although more attention is directed to alternatives to incarceration, more jails are also being built.

The considerable amount of new jail construction in recent years has provided opportunities to try out new ideas. New concepts have been tested and modified.

New Standards and Legal Requirements

As detailed elsewhere in these handbooks, court involvement in the jails and the development of state and professional correctional standards have been major causes of change in jail operations and design.

Court orders have covered such operational issues as inmate mail, searches, visiting, access to the courts, provision of meaningful programs, medical services and many others. Individual courts have also ruled on the conditions of incarceration, space requirements, less crowding, access to recreation, lighting, and others. Professional standards set targets of performance in these and many other areas, often at higher levels than the courts are willing to impose.

Spiraling Costs: More Efficient Operations and Designs

In times of rapid inflation, the costs of staffing, operating and constructing jails rise rapidly. Current cost surveys reveal that over the thirty year life of a jail, the costs to operate it may be eight to nine times higher than the first costs of construction. These operating costs are inescapable. The dilemma arises of how to **afford** secure and safe detention for more prisoners while at the same time satisfying demands of courts and standards for more space, more staff, and better facilities. Alternatives to incarceration that reduce the demand for jail space are one response to rising costs. More efficient design and operations are another.

New Materials and Technologies

New systems and materials are now available for use in jail design, thanks partly to space and defense technology. These include security and surveillance systems, remote sensors, communications, and computers as well as glazing materials such as poly carbonate plastic and, more recently, multi-layered plastic and glass laminates.

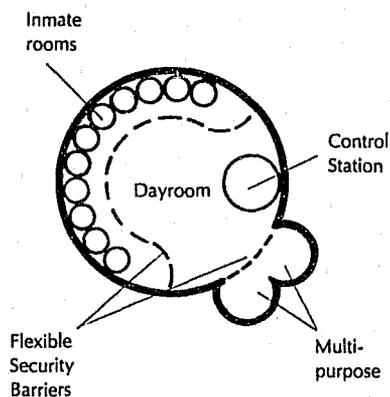
Some communities have built new facilities at lower costs than comparable "traditional" jails by incorporating some of these materials and systems into their designs (National Clearinghouse for Criminal Justice Planning and Architecture). This may mean replacing steel bars with glass and plastic glazing, replacing traditional jail furnishings and fixtures with less expensive ones of wood or porcelain, or using new security systems to reduce direct staff surveillance of little used areas such as corridors or sallyports. When used appropriately, these applications make jails more flexible, less oppressive, and less costly to build. They have not, however, reduced overall staff requirements.

In response to these pressures and opportunities, new trends in jail design and operations have emerged.

Changes in Correctional Operations

Services and Security

Newer design approaches to detention facilities tend to encourage more flexibility in the use of space and in operations. We see multi-use program areas for education or counseling, dayrooms in residential clusters for dining or recreation, and so on. Yet, the newer jail must be able to be "locked-down" in the event of an emergency and run



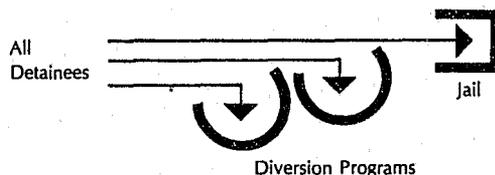
as securely as its predecessors. In part, this is achieved through smaller living unit levels which continue to offer essential services to inmates.

The jail is also becoming more of an instrument in the delivery of services than it was in the past. This change has meant more contact with other programs in the jail (pretrial diversion, work furlough, alcohol and drug abuse counseling, etc.). Physically, a somewhat more open facility design is necessary to accommodate the program staff.

The security of new jails is not necessarily compromised by their open character. In some cases, it is strengthened due to increased contact between staff and inmates. Many correctional personnel find that more personal contact helps reduce tension and controls inmates.

Most jails now have more services to offer inmates than in the past. Some of these services are provided by other agencies, interns or volunteers. As a result, there is often more movement of inmates, staff, and other users within the building. The relative inflexibility of traditional structures has proven to be a limiting factor for some programs.

Intake Screening



Pretrial release and diversion programs emphasize limiting the number who are detained or incarcerated by screening people entering the jail. To accommodate this new function, intake areas are usually situated near the offices of pretrial release or diversion programs so that those services can be provided at the time of booking. If the volume of cases warrants, the intake and screening functions may be physically removed from longer term detention areas, thus creating the intake service center as an entity apart from the jail.

Booking, records searches and processing of inmates can now be accomplished electronically. Computers can perform a number of operations to aid in processing people through the jail. They can accept and file booking data; they can quickly search a central data system (such as "CLETS") for prior arrest records; and they can keep track of inmate property or court schedules, to name a few applications.

Other booking improvements include using polaroid-type cameras, with self-developing film. This equipment eliminates elaborate camera and lighting arrangements and reduces the need for expensive darkroom space and equipment.

Classification and Housing Assignments

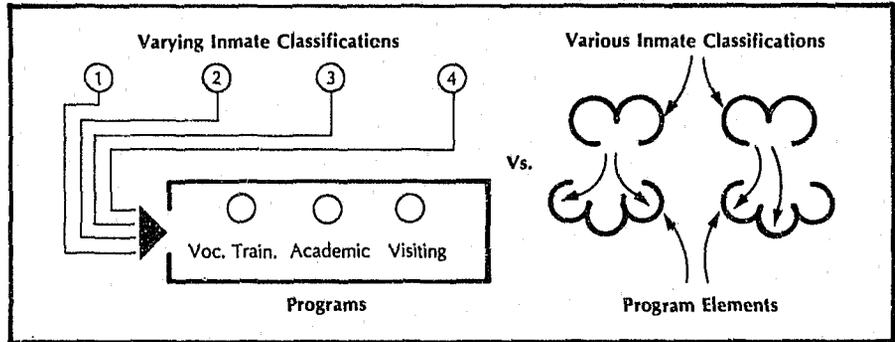
Probably the greatest operational changes are occurring in the living areas of jails. These changes respond to several pressures. The first recognizes the need to separate various categories of prisoners according to behavior, type of offense, security requirements, age, sex, adjudicatory status, and other requirements. This separation protects one group from another while responding to differing needs in different settings.

In attempting to achieve this rather fine level of subdivision of inmate population, many jails cannot adequately use all of their facilities. They may have to over-utilize one area and under-utilize another.

In newer facilities, inmates are often housed in single-occupancy cells grouped in units of varying size. These units usually have direct access to dayroom and dining spaces as well as program, activity and recreation areas. Such units grant the flexibility necessary to operate facilities with various classifications of inmates, each requiring a defined degree of separation from others, while needing access to similar services and programs.

This "unit management" concept of operations has the advantage of concentrating various services close to the inmates thereby reducing movement between areas and requiring less staff supervision of that movement. By contrast, inmate movement within the unit is much less restricted. Thus, inmates have more freedom to use recreational facilities, attend a counseling session, or remain in the individual room, all without requiring the involvement of staff to move them. This leaves correctional officers free to perform other duties or to assist in the delivery of jail programs and services. Since staff typically increases when a new jail is built, this flexibility can help minimize those increases.

Because freedom of choice offered by a system of differential privileges and rewards seems to motivate some inmates toward positive behavior, it provides a basis for incentive-oriented correctional programs. In this model, varying residential units have increasing degrees of freedom or privileges associated with them. Inmates who desire those relative freedoms strive to be assigned to particular living units assuming increasingly more responsibility.



Support Services

Operational changes in jail **support** functions are also occurring. Medical and dental services are provided through contract services, the county health department or staff medical personnel. They are typically available to all inmates, and, whenever possible, are provided in dedicated clinic areas of the facilities. For minor complaints, larger jails may hold a daily sick call in residential unit facilities rather than move inmates to a central exam room.

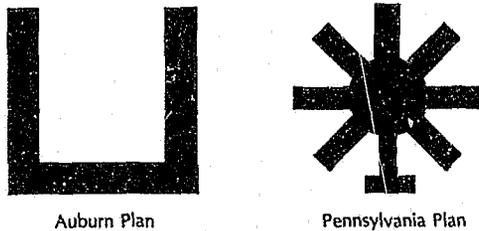
Food preparation and dining services are also changing. Some jurisdictions find it more economical to contract for food preparation and service rather than investing in outfitting and operating a kitchen. Most large facilities, however, still prepare food on-site. The airline method of quick-chill preparation has been introduced in some newer facilities. With this method, food is prepared in the traditional manner, but undercooked about 20 percent. It is then quick-chilled in blast refrigerators and held for final delivery. Deliveries are made to the dining areas for re-heating and serving.

Other new approaches to support functions include microwave and convection ovens, kitchens in living spaces for meal preparation, and individual washer/dryer installations in certain inmate groups' living units.

Changes in Facility Design

Historical Legacy

Figure 1.3-2: Auburn and Pennsylvania Plans



It sometimes seems that more attention is focused on the changing appearance of correctional facilities than on operational changes. This is perhaps because we are seeing the first real changes in the appearance of these buildings in many years. The great majority of jails built in this country prior to 1970 were modeled on structures built about 200 years ago—the so-called Pennsylvania or Auburn plan buildings.

These traditional buildings provided correctional environments which may have represented advanced thinking for their times, but which offer an inappropriate response to today's correctional ideals. They presented a relatively secure, yet highly inflexible physical plant which created an extremely oppressive environment. Generally providing little program space and few opportunities for positive staff-inmate interaction, these facilities are characterized as the "warehousing" approach to corrections.

Correctional practitioners evaluating these facilities realized that operations and correctional philosophy were severely limited by design.

New Directions

In response to this criticism and the attendant desire to experiment with new approaches, the design of new jails has changed substantially in the last ten years. More attention is now focused upon architecture's potential to make a positive contribution to the correctional program.

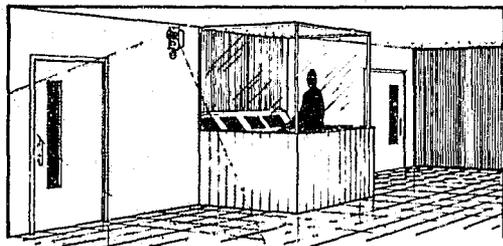
The shift in physical design concentrates upon two aspects. The first is to improve operational efficiency so that the facility can be efficiently operated by custody staff and be built and maintained at a lower cost. The second aspect is to achieve a more normal or humane environment for inmates and staff, thus lessening the noise, boredom, stress and violence of the traditional jail.

Design for Efficient Staffing

Both older and newer jails rely heavily upon proper staffing patterns to operate effectively. Since staffing represents such a large proportion of operating costs, design features that minimize staff requirements without sacrificing security or program objectives are widely sought.

Circulation and surveillance are two critical functions which are greatly affected by design. In terms of surveillance and the layout of living units, the issue involves the number of areas that can be seen from a staff station. Since staff-inmate interaction may also be an objective, the design must balance the number of inmate areas which a staff member can observe with the number of inmates he or she can effectively serve or control. Stationing staff **within** the living unit, rather than in a secure control booth, is being tried in some jails to observe effectively with limited staff and promote staff-inmate interaction. There are pros and cons to this approach which some tradition-minded corrections officers may find hard to accept at first. However, in units accommodating appropriately classified inmates, staff safety need not be compromised.

Non-obtrusive Security



Combined with effective staffing, new technologies are also contributing to achieving non-obtrusive security. Audio-visual or closed-circuit TV monitors are now widely used in jails. They are primarily appropriate for little used areas such as corridors, service yards or sallyports. Do not rely too heavily upon these technologies: they are easy to ignore, can malfunction, and can give a false sense of security. As every correctional officer knows, cameras don't respond to a situation—people do.

With the use of mass sensors and other electronic devices for perimeter security, you can achieve a greater degree of control over potential escape or intrusion while frequently avoiding the cage-like appearance of barbed wire (Benton, 1973).

Normalized Physical Environment

The "normal physical environment" is non-institutional in character, similar to other buildings in use, and has a "scale" that is neither overwhelming nor oppressive.

The physical appearance of a space or its "image" indicates its degree of normalcy. This image is a combination of elements such as size, shape, color, light, view, furnishings and symbols. An individual's reaction to image and space will depend upon his or her past experiences and reason for being there. We recognize what type of place it is and then develop expectations for how we may be treated and what may happen there. Thus, the space or building serves as a medium of communication between its operators or designers and its users.

A more normal correctional environment—one with fewer symbols of incarceration—can have a positive impact upon staff and inmates by reducing some of the tensions normally associated with the loss of freedom. This concept was carried out in the design of the Federal Metropolitan Correctional Centers in New York, Chicago, and San Diego. They are not traditional in appearance, yet they still provide a secure detention environment. Features such as exterior windows, comfortable furniture, carpeting, and bright interior colors reduce the "trauma" of incarceration and encourage inmates to care for their living areas.

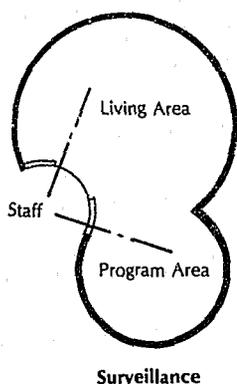
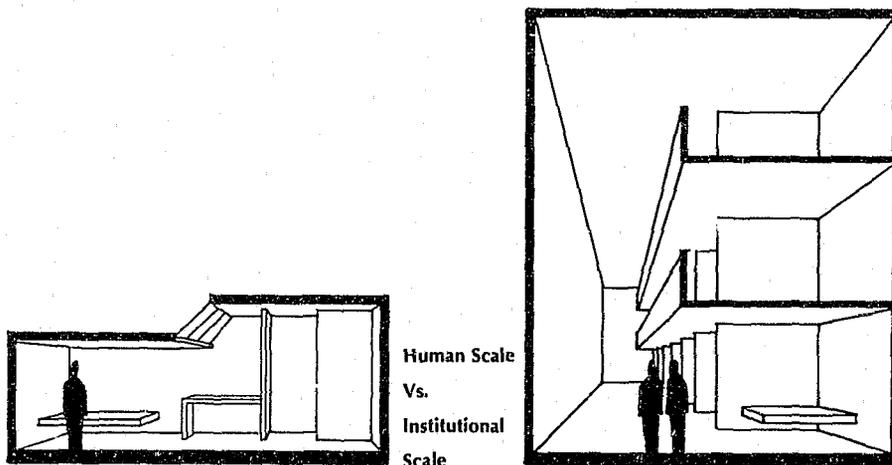
There is some evidence that these more normal environments do, indeed, achieve their objectives of creating a positive impact on inmates and staff. In an evaluation of the Metropolitan Correctional Centers, Wener and Olsen concluded that positive inmate and staff attitudes were definitely achieved by the normalized environment. Both inmates and staff clearly perceived their environment to be more attractive and less institutional. Inmates were more active, felt there was less violence and vandalism, and had a more favorable attitude toward the institution.

Summary of Recent Design Characteristics

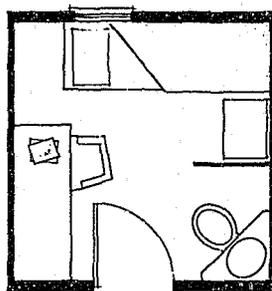
Design techniques for achieving a more normal environment include using natural light and views; bright, stimulating colors; textured materials such as wood, tile, brick and carpet; limiting the size and volume of spaces; and providing spatial variety and transition. These methods are combined with other details (appropriate to the level of security) such as doors in place of grill gates, non-institutional furniture, and security glazing in place of bars. The result is facilities that are secure, yet humane in appearance.

The following list summarizes some characteristics of recent jail design:

- **Elements which impart "human scale" or "normalized" physical environment.** These include the use of bright colors, graphics or materials such as brick and wood where appropriate. Large, undifferentiated spaces are avoided; areas are tailored to specific uses.



- **Unobtrusive surveillance/observation of inmates.** Living and activity areas, for example, are arranged so that they may be observed easily from a central point rather than encircling them with guard walks. Facilities can accommodate inmate movement without constant escort. There is judicious use of closed circuit television monitoring.
- **Preference for single occupancy cells.** Single occupancy cells are frequently preferred because they allow inmate privacy and protection and may help to diminish some tension. They are not intended as forced segregation. California standards require 70 square feet in single occupancy cells for pre-sentenced inmates.



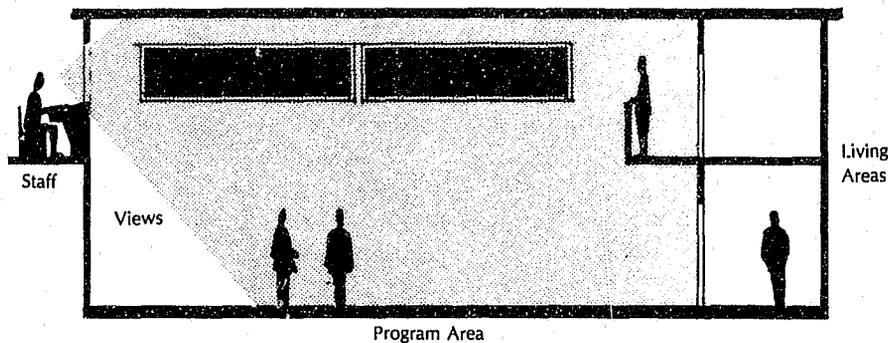
Plan



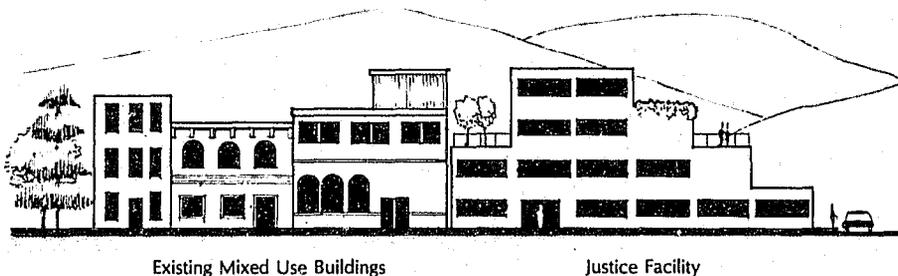
Typical Cell

Interior View

- **Incorporation of program areas into residential units.** These provide inmates with somewhat more internal freedom of movement without escort, make program areas more accessible, and provide opportunities for correctional staff to offer programs such as counseling, education or job training.



- **Greater overall building area than previous designs.** Space provided per inmate ranges from 350 to 450 gross square feet. The increase over past practices results from the inclusion of single cells and additional program and service elements. Most of these are required by the changing role of the jail as it becomes more service oriented and not merely a place for detention.
- **Sensitivity to context of community and surrounding environs.** The contemporary jail attempts to reduce barriers to community acceptance and participation. It is designed to conform to the scale and appearance of its surrounding areas but does not compromise the needs for security. Its goal is to project an appropriate image for a detention facility while being a good neighbor to the community.

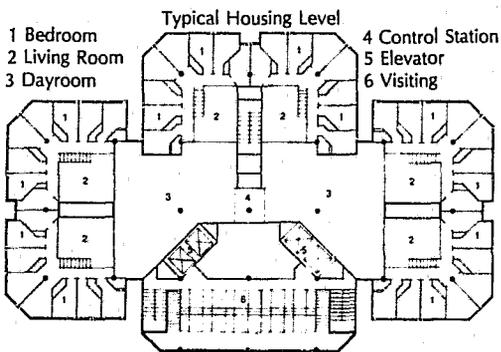


Visits to Jails

For sound planning, tours of other facilities are crucial. The operational and design characteristics of newer jails are best understood when observed first hand. A list of some of these facilities in California and surrounding states is provided below. Inclusion on this list does not constitute an endorsement of a facility design or its operation. It simply suggests that you may be able to gain exposure to a range of recent ideas by visiting these facilities. Some are National Institute of Corrections "Area Resource Centers" and are geared to hosting and helping visitors. (A list of other Area Resource Centers, and their specializations, can be obtained from NIC.) Note that staffing figures, where provided, include all jail staff.

California Examples

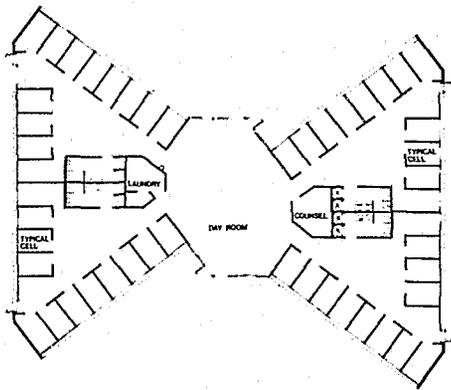
Figure 1.3-3: Alameda County Detention Center
Hellmuth, Obata & Kassabaum Architects, Engineers & Planners



Alameda County Detention Center, Oakland. The Alameda County Detention Center is designed to hold 576 male and female detainees under minimum, medium, and maximum security conditions. It consists of self-contained living units with decentralized services. Each housing unit is split level with two, 48-bed units clustered around a central dayroom. A single officer control station per floor supervises all activity areas and observes the door to each sleeping room. All services, including visiting, occur in the housing units in an effort to minimize inmate circulation. Housing units have visiting stations on upper floors, classrooms and medical office on lower floors. The center is connected to adjacent municipal courts by exterior bridges.

Contra Costa County Detention Facility, Martinez. (NIC Area Resource Center). This facility in downtown Martinez houses 383 residents, most in medium security but with one maximum security housing unit. A four-level design with nine housing clusters of about 48 rooms each, it is a good example of grouping residential areas around common, double-height dayroom/dining areas. Each colorful and carpeted dayroom

Figure 1.3-4: Mendocino County Rehabilitation Center
Kaplan/McLaughlin Architects/Planners



includes lounges, visiting rooms and direct access to a secure courtyard. Correctional staff are stationed within the living unit, rather than in a secure control booth. Unique to this facility is the separate visitor circulation corridor which allows visiting to take place at the housing cluster. The facility also contains courtrooms and judicial support space for arraignment and pretrial procedures.

Mendocino County Rehabilitation Center, Ukiah. This 125-resident facility for sentenced male and female misdemeanants is located in a primarily residential area, necessitating a great deal of sensitivity to the community. Its design is simple and of appropriate scale to surrounding houses. Four wood exterior buildings are situated in a mini-campus arrangement and house primarily minimum security inmates.

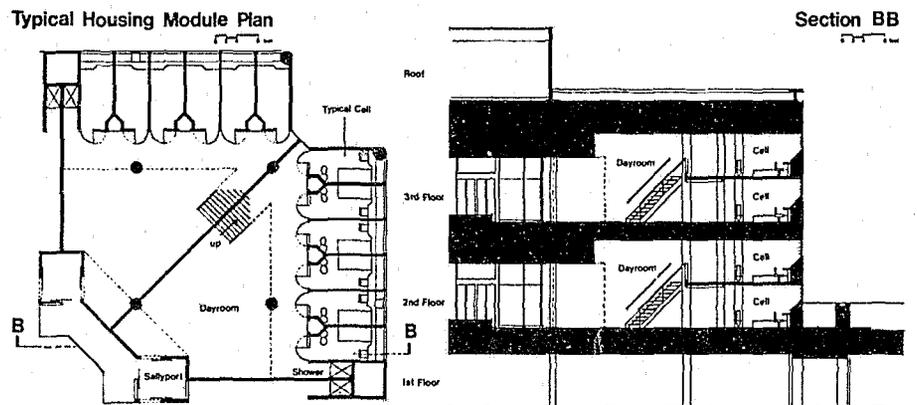
Napa County Adult Correctional Facility, Napa. Built in 1976, this facility replaced a jail closed by court order in 1970. The sixty-bed facility holds male and female, pretrial and sentenced inmates. The three-story facility is located on a downtown site in the city of Napa. Residential units are located around the perimeter of the building with a central core providing program and office space. It currently operates with a staff of 23 persons on a \$750,000 budget.

San Mateo County Women's Correctional Center, San Mateo. This full service women's facility contains mainly single occupancy rooms along with two 12-bed dorms. It is located in an urban area within a light industry and marina setting. The facility is tilt-up concrete wall construction with a split level design. A central control area is flanked by a single cell cluster in the front with a two-story structure holding two single-room clusters and dormitories in the rear. The dayroom area is located adjacent to the central control area and is among the "softest" of jail spaces with padded furniture and plants. Current operating costs are \$42 a day per person with a staff of 14. Projected staffing needs would increase this number by four persons on each shift.

Ventura County Pretrial Detention Facility/Main Jail, Ventura. This pretrial detention facility, designed to hold 436 male and female inmates, is a component of a county administrative complex. It contains patrol, central dispatch, sheriff's administrative and fiscal offices as well as detention areas. Three hundred forty-eight single rooms are located in eight, 48 person quads including one quad for females. Additional special housing, medical, and disciplinary segregation rooms bring the total to 436 beds.

The five-level steel structure is clad in pre-cast concrete panels. Two levels of housing each contain four quads which are divided into 12-room clusters. Six rooms are located on one level with six above sharing a day room area. Each cell has a concrete slab bed and seat. All services are brought to inmates in the dayrooms, shared recreation, program, and visiting areas on each level. Each quad has a central control booth with a central control area for every four quads. The 200,000-square-foot facility was built at a cost of approximately \$55,000 per cell. The current staff numbers 161 persons.

Figure 1.3-5: Ventura County Pretrial Detention Facility/Main Jail
John Carl Warnecke & Associates in association with Daniel L. Dworsky, F.A.I.A. & Associates Architects



Federal Correctional Institution, Pleasanton Youth Center, Pleasanton. Originally designed as a 250-resident facility providing a variety of programs for male and female offenders, the facility was expanded in 1978 to 350 beds and converted to a women's facility. One of the first federal institutions to reject stereotypical correctional design, this campus-like center features two-story housing units of reinforced concrete. Administrative and support buildings are of wood construction. First cost was \$5.3 million.

Metropolitan Correctional Center, San Diego. This 455-bed facility was the first of three Metropolitan Correctional Centers (MCC) to be opened by the federal government. It began operating in 1974 and was followed a year later by facilities in Chicago and New York. The MCC's house federal unsentenced prisoners and short-term sentenced offenders in areas where local facilities cannot provide sufficient beds.

The downtown San Diego facility is a highrise building that provides 70 to 80-square-foot private rooms for each inmate. Each room has a narrow window with an exterior view and is furnished with toilet, lavatory, bed, and combination counter and cabinet storage space. The general floor arrangement clusters two levels of inmate rooms around dayrooms and dining/activity areas. These are grouped around elevators which provide for most movement of people and materials.

Non-California Examples

Benton County Regional Corrections Center, Corvallis, Oregon (NIC Area Resource Center). Currently, this 27-bed facility houses male and female, pretrial and sentenced inmates, but will hold only pretrial detainees in five years. Located in the city of Corvallis, it is attached to the courthouse. All rooms are single occupancy. The security system and hardware have a maximum security potential, but the program currently runs at a medium level. The facility replaced an 18-bed jail with dormitories and multiple occupancy rooms. There were no staff members permanently assigned to the old jail. Fourteen staff members run the facility with a projected need for an additional 4.5 members. 1980 operating costs approximated \$700,000, which—after five years of operation—approach initial construction costs.

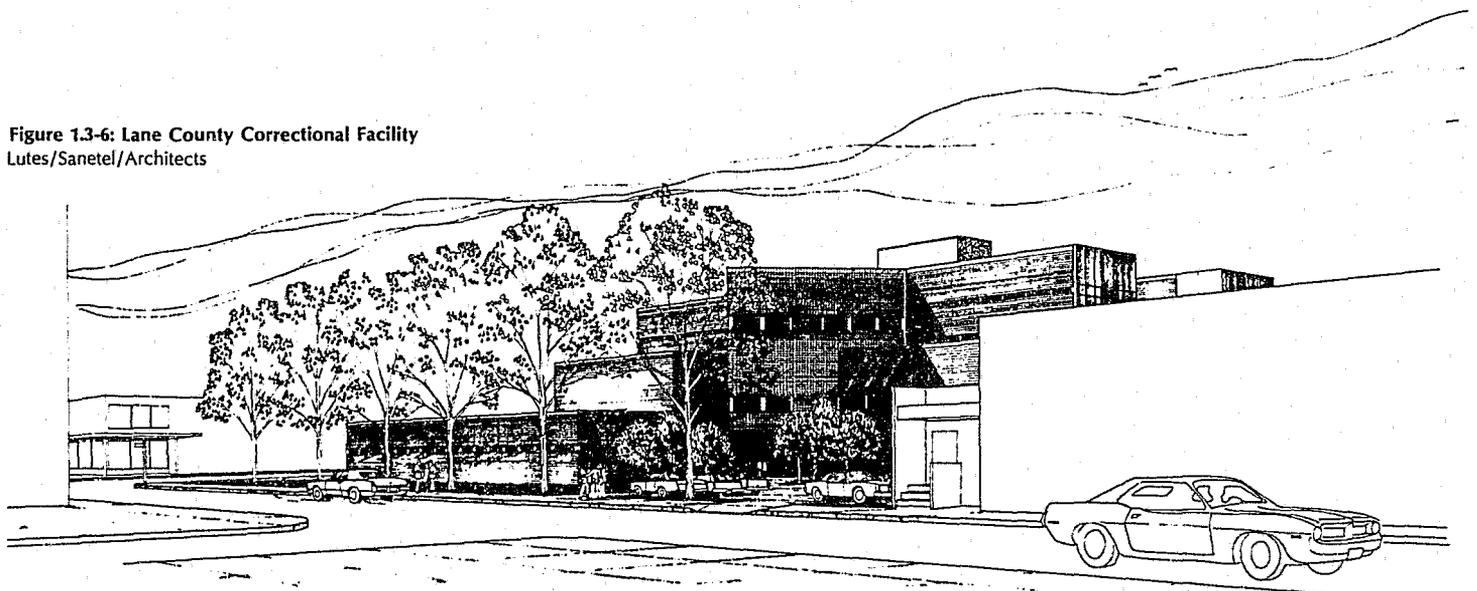
Boulder County Corrections Center, Boulder, Colorado (NIC Area Resource Center). Located on the fringe of the city of Boulder, this 100-bed facility houses male and female, sentenced and pretrial inmates. The correctional facility is of one-story modular design built around a central courtyard and attached to a two-story justice center.

The current staff consists of 66 persons with a projected need for 92 persons (NIC assessment). The operating budget for this facility was approximately \$1.25 million in 1980.

By comparison, in 1961 the facility's predecessor contained 80 beds in four-man cells and employed some 20 staff members. Before moving into the current facility, the staff was increased to 40 members during a five-month transition and training period.

Lane County Adult Correctional Facility, Eugene, Oregon. Currently a 116-bed facility, this downtown low rise includes all the core facilities needed to add three double-height housing areas above the present roof. Ultimate capacity is projected at 404 beds. The facility is of concrete and masonry construction in a cluster arrangement. Sixty-eight of the current cells are single occupancy with the remaining 48 beds in four, 16-person dorms.

Figure 1.3-6: Lane County Correctional Facility
Lutes/Sanetel/Architects



Metro Corrections/Detention Center, Bernalillo County, Albuquerque, New Mexico. A 28-bed jail for male and female inmates, this facility houses both pretrial and sentenced prisoners. It is located on a downtown site close to courts and community services. The housing consists of single rooms clustered in groups of 12 around small dayrooms and combine to form 48-bed living units. These are stacked vertically and are served by a central elevator system. Most services—dining, visiting, indoor recreation, sick call, attorney consultation—are provided at the living unit. A single security station on each floor monitors all activities. Administration, central kitchen, infirmary and staff services are on the ground level and outdoor recreation is accommodated on the roof.

Summary of Operational and Design Changes

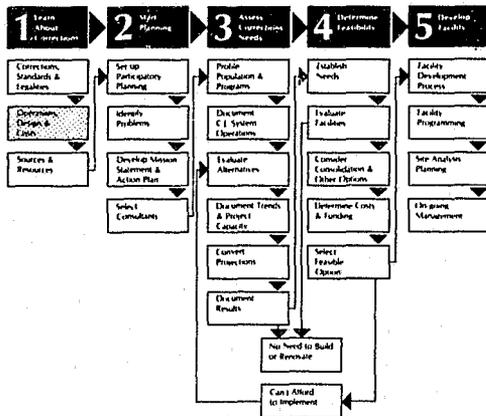
Operational and design changes in new jails have responded to two types of pressures. New attitudes and operations have been stimulated by the courts, professional standards and practices, and community attitudes concerning incarceration. These have led to new practices such as inmate classification, program offerings, and increased visiting and telephone privileges. They have also meant higher quality jail buildings that provide more "humane" environments for inmates and staff.

The second stimulus for change comes from evolving technology, which has had a considerable influence on correctional design. New methods of surveillance, types of security systems, means of information processing, and techniques of providing services such as food preparation are developing rapidly. It is worth remembering, however, that not all of the recent experiments worked out well. While valuable experience has been gained, much remains to be learned. The "state of the art" in operations and design is changing almost daily as technology responds to evolving needs. An update and review of new developments will familiarize you with current options when you plan your facility.

References

- Benton, F. Warren, and Obenland, Robert. **Prison and Jail Security**, National Clearinghouse for Criminal Justice Planning and Architecture, Urbana, IL: University of Illinois, 1973.
- California Department of Corrections, Program Planning Project. **Report On The Colloquium On Correctional Facilities Planning**, Sacramento, CA: Department of Corrections, 1978.
- Farbstein, Jay; Wener, Richard; and Gomez, Patricia. **Evaluation of Correctional Environments** (five reports on jail evaluation methods and results), San Luis Obispo, CA: Farbstein/Williams & Associates, 1979-80.
- Nagel, William G. **The New Red Barn: A Critical Look at the Modern American Prison**, New York, NY: Walker & Co., 1973.
- National Clearinghouse for Criminal Justice Planning and Architecture. **The High Cost of Building Unconstitutional Jails**, Urbana, IL: University of Illinois, 1978.
- Wener, Richard, and Olsen, Richard. **A User Based Assessment of the Federal Metropolitan Corrections Centers: Final Report**, Brooklyn, NY: Polytechnic Institute of New York, 1978.

1.4 The Cost of Building and Operating Correctional Facilities



Who Will Use This Chapter

Primary Users

Advisory Committee
Planning Team
Board of Supervisors
Sheriff and corrections staff
Project Manager

Secondary Users

Criminal justice agency representatives
Task force members

Introduction

Correctional facilities are among the most expensive of all buildings to construct, particularly if they are built for maximum security. But construction is only a relatively small percentage of the total cost of keeping people in jail, even without taking into account the social costs of lost productivity, welfare support and so forth. Operating costs, especially staffing, will far outstrip construction in a very short time.

Thus, the costs of building and operating the jail facility will be one of the most crucial considerations throughout the planning process. While ideally the county should build and operate the facilities and programs it wants, in the real world, goals and policies will be tempered by the affordability—and cost-effectiveness—of various options.

Three types of costs are associated with construction and operation of correctional facilities:

- **First costs** or “project costs” to construct the jail.
- **Operating costs** or the recurrent costs associated with running the jail.
- **Life cycle costs** or the net result of all costs and benefits measured over the economic life of the jail.

Each type of cost is discussed below in terms of its components and current ranges for California jails. Methods for estimating costs—and strategies for limiting them—are discussed in Chapter 4.5.

Components of Cost

The cost of building correctional facilities is very high when compared to other buildings, perhaps two to three times that of residential or commercial space in the same geographic area. Many counties see the **first cost** as prohibitive but resolve to “bite the bullet” and fund a project at substantial cost. Unfortunately, they all too often find that they have overlooked the burden of ongoing **operating costs**. These can be as

much as eight to ten times greater than first costs over the 30-year economic life of a correctional facility. An assessment of **life cycle costs** gives a truer picture of the financial commitment the county must make to construct, operate and maintain a correctional facility.

A national survey looked at construction costs of 34 recently built jails that were designed to conform to current standards and operational philosophies (as described in Chapters 1.2 and 1.3). From this survey, the Center for Justice Planning estimated average first costs of correctional facilities at \$36,000 per bed (as of January 1, 1980).

Adjusted for California, average costs were about \$40,250 per bed. When adjusted for inflation in construction costs and projected to a future bid date, average per bed first costs will soon exceed \$50,000 with a range from \$40,000 to \$60,000. In 1981, just completed jails in California are estimated to cost up to \$65,000 for maximum security beds, and \$40,000 for minimum security beds.

However, when the per bed cost is multiplied by the total number of beds (capacity) and then by an anticipated 30-year operational budget of eight to ten times first costs, the results are staggering. A 100-bed facility in 1981 may require an initial investment of \$4,500,000 plus an additional \$45 million to operate and maintain it until the year 2011.

The implications of these mathematics are both simple and powerful. The people with fiscal responsibility for the county must understand what the **total costs** of building and operating correctional facilities will be before committing to a project.

The next sections discuss each type of cost—first, operating and life cycle—and its components.

First Costs

First costs are also referred to as "project cost," "construction cost" or "initial cost." The term, "first cost," is more accurate because it represents the cost of constructing the building including land, professional fees, permit fees, and other associated costs of construction—the amount of money you pay to open the door of your facility. First costs don't include the costs of staff, utilities, on-going plant maintenance, providing services such as food and medical care, or other recurrent costs associated with running the facility.

The first costs of a facility typically receive more attention than the operating costs do, perhaps because they represent a tangible product—steel and concrete on a piece of land.

Components of First Costs

First cost is considerable, with current estimates ranging from \$40,000 to \$60,000 per bed space for the entire facility. Cost per square foot depends on many factors including security level, types of systems and equipment, and quality of finishes. Per bed costs depend upon the above factors as well as programs, services and overall capacity (two factors which are important in determining operating and life cycle costs). To some extent, limiting first costs can help reduce operating costs if the savings are due to reduced capacity. If corners are cut on construction quality, however, operating costs are likely to increase.

The basic components of first costs are shown in the following table in ascending order of their contribution to the total first cost. Note that the cost of the building itself comprises a large part of the first costs (60 percent).

Figure 1.4-1: Components of First Costs

2%	Special equipment systems (fire detection, CCTV, sprinklers)
4%	Site preparation
7%	Architect/engineer fees
7%	Jail equipment, locking systems, etc.
10%	Plumbing and electrical
10%	Heating, ventilation, air conditioning systems
60%	General construction work (basic building)
100%	Total First Costs (not including land acquisition)

Ranges of First Costs for Various Types of Facilities

Although first costs may range from \$40,000 to \$60,000 or more per bed for the overall facility, more specific examples may help you understand how these vary. Figure 1.4-2, "Comparison of First Costs," lists information about three recent California jails. The

costs in these examples have been adjusted to a July, 1981 construction date. They illustrate a range affected by location, capacity and number of floors. By using a multiplier equivalent to the rate of construction inflation (recently from about one to one and one-half percent per month) times the elapsed time since July, 1981, these costs may be modified to show today's cost. This may be helpful as a reference when estimating the cost of your project.

Figure 1.4-2: Comparison of First Costs

Capacity	Location	Hi/Low Rise	Area per Bed (GSF)	First Cost	Cost per SF	Cost per Bed
1. 586 beds	Downtown	High	400	\$27.2 million	\$116.34	\$46,535
2. 382 beds	Downtown	Mid	474	\$20.9 million	\$115.45	\$54,730
3. 189 beds	Rural	Low	350	\$6.06	\$91.61	\$32,063

Operating Costs

The initial shock of first costs for a correctional facility is relatively mild compared to the bill you will get to operate it. The above cited survey of recently constructed jails confirms other estimates. Operating costs are projected at approximately **ten times** more than first costs over the 30-year economic life of these facilities. This means that, for every \$1 million invested in a facility's first cost in 1981, you will need another \$10 million 1981 dollars to see you through to the year 2011.

Unfortunately, the high operating costs of detention facilities are frequently overlooked during planning. They don't seem to appear until a budget appropriation session just before the move to the new jail.

The major component of operating costs is the expense of staffing the facility. Staffing may account for as much as 70 percent of operating costs. Since the jail operates 24 hours per day, seven days per week, each staff post (such as a control center) requires approximately five persons to operate it (three shifts daily, days off, vacation, training time).

Thus, a facility having seven, 24-hour posts would need 35 security staff members. Fifteen others might be required for functions which are not twenty-four hour posts (administration, programs, food service, maintenance) for a total complement of 50. In terms of possible savings resulting from design choices, the elimination of one control station could free up five staff for other duties.

The round-the-clock operation of the jail is also a key factor in its high operating costs. Wear and tear on the building and its mechanical systems is accelerated; maintenance costs are increased; and lighting, heating and air conditioning systems require energy for non-stop operation. These recurring costs are estimated to account for about 20 percent of total operating costs.

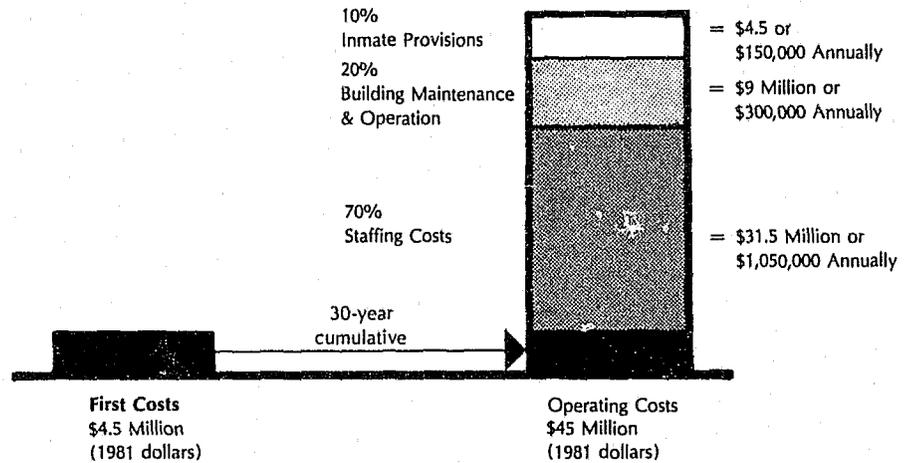
Provisions for inmate needs are generally the smallest component of operating costs. These are estimated to be about ten percent of the total operating costs and include items such as food service, commissary supplies, telephone usage, and miscellaneous supplies. Despite their relatively small percentage, they are usually the figures cited when inquiries are made about the costs of jail operation.

Estimating Operating Costs

Like first costs, estimates of operating costs can be developed at increasing levels of accuracy as planning and design progress. In the early stages of planning, estimates of operating costs must be of a general nature. Until a facility is planned, programmed and designed, it is difficult to accurately estimate the staff required to operate it. On the other hand, since planning and design will have a great impact on operating costs, it is imperative that they be factored into decision-making. Thus, methods are presented in subsequent handbooks for estimating staffing and operating costs (Chapters 3.6, 4.5 and 5.2).

A broad brush indication of operating costs may be developed by using the categories previously discussed and comparing them to first costs. The example shown in Figure 1.4-3 applies this very general formula to a hypothetical 100-bed jail costing \$4.5 million in 1981 dollars to build.

Figure 1.4-3: Comparison of First Costs and Operating Costs



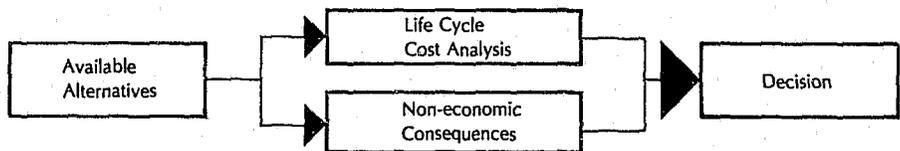
Life Cycle Costs

Life cycle costing is a technique that takes into account all of the costs incurred by a building owner during the various stages of a project. These range from the capital investment in land, construction and financing to the eventual costs of salvage and disposal of the building. The costs spread over a time period that corresponds to the economic life cycle of the building. Life cycles vary from one building type to another and also change with time and technological succession. Currently, detention facilities are assumed to have a 30-year economic life. This is a generalization including many older jails still in use and other ten or twenty year old jails which have been abandoned.

The value of life cycle costing is that it allows us to "weigh" trade-offs in building construction and operation. For example, the specification of a cheaper material may reduce first costs but require greater maintenance, earlier replacement, and more operating personnel during the facility's life cycle. Life cycle costing can help balance out the long term economic consequences of these immediate decisions.

In corrections planning and design, a life cycle cost analysis should weigh both economic and non-economic consequences of alternatives. In this way, the analysis is used as a tool to compare the economic consequences of various alternatives. These consequences are then combined with the non-economic consequences (such as effect upon the community's attitude regarding detention facilities, the need to meet standards, or the desire to maintain a humane environment) to reach a final decision. This notion is illustrated in Figure 1.4-4.

Figure 1.4-4: The Use of Life Cycle Cost Analysis in Decision-making



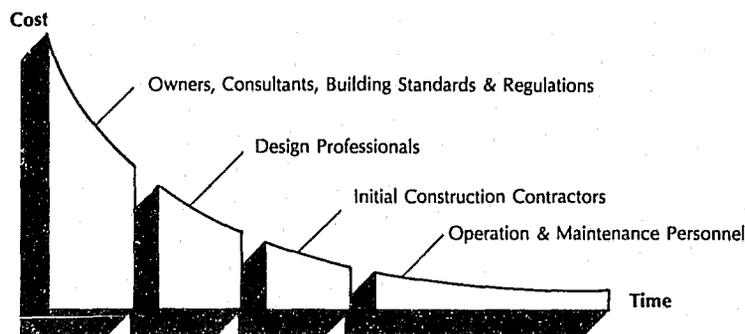
Adapted from American Institute of Architects, 1977.

The proper timing of the life cycle cost analysis is extremely important to its effective use. It may be used initially to determine the feasibility of corrections solutions other than construction, such as more efficient management or organization of space. If some type of building modification is necessary, the analysis may be used again to assess such options as building, renovating or renting space.

When a decision is made to build a new jail, the life cycle cost analysis deals with issues such as the level of amenities desired, project timing, site constraints, configuration (for example, location of control or surveillance points), building systems (structural, mechanical and electrical), and the exterior building enclosure.

It is important to note that as the project progresses, each succeeding set of decisions tends to have a smaller impact upon total project cost. The decisions of major consequence are made in the early stages of the project and, consequently, should receive the most attention. This progressive reduction in impact can be seen in Figure 1.4-5.

Figure 1.4-5: Decision Makers' Influence on Total Facility Costs



Adapted from *Value Engineering: A GSA Handbook* published by GSA, Wash. D.C., Jan. 12, 1972, pg. 1-8. Source *AIA Life Cycle Cost Analysis—A Guide for Architects*.

Calculating Life Cycle Costs

Because life cycle costs depend upon a large number of factors, it is not possible to give any "rule of thumb" figures. In fact, it is not prudent to think in terms of "standard" life cycle costs. Rather, life cycle cost analysis provides a technique for comparing alternatives or assessing the feasibility of an option.

Different cost categories may be used in the analysis depending upon its objective. They may include the full range of first costs and operating costs (or a more narrow range) of a project considered over its life cycle. The following categories may be considered.

- Initial capital investment costs.
- Financing costs.
- Maintenance and operations costs.
- Repair and replacement costs.
- Alteration and improvement costs.
- Personnel costs.
- Salvage costs.

Some of these are "one-time," non-recurring costs and others are "on-going" or recurring costs. Those that recur should be examined in more detail to determine what factors may cause a change in the cost. (This is discussed in Chapter 4.5 on cost analysis.) The result of the analysis is a measure of life cycle costs in "equivalent uniform annual cost"—a way of converting current and future dollar values into a uniform annual cost for each year in the life cycle.

Summary and Conclusion

It is easy to see that the costs of building and operating correctional facilities are quite high. While first costs and operating costs can be controlled independently, they are highly interdependent. That is, when first costs are trimmed, operating costs often are higher. Sometimes, spending more on first costs can effect considerable savings over the long run, thus making cycle costing a valuable tool in the decision-making process. It allows us to study the effects of diminished first costs on the longer term consequence of operating costs. By using this technique, we can make better decisions about the short and long-term economic consequences of project development.

References

American Institute of Architects. *Life Cycle Cost Analysis: A Guide for Architects*, Washington, D.C., 1977. A guide to the basic components, techniques, and uses of life cycle costing. Includes remarks from the Harvard Graduate School of Design 1975 conference, "Long Term Economy: The Real Cost of Buildings."

Center for Justice Planning. *Costs of a New County Jail: Pay Now and Pay Later*, Champaign, IL: Center for Justice Planning, 1980. Discusses construction and operating costs determined in a 1980 survey of 34 recently built jail facilities throughout the U.S.

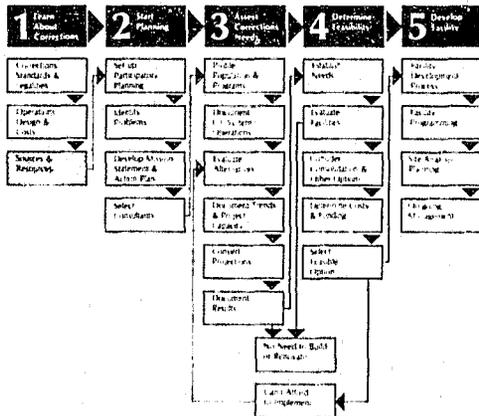
Dell'isola, Alphonse and Kirk, Steven. *Life Cycle Costing for Design Professionals*, New York: McGraw-Hill, 1981.

Department of Justice, Law Enforcement Assistance Administration, National Criminal Justice Information and Statistics Service. *Expenditures and Employment Data for the Criminal Justice System*, Washington, D.C., 1978.

Haviland, David S. **Life Cycle Cost Analysis 2: Using it in Practice**, Washington, D.C.: American Institute of Architects, 1978. Contains numerous practical examples of how to actually carry out life cycle analysis.

Kirk, Stephen J. "Life Cycle Costing: Increasing Popular Route to Design Value," **Architectural Record**, December, 1979, pp. 63-67.

1.5 Sources and Resources: Where to Find Information and Help



Who Will Use This Chapter

Primary User
Project Manager

Secondary Users
Corrections staff
Task forces
Advisory Committee

Introduction

There are many sources of information and help for individuals and agencies involved in studying or planning for local corrections. Much of this help is free to the user and offered to improve the quality of our justice system and jails. While the help is available, you need to know **where to find it** and **who to ask for it**.

The purpose of this chapter is to provide you with an overview of the kinds of resources that are available. Many more specific references are listed at the end of each chapter or handbook to which they apply. Two main kinds of resources are listed here:

- Agencies which offer **help** in the form of advice, counseling or technical assistance.
- Sources of printed or other **information**.

Agencies Offering Technical Assistance

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

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

The State Board of Corrections, which has provided you with these handbooks, is—and hopes to be seen as—a major resource to your county in almost all areas of the needs assessment process. The Board is already quite familiar with your jail as a result of its bi-annual inspections. (The resulting reports prepared by the jail inspector are also a valuable source of information about the performance and problems of your jail.)

While the handbooks are intended to be used on your own, the Board can supply you with help you may need in understanding the steps involved in the correctional

planning process including technical questions about data gathering and analysis. The Board can provide examples of how other counties have handled problems similar to those your county may face and can usually recommend contacts who would be willing to share their experience with you.

The Board of Corrections will probably be responsible for the disbursement of any state or federal funds that may be available to counties for jail construction. Because of this role, it would be helpful to coordinate your needs assessment and planning efforts with the Board if there is a chance that your county may wish to apply for these funds.

If you have difficulty contacting any of the sources listed below, the Board can usually provide up-to-date addresses or telephone numbers. In addition, the Board maintains a library which contains many of the references cited throughout the handbooks.

NIC Jail Center

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

The National Institute of Corrections Jail Center ("NIC") in Boulder, Colorado is a branch of the federal Bureau of Prisons (Department of Justice) whose mission is to provide training and technical assistance to corrections systems around the country.

NIC will respond to specific requests for assistance and may provide small grants for certain purposes. (Requests must come from a county supervisor or jail official.) In addition, NIC offers several training programs that may help your county considerably in its planning effort. The most notable is called "Planning of New Institutions"—or "PONI," for short. Much of the material contained in these handbooks was originally developed for the PONI program.

PONI: PONI consists of two phases. The first phase is an intensive, two-day meeting in your community with many of the people who would comprise your advisory committee. An overview of jail planning issues is combined with initially identifying—and making a commitment to solving—some of the problems with your jail. The second phase, often held in Boulder, involves a week-long, working session for three to five county representatives who can learn in greater depth how to follow through on the facility planning and development process. The Board of Corrections may offer training programs modeled on PONI for California counties.

Other NIC Programs: Other training programs that may be of interest include "County and Corrections," which focuses on the county's role in providing correctional services; "Management Training," which covers techniques of achieving effective jail organizations, and "Legal Issues," which explores in much greater depth the topics dealt with in Chapter 1.2.

Committee on Accreditation for Corrections

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

The American Correctional Association's Committee on Accreditation for Corrections, in addition to promulgating standards for local corrections, offers an accreditation system for those jails or other institutions that wish to document their success in meeting standards.

National Sheriffs' Association

1250 Connecticut Avenue, N.W.
Washington, D.C. 20036
Telephone: (202) 872-0422

The National Sheriffs' Association audit system can help you evaluate your jail facility in terms of its operation and design. Compliance with ACA standards is stressed and methods for organizing your effort to solve problems are suggested. If technical assistance is requested, practical suggestions for improvement will be offered.

Sources of Information



Pretrial Services Resource Center

918 "F" Street, N.W.
Suite 500
Washington, D.C. 20004
Telephone: (202) 638-3080

The Pretrial Services Resource Center, funded by the Law Enforcement Assistance Administration (LEAA), provides a number of services that could be useful to your county as it examines its own pretrial practices and considers alternatives to incarceration (Handbook Two activities). Services include references, publications, technical assistance and training.

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

National Institute of Corrections/National Information Center

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

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

National Criminal Justice Reference Service (NCJRS)

User Services
Box 6000
Rockville, MD 20850
Telephone: (301) 251-5500

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

National Institute of Law Enforcement and Criminal Justice

U.S. Department of Justice
Law Enforcement Assistance Administration
Washington, D.C. 20531
Telephone: (202) 633-2000

The National Institute of Law Enforcement and Criminal Justice publishes reports of studies that it has sponsored, many of which concern corrections and criminal justice.

American Correctional Association (ACA)

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

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

National Sheriffs' Association

1250 Connecticut Avenue, N.W.
Washington, D.C. 20036
Telephone: (202) 872-0422

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

American Bar Association (ABA)

1800 M Street
Washington, D.C. 20036
Telephone: (202) 331-2295

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

National Association of Counties

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

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

National Council on Crime and Delinquency (NCCD)

Continental Plaza
411 Hackensack Avenue
Hackensack, NJ 07601
Telephone: (201) 488-0400

NCCD publishes pamphlets and reports emphasizing the high cost of building and operating jails and prisons and stressing the use of alternatives to incarceration.

National Fire Protection Association (NFPA)

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

The NFPA publishes the **Life Safety Code**, covering all aspects of building design for fire safety. It includes a special section on penal institutions. NFPA also provides information and training on fire safety for corrections.

Unitarian Universalist Service Committee

National Moratorium on Prison Construction
California branch:
1251 Second Avenue
San Francisco, CA 94122
Telephone: (415) 731-3300

As the name suggests, this group opposes the use of incarceration (and therefore the construction of jails) for most detainees and prisoners. It publishes pamphlets which argue this case and encourage the maximum use of alternatives.

American Institute of Architects (AIA)

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

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

California Criminal Justice Planning Directors Association

3640 13th Street
Riverside, CA 92501
Telephone: (714) 787-2224

The Association can help direct you to the criminal justice planner for your region.

Bureau of Criminal Statistics

California Department of Justice
77 Cadillac Drive
P.O. Box 13427
Sacramento, CA 95813
Telephone: (916) 323-7375

The Bureau produces an annual "Criminal Justice Profile" for California and, on request, will provide a county with more detailed information about arrests and dispositions of felony cases.

Judicial Planning Committee

California Judicial Council
601 McAllister Street
San Francisco, CA 94102
Telephone: (415) 557-3203

Provides an annual report on court activities.

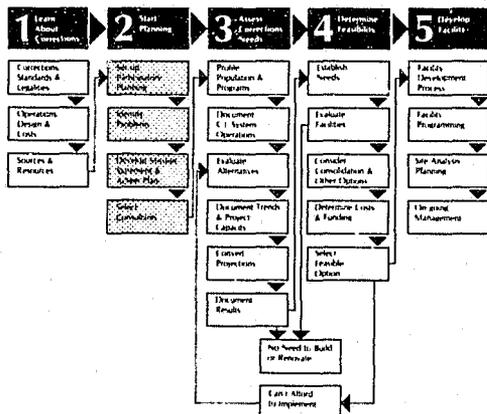
American Justice Institute (AJI)

1007 Seventh Street
Sacramento, CA 95814
Telephone: (916) 444-3096

AJI has conducted research and development on a wide range of topics of interest to local corrections. Of particular note are its reports on projects concerning jail overcrowding, alternatives to incarceration, and classification.

Finally, an invaluable source of information and help for your county can be found in California's other 57 counties. Most corrections systems and county governments will be happy to share their experiences with you. This help may range from hints on organizing your planning effort to specific suggestions on design features or materials to use or avoid. The Board of Corrections may be able to suggest a county or individual who can help you with your particular needs.

2.0 Introduction to Handbook Two



Handbook Two shows your county how to carry out the first steps in the corrections planning process. It includes the following five steps:

- The first step in corrections planning: **form and use an advisory committee** (Chapter 2.1).
- The second step: **identify corrections system and facility problems** (Chapter 2.2).
- The third step: **set goals for corrections and develop a mission statement** (Chapter 2.3).
- The fourth step: **develop "action plans"** to solve problems and achieve goals (Chapter 2.4).
- The fifth step: **select a planning consultant**, if you need one (Chapter 2.5).

The planning process begins when your county recognizes that it faces a corrections problem and begins mobilizing an organization to deal with it. Primary responsibility lies with the **sheriff** and/or **corrections administrators** to recognize problems with jail populations, programs or facilities and to inform the **Board of Supervisors**. The supervisors, in turn, will organize the **Planning Team** and **Advisory Committee** and establish their responsibilities. The chapter on participatory planning (2.1) will explain how to organize these committees and help them carry out their first tasks.

The second step is for the Planning Team and Advisory Committee to identify and carefully define the problems faced by the corrections system (Chapter 2.2). Only in this way can the planning process yield solutions to these problems.

In the third step, the Advisory Committee establishes the community's goals for its detention and corrections functions and records these in a "mission statement" (Chapter 2.3). These goals, which need to be revised periodically, give direction to the planning process and guide decisions made along the way.

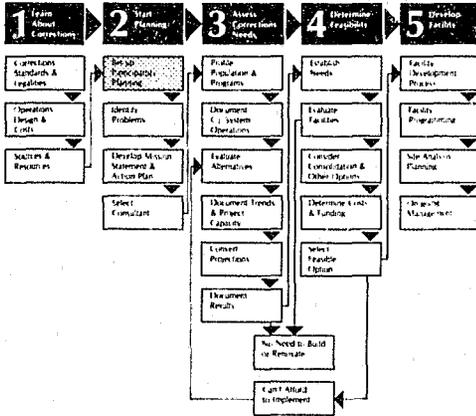
The fourth step involves the Planning Team and Advisory Committee which organize specific "action plans" to solve problems and achieve goals (Chapter 2.4). Action plans develop timetables and assign responsibilities for achieving the tasks which need to be carried out in order to find solutions. Action plans will be reformulated as necessary throughout the planning process.

The final step covered in this handbook is to consider the need for a planning consultant, and, if needed, to select one and contract for services (Chapter 2.5). While

planning consultants are more likely to be considered here, the chapter also explains how to select other types, such as architects, that may be needed later in the project.

Each of the subsequent chapters first introduces the general concepts needed to understand why the step is necessary and then shows how to achieve each part of it.

2.1 Step 1: Set Up a Participatory Planning Structure



Who Will Use This Chapter

Primary Users

- Board of Supervisors
- Advisory Committee
- Project Manager
- Planning Team
- Task Forces

Introduction to Step One

Step One in the planning process is to organize the people and lines of communication which will be used for your correctional planning project. This chapter explains the reasons for and processes involved in participatory planning. While building a “case” for participation, it also shows how to organize and set up a participatory planning structure for this project and, more importantly, how to make it work. Although a general model of participation is presented here, we fully expect that your county will modify that model to fit your particular needs and circumstances.

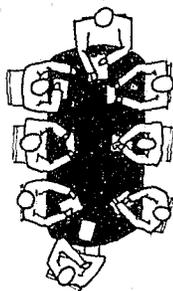
Participatory planning is considered essential for projects of the size and importance of most jail renovation or construction. Such involvement does not necessarily imply smooth sailing through a participatory process. Indeed, it is quite likely that divergent points of view will crop up from time to time and may be troublesome to resolve.

While some communities feel that participation adds precious time to the planning process, many who have tried to proceed without participation have had the project backfire in one way or another—by failing to pass a bond issue or by building a facility that did not meet community expectations or legal mandates. Participation is well worth the time it takes.

Participation Defined

Participation, in the context of these handbooks, refers to activities organized and carried out by those not formally empowered to make decisions, yet whose contributions influence the decisions of those with authority. This definition excludes situations in which government officials formulate policy based on their own beliefs and values without the benefit of alternative ideas, beliefs and values from organized interest groups and or influential community leaders.

Thus, participatory planning refers to interaction between organized citizen groups and governmental decision makers. The purpose of this interaction is to improve the



Importance of Participation

quality of the planning product and social policies adopted by those making and carrying out decisions.

The quality of the final plan is enriched by including in the planning process a broad and often diverse spectrum of vested interest groups from the community. Social science literature consistently finds that group decisions are superior to individual decisions. In matters that have profound and lasting socio-economic implications for the community such as planning new jail facilities or programs, it logically follows that scope, depth and diversity of community participation will contribute to the quality of the planning process, the planning product, and ultimately the formulation of social policy. Participatory planning involves citizens by giving them a voice in decisions that affect the community at large and an opportunity to debate and resolve divergent points of view.

Participation in the planning process is important for three reasons.

First, citizen participation is a valued goal in our democratic form of government; we expect individuals and interest groups to have some influence over social policies which affect them.

Second, participatory planning provides a practical and viable opportunity to educate the community at large regarding the constitutional, legal and social importance of allocating scarce resources to the construction and operation of a jail facility. Throughout this process, participatory planning integrates a broad base of beliefs, values and information. Ultimately, this combination leads to superior planning and decision making.

Third, widespread participation in the planning process increases the likelihood that decisions will be effectively carried out. People tend to "own" and support that which they help create. This implies an organized strategy for disseminating information about the problems faced in planning as well as the progress being made. An informed and involved citizenry is likely to support available means of publicly financing the construction and operation of a new jail facility (see the section on selling the project in Chapter 4.6).

Organization Climate and Conditions for Participatory Planning

The technical complexity of corrections planning, construction and operation would seem to imply that professional planners, architects, engineers, penologists and other specialists should carry out the planning function. Why then should non-specialists representing community interest groups be invited to participate in this complex enterprise?

American history testifies to the fact that crucial matters of social responsibility can be decided by non-specialists. In the administration of justice, for example, the innocence or guilt of a person is determined by a jury of twelve individuals considered peers of the accused. Similarly, the planning of a jail is a crucial matter of social responsibility, creating important roles for non-specialist involvement.

By and large, however, government fails to involve citizens in planning programs of social consequence. Instead, when it is necessary to hold public hearings, officials tend to defend previous decisions. If rejected, the backlash can mean serious political consequences for those involved and financial hardship for programs that are little understood by the public.

Participatory planning provides an alternative leadership approach particularly suited to "unpopular" projects such as jail construction. This alternative recognizes the benefits that can accrue from taking into account many points of view, of responding flexibly to new ideas, and sharing planning and decision-making power with a large number of community representatives.

Participation in Various Levels of Planning

Participation serves different purposes and functions at various "levels" of planning. Three levels are considered here: "normative" or long range planning, "strategic" or mid-range planning, and "operations" or more immediate planning.

Normative or long-range planning is concerned with **what ought to be** and **why**. Jail planning falls into this framework because the planning process is long-range in nature and involves questions concerning values. Those involved undertake commitments of consequence for perhaps 30 years. The social responsibility of such an under-

Inputs	<ul style="list-style-type: none"> • Analysis of Mission & Purpose • Analysis of Strengths & Weaknesses • Analysis of Crime Rates & Trends • Forecasts of Social, Demographic, Technical & Legislative Trends
---------------	---

Normative Planning

Products	<ul style="list-style-type: none"> • Objectives & Priorities • Identification of Problem Areas & Issues • Policies & Guides to Strategic Planning
-----------------	--

Inputs	<ul style="list-style-type: none"> • Input From Normative Planning • Situational Stimuli (Court Orders, Riots, Fires, Escapes, Etc.) • Problem Analysis • Alternatives: Definition & Evaluation
---------------	---

Strategic Planning

Products	<ul style="list-style-type: none"> • Programs (Initiation) • Contingency Plans • Guidelines to Operational Planning
-----------------	--

Inputs	<ul style="list-style-type: none"> • Strategic and Program Guidelines • Operational Consultants • Operational Information Systems
---------------	--

Operations Planning

Products	<ul style="list-style-type: none"> • Project Schedules • Budget and Financial Plans • Operating Procedures
-----------------	---

Conceptual Model for Participatory Planning

taking quite clearly suggests the need for wide community involvement along with the technical expertise of qualified specialists and the experience of professionals.

Strategic or middle range planning is concerned with **what we can do** and **how** to do it for the next three to five years. Again, because of the social responsibility factor, what we can do is an issue decided by widespread community participation. The "how" question, on the other hand, requires considerable input from specialists.

Operations planning, on the other hand, is concerned with **what we will do** and **when**. Issues and concerns of operations planning, by their increasingly technical nature, call mainly for the input of professionals and specialists. Because line staff is conversant with the daily operations of the jail, it is important to include their practical input into operations planning.

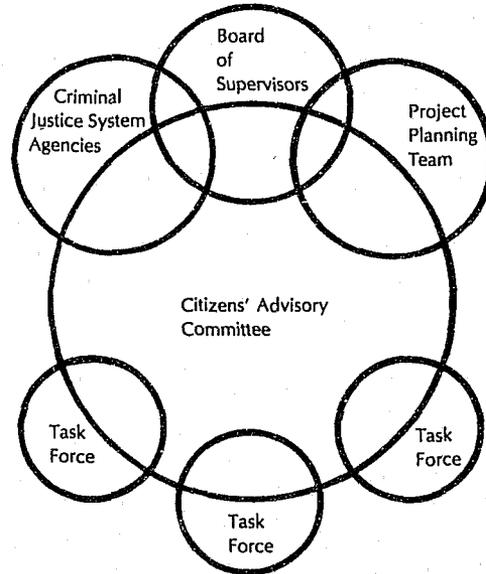
In summary, successful corrections planning requires a judicious mix of non-specialists and specialists in a dynamic participatory process.

An important, basic principle of planning holds that the planning structure should follow its desired function. Thus, understanding the functions of normative, strategic and operations planning helps provide a basis for considering the appropriate structure for each of these planning levels.

Planning associated with establishing major policy directions (perhaps to include facility construction) has been defined above as a normative planning activity. Thus, its planning structure ideally requires widespread community involvement. However, the definition of "widespread involvement" will vary from one county to another. Consequently, there is no single model of participation that is universally valid.

To provide you with a frame of reference, we present below an "ideal" model for participatory planning. Subsequent sections offer suggestions regarding membership considerations for various planning groups along with their respective roles and responsibilities.

Figure 2.1-1: Participatory Planning Model



Roles, Responsibilities, and Membership of Planning Groups

Board of Supervisors



By definition, members of the Board of Supervisors are elected officials representing the citizens of the county. The Board has the responsibility and authority for evaluating and approving staff recommendations regarding the corrections planning structure, roles and responsibilities as your county will interpret them from the ideal planning model. The Board makes the final selection of members of the Planning Team and the Advisory Committee.

Usually these decisions are made in consultation with the sheriff or jail administrator, who will be responsible for operating new programs or facilities. Because of familiarity with criminal justice system agencies, the sheriff also helps the Board select appropriate representation to the Planning Team and Advisory Committee from law enforcement, the courts, and corrections agencies. Membership and responsibilities of these groups will vary from county to county depending upon the following factors:

- Personalities on the Board of Supervisors.
- The status and influence of the sheriff.
- The confidence which the supervisors and the sheriff have in county administrative staff.

The Board will also define the roles and responsibilities of the Planning Team and will monitor its activities and progress. (The Advisory Committee and Planning Team can set up certain task forces on their own, while others should be approved by the Board.) Any planning decisions that have impact on county laws, fiscal commitments or operations policies must ultimately be approved by the Board of Supervisors. Thus, as the planning process unfolds, the efforts of the Planning Team, the Advisory Committee and task forces are presented to the Board of Supervisors for official approval.

Sheriff and Corrections Staff

The sheriff (or director of corrections) has direct responsibility for the jail and, thus, must be intimately involved in corrections planning.

While participating in several planning groups, the sheriff also has specific responsibilities. He must take an active role in defining policy direction for both law enforcement and correctional functions. He must give access to the jail's facility and records ensuring that staff cooperates fully in data collection phases.

As physical planning begins, a task force of corrections staff and administrators should participate in defining operations and space needs as well as in reviewing architectural plans.

Project Manager

The sheriff, as head of the primary user agency, should approve each major planning product.

The project manager is the pivot point for the entire planning project. He or she is responsible for planning, organizing, scheduling and controlling all aspects of the work on the county's behalf. Specific duties, which depend on the phase of the project, are listed below.

Planning Phase

- Orient the Planning Team and Advisory Committee to the project.
- Coordinate the consultant selection process.
- Provide liaison between the Planning Team and Advisory Committee, the funding authority, criminal justice agencies and the consultant.
- Supervise all in-house data collection and analysis activities.
- Assist in the development of the corrections master plan and the functional program for the new facility.
- Oversee the feasibility analysis.
- Monitor the project timetable.

Design Phase

- Liaison between the Planning Team and Advisory Committee, the local funding authority and the architect.
- Coordinate user agency review in the preparation of the design and construction documents, bidding, and selection of the construction contractor.
- Supervise the development of the fixed and moveable equipment lists.
- Monitor the project timetable.

Construction Phase

- Liaison between the Planning Team and Advisory Committee, the local funding authority, and the architect and contractor.
- Conduct on-site inspections of construction activities to determine conformance of the work, materials, and equipment with the construction documents (may also have clerk of the works).
- Assist the purchasing agent in the acquisition of fixed and moveable equipment.
- Coordinate all local, state, and federal agency inspections of the project. Obtain all necessary certifications and licenses.
- Obtain and maintain all project records, architectural and "as-built" drawings, and equipment user manuals.
- Assist in developing written documentation of all change-orders.
- Monitor the project timetable.
- Review and approve all applications for payment submitted by the contractor (after review by the architect).
- Represent the facility owners in the identification of construction deficiencies ("punch list"). Review and approve the correction of all deficiencies.
- Orient and serve as a resource to all individuals involved in the transition process.

Planning Team



The size of the Planning Team will depend on the size and complexity of the planning problem, but should be small enough to be workable—generally about six members. The Planning Team may be smaller if consultants are relied upon heavily. The Planning Team members may be drawn from the following areas of expertise:

- Corrections planners or other staff.
- County and, if appropriate, city planners and administrative analysts.
- Public works personnel.
- Fiscal managers.
- Technically qualified community volunteers (corporate planners from private industry or loan executives or retired professional planners.)

The project manager is the leader of the Planning Team, with direct responsibility for coordination and communication as indicated in the above job description.

The Planning Team is responsible for carrying out or overseeing the needs assessment and feasibility study tasks. Policy matters and findings are submitted to the Advisory Committee. Ultimately, the Team is responsible to the Board of Supervisors, keeps it informed as the planning process unfolds, and seeks Board approval at each major planning step. Thus, the planning staff has two equally important responsibilities:

- The coordination of people, and
- The coordination of tasks.

The following skills will help the Planning Team and particularly the project manager carry out their tasks in coordination with the other participants:

- Technically competent in planning.
- Task-oriented and willing to take charge.
- Can manage people, time and resources.
- Innovative, creative.
- Skillful in working with groups (Board of Supervisors, Community Advisory Committee, task forces, etc.)
- Skillful at conflict management.
- Enthusiastic/energetic pace setters.
- Politically astute.

If the county does not have qualified planning staff available, the Board of Supervisors may choose to contract out certain tasks to jail planning consultants. The project manager, however, should certainly be a county staff member since continuity over the planning cycle is critical to the coordination and success of the project. If consultants are hired, they will serve as staff to the project manager.

Advisory Committee



The Advisory Committee is essential to any participatory planning effort. In general terms, its role includes:

- Receiving reports prepared by the Planning Team.
- Studying and evaluating recommendations and their factual background.
- Studying, formulating and recommending policy.

Thus, the Advisory Committee provides input to the planning process and provides evaluation and feedback to the Planning Team, and endorses recommendations for Board of Supervisors approval.

If carefully selected, committee members can greatly contribute to the planning process and help to ensure implementation of the product—the corrections plan. Members of the Advisory Committee should be chosen for their willingness to become involved in and work on the project. Representatives who are in a position to speak for the following groups or agencies **should be included** on the Advisory Committee:

- Board of Supervisors
- Sheriff and corrections staff
- Judiciary (presiding judges of the municipal and superior courts)
- District attorney
- Public defender
- County administration
- Public works staff or county architect
- Probation
- Municipal law enforcement
- Alcohol, other substance abuse and mental health programs
- The public (who may be represented by individuals listed below)

In addition, representatives of the following groups **may be considered for inclusion**:

- Elected officials from city governments
- County grand jury

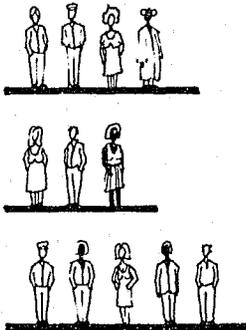
- County Bar Association
- League of Women Voters
- Church groups (Ministerial Association or interfaith council)
- Community service clubs or civic organizations
- Minority or public interest groups
- Inmate support groups such as Friends Outside
- American Civil Liberties Union or other prisoner rights advocates
- Media
- Other community groups whose support is important to the jail construction plan

The Advisory Committee should consist of about 15 to 20 persons. To maintain a manageable number yet provide for widespread community representation, attempt to identify individuals who occupy prominent roles in more than one community interest group. An existing committee, such as an AB 90 committee (mandated by Assembly Bill 90) or criminal justice advisory committee could form the basis for the Advisory Committee. Larger counties may require broader membership. If this is the case, organize sub-groups to perform specific tasks.

Once established, both the Planning Team and the Advisory Committee will follow the steps defined in this and subsequent handbooks. First tasks involve reviewing and discussing the issues defined in earlier chapters. These groups then identify correctional system and facility problems and develop goals and a mission statement for county corrections. Later tasks involve data collection and analysis and evaluation of options for facility development.

A corrections needs assessment is a major undertaking. To help the Planning Team and Advisory Committee collect and process information, certain tasks are assigned to "task forces."

Task Forces



Task forces are small groups of about three to five persons who receive specific assignments and a timetable for reporting back to the Planning Team and Advisory Committee. Any number of task forces can be organized over the life of the planning process and several task forces may work simultaneously. Task forces may include community representatives or specialists who are not formal members of the Planning Team or Advisory Committee.

Task force assignments may include:

- Gathering and analyzing data.
- Studying alternatives to incarceration.
- Analyzing inmate service needs.
- Evaluating existing facilities.
- Assessing facility consolidation.
- Cost or funding analysis.
- Site selection.
- Selection of a consultant/architect.
- Facility programming and design review.

Task forces can address some of these issues without staff support. However, as a general principle, it is recommended that professional staff from the Planning Team be assigned to each task force to help to schedule meetings, gather pertinent information, and prepare task force reports. The project manager monitors the operations of each task force, either as a working or ex-officio member.

Each task force is organized to perform a specific task within a specified time frame. Task forces report their findings and recommendations to the Advisory Committee. After evaluation, clarification and necessary revisions, the Advisory Committee forwards task force reports to the Board of Supervisors.

The Media

The media can be an invaluable ally in corrections planning—or the undoing of the entire project. An independent force, it can nonetheless spread the word about problems facing corrections, the jail and the planning process. The only way to build

community support for the project is to keep the people informed, and the media can do this best. A continuous effort should be made to find human interest value in the jail planning project.

Although it is desirable to include representatives of the media on the Advisory Committee (at least as observers), this is not sufficient community relations. The project manager should use the sheriff and members of the Board of Supervisors and Advisory Committee to present the project to the media resources available in your community. A task force or sub-committee might serve as the effective link.

Participatory Role Relationships

The participation model presented in Figure 2.1-1 provides for maximum communication and interaction among the Board of Supervisors, Planning Team, Advisory Committee and task forces. Note the overlapping areas on the diagram which identify situations where individuals are members of at least two of the formal groups.

For example, the Planning Team acts as staff to the Board of Supervisors, the Advisory Committee and the task forces. In addition, one or more members of the Board of Supervisors also serve on the Advisory Committee. Their overlapping memberships or "linking pins" facilitate both formal and informal communication among what might otherwise be separate units. The linking pin concept provides the vehicle for open exchange of ideas in planning.

To extend the sphere of involvement even further, open all planning meetings to the public and make minutes of meetings available to anyone interested in reading them. Each person involved in the corrections planning process will probably have informal or formal associations with a wide range of community interest groups. It is possible to provide additional opportunities for community involvement by arranging for participants at all levels to keep their respective community interest groups systematically informed of problems being confronted and progress being made in the planning process.

Participation: An Effective Approach for Correctional Planning

To summarize the importance of participatory planning for corrections, a comparison is made on the following table between effective and ineffective planning experiences. Effective correctional planning refers to projects that experienced a minimum number of problems throughout the needs assessment process, architectural design and construction. Moreover, these projects resulted in jails that met legal imperatives and national and local standards. Ineffective corrections projects experienced many problems throughout the life cycle of the planning and construction phases and were sometimes rejected by the community. The ones that reached construction sometimes conflicted with legal imperatives or national and local standards from the day they opened.

Figure 2.1-2: Effective Corrections Planning

Aspect of Planning	Effective Corrections Planning	Ineffective Corrections Planning
Planning Structure	Widespread community involvement	Primarily professionals and politicians
Planning Method	Needs assessment and planning highly structured	Ad hoc planning, little formal structure
Planning Meetings	Scheduled—open to public, minutes available, media invited	Unscheduled—no notice to public or media
Leadership	Stable throughout life of project	Multiple changes throughout life of project
Conflict	Openly addressed, resolved or defused	Avoided at all costs
Project Control Over Needs Assessment, Feasibility Study and Design	Highly controlled by Board of Supervisors, corrections, Advisory Committee and Planning Team	Largely controlled by planners or architect (by default)
Approval Authorities	Endorsed by Advisory Committee, Planning Team, and Board of Supervisors on a step by step basis	By Board of Supervisors at the end of the planning process with input limited to professionals

Examples of effective community-based participatory planning for corrections are:

Alachua County, Gainesville, Florida
Boulder County, Boulder, Colorado
Contra Costa County, Martinez, California
Jackson County, Kansas City, Missouri
Kane County, (near Chicago) Illinois
Benton County, Corvallis, Oregon,
Linn County, Albany, Oregon

Contra Costa County, California is an example of a county that initially spent a large amount of money and experienced many problems, at least in part, because it failed to provide for community involvement. The county scrapped its first set of architectural plans, returned to basic planning, and provided for widespread community involvement to generate the support needed to build its present facility.

The lesson to be learned from these experiences is that community-based participatory planning may not take you precisely where you think you want to go, but without it, you may not be going anywhere at all.

References

Burns, Jim. **Connections: Ways to Discover and Realize Community Potentials**, Stroudsburg, PA: Hutchinson Ross, 1979. While oriented toward urban design projects, it provides valuable methods for any community based planning.

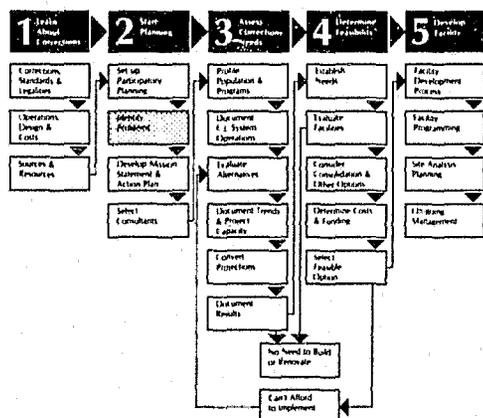
Glass, James. "Citizen Participation in Planning: The Relationship Between Objectives and Techniques," **American Planning Association Journal**, April, 1979. Reviews a number of participatory techniques in terms of when they are applicable.

Likert, Rensis. **New Patterns of Management**, New York, NY: McGraw Hill, 1966. Reports on ten years of research on the impact of involving employees in setting organization goals and the means for achieving them. This participation led to acceptance of the goals and commitment to insuring their achievement.

McGregor, Douglas. **The Professional Manager**, New York, NY: McGraw Hill, 1960. Contrasts the relative merits of autocratic versus participative management styles and concludes that the contemporary organization is made up of creative, sophisticated personnel wanting to have a voice in planning the direction and work effort of their organization.

Sanoff, Henry. **Designing with Community Participation**, Stroudsburg, PA: Hutchinson Ross, 1978. Stresses the need for sharing information and expertise between designers and those affected by environmental change.

2.2 Step 2: Identify Correctional System Problems



Who Will Use This Chapter

Primary Users

Planning Team
Advisory Committee
Task Forces

Problem Identification: A Prerequisite to Achieving Goals

This chapter provides techniques for identifying corrections system and facility problems and developing solutions to these problems in an organized and democratic manner. However trite it may sound, you must clearly **identify** problems before they can be **solved**. This is no easy task because of the almost universal tendency for people to think in terms of solutions rather than specifying the scope and nature of the problem. However, beginning with a solution statement may lock you into that solution.

For example, if you ask "What is the major problem confronting the administration of your jail?" you will likely hear, "We need more recreation, a library, substance abuse counseling and leisure time activities." When you think about it, this can be recognized as a solution statement.

The problem statement might sound more like the following: "Enforced idleness is a problem in our jail. Inmates spend 85 percent of their waking hours locked in their cells with little or nothing of a constructive nature to occupy their time. Out of anger, hostility and sheer boredom, they resort to their own leisure time devices. They harass the corrections officers, create unbearable noise, and engage in a host of other unpleasant and counter-productive activities. Last year our malicious damage costs were up 22 percent over the previous year. We experienced 42 physical confrontations between inmates (up 10 percent over the previous year), and our inmate escape statistics were up six percent over the previous year with a total of 53 escapees."

Another example of a solution rather than a problem might be, "We need tighter key control." Whenever a problem statement begins with "We need . . ." you can expect a solution statement to follow rather than a problem statement. With respect to key control, the problem might sound something like the following: "One of our master keys has been missing for the past two months. We all know what would happen if it got into the hands of the inmate population. In addition, upon reading shift reports over the past six months, on 12 occasions corrections officers reported that they couldn't get access to needed supplies and equipment because of missing keys." From this problem

The Nominal Group Process

NGP

statement, a number of alternatives could be generated to solve the problem, including tighter key control.

Having distinguished problem statements from solution statements, corrections planning requires a systematic and practical means of identifying the wide range of problems confronting those involved in the process. Once the problems surface and are clarified, the planning process can move to the formulation of responsive, realistic, and appropriate action plans. The Nominal Group Process (NGP) is one efficient and effective method for this purpose. NGP is designed to do the following:

- Obtain problem definitions from groups of individuals with common concerns yet diverse backgrounds and frames of reference.
- Involve every individual in the group to a maximum degree. Socially shy or retiring members of the group easily and systematically become involved in the process. Often the contemplative, quiet members of a group have some of the most profound contributions to make. Planning groups can ill afford to lose this talent.
- Capture individual perceptions of problems without being influenced by superiors or community leaders who occupy positions of power and authority in the community. Everyone's contribution is worthwhile and relevant. Members of the group may take an apparently trivial idea and develop it into a significant problem statement.
- Enable the group to establish a common ranking of problem statements so that individual members are not influenced by superiors or powerful community leaders.
- Enhance creativity and interest in identifying problems including those which pertain to corrections planning.

NGP is easy to understand and use without extensive training. Because the process is relatively easy to learn, participants involved in jail planning projects can use it immediately. In addition, the method has application for problem identification in a wide variety of other formal and informal organizations.

To initiate NGP, a group facilitator (for example, a member of the planning team who has studied NGP) divides the participants at an Advisory Committee planning meeting into small groups of five to eight persons and asks individuals to move to pre-arranged small tables. The group leader then distributes to each member a pre-printed "Nominal Group Problem Identification Form," which includes questions pertaining to substantive areas of specific concern to the jail planning process. For example, the form may contain one of the following questions:

"As planning proceeds, what problems will we need to address regarding the use of alternatives to incarceration?"

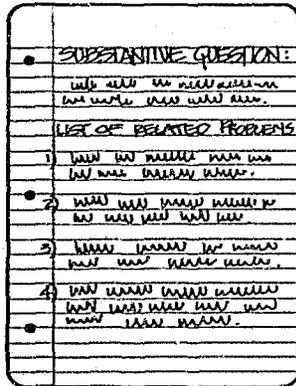
"What problems will we need to address regarding programs and services in our new jail?"

The group facilitator illustrates for group members how to write problems rather than solution statements. The examples used above (or others) can be used for illustration purposes. Alternatively, if the planning group is concerned with exploring potential solutions, they are asked to suggest ideas available to solve a specified problem. (See Chapter 2.4 on Problem Solving).

Carefully follow the steps outlined below during problem identification sessions.

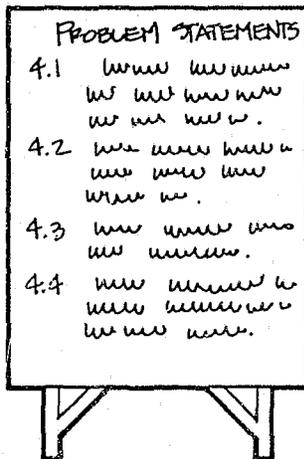
Task 1. Silent Generation of Problem Statements

The facilitator and the group read the substantive question on the Nominal Group Problem Identification Form, providing clarification if needed. The facilitator then asks each group member to privately list problems that relate to the substantive question.



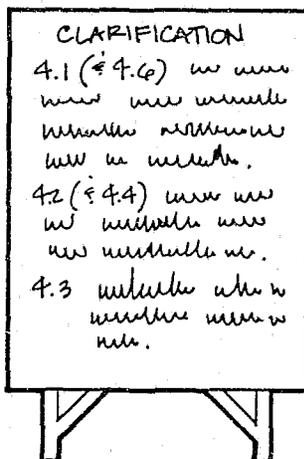
Task 2. Problem Statements Recorded on Flip Chart Using Round Robin Approach

The facilitator writes on the flip chart or newsprint one problem statement at a time from each group member, using a round robin approach. Commenting or editing is not permitted at this point. For ease of reference, each problem statement is given a code number.

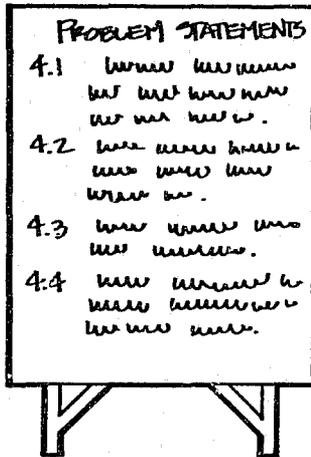


Task 3. Clarification of Problem Statements

The facilitator and the group clarify each problem statement for common understanding. This is important because some people tend to think in shorthand, while others may not clearly understand the implication of a problem statement or the meaning behind it. At this juncture in the NCP, group members may merge problem statements that seem essentially the same. In addition, if it has not occurred spontaneously, the facilitator asks group members if the discussion and clarification process has stimulated further problem statements. If so, these added problem statements are written on the flip chart and discussed for clarification purposes.



Task 4. Ranking Problem Statements: Setting Priorities



The facilitator gives each group member a 3x5 card and asks each to select the five most critical problems recorded on the flip chart. The code numbers corresponding to each problem can be used for this purpose, eliminating the time it would take for each group member to rewrite the five problem statements. When this process is complete, the facilitator asks each group member to privately and independently rank order the five problem statements, assigning a "5" to their perception of the most important problem statement, "4" to the second most important, and so on.

Task 5. Establishing Nominal Group Priorities

5 PROBLEMS	RANK
2	III
4	I
5	II
7	V
9	IV

During the period when group members are privately ranking priorities, the facilitator prepares a tally sheet on the flip chart. As each group member completes ranking the five most critical problems, the facilitator writes the weighted values (from the ranking discussed above) adjacent to the corresponding problem statement number on the tally sheet. The tally sheet is then totalled. The group may choose to comment generally on the outcome.

A sample tally sheet is presented in Figure 2.2-1, illustrating how a group of five persons might develop their priorities.

Task 6. Feedback and Evaluation

After each small group has established a list of priorities in substantive areas assigned to them, results are presented to the total Advisory Committee for evaluation and discussion. This stimulates small groups to be conscientious regarding their assignments and to perform as well as they can. In addition, the Advisory Committee gets a total perspective of the planning problems with which it must deal. If for any reason two or more small groups happen to generate problem statements pertaining to the same areas, they should meet as one group and repeat the NGP from Tasks 4 through 6.

After each NGP session, the Planning Team organizes the substantive problem statements in priority order and sends results to Advisory Group members. In addition, minutes of these meetings go to the Board of Supervisors for information purposes and necessary action.

The Planning Team must eventually address each identified problem even if it is not included in the higher priority rankings. Additional meetings may be necessary to rank order problem statements that failed to surface during the first NGP meeting. Or, if the remaining problem statements seem relatively equal in importance, the Planning Team may simply rank them arbitrarily.

When used to identify planning problems on a number of issues, NGP serves as an important point of departure. It provides the baseline information upon which you can schedule problem-solving action planning meetings.

Figure 2.2-1: Nominal Group Problem Priorities

Problems (by Code Number)	Group Participants by Name and Independent Ranking of Problems:					Total	Overall Group Priorities
	Greg	Sandi	Mary	Carol	Scott		
1							
2	5	4	1	5		15	II
3							
4	2	3	3	5	4	17	I
5	4	5	2	3	2	16	II
6							
7		2	5	1		8	V
8				4		4	
9	3	1	4	2		10	IV
10					3	3	
11	1				1	2	
12							

(Note: the overall group priorities are written in Roman numerals (I to V) in the last column. It is not unusual to find group rankings in clusters as indicated above even though each member individually developed his or her own rank order. The pattern simply implies a high level of agreement on the top five priorities. Frequently, the ranking of problem statements below the first five or six tends to spread out, suggesting less agreement among group members over these issues.)

Applications of NGP

The NGP has a wide range of applications in problem identification generally and for jail planning in particular. The meeting format presented above is suggested for involving key individuals or groups in each planning phase. These should include:

- Clients (consumers or users) and first line staff for problem identification and exploration.
- External resource people and specialists for exploring knowledge or possible approaches.
- Key administrators and decision makers for developing priorities.
- Organizational staff for developing program proposals.
- All of the above participants for final approval and evaluation.

Thus, the same format can be productively used to surface problems, explore alternatives, establish problem and program priorities and generally involve a large constituency in any aspect of the planning enterprise.

The procedure for using NGP in any of its applications can begin with task forces, the Advisory Committee or the Planning Team. Ultimately, however, the Board of Supervisors must endorse final solutions or products.

Summary and Conclusions

Identifying correctional system problems is serious business, requiring considerable thought and input. The NGP provides an efficient and effective means of surfacing system problems that influence jail planning and construction. Moreover, it does this in a manner that involves all participants in the process.

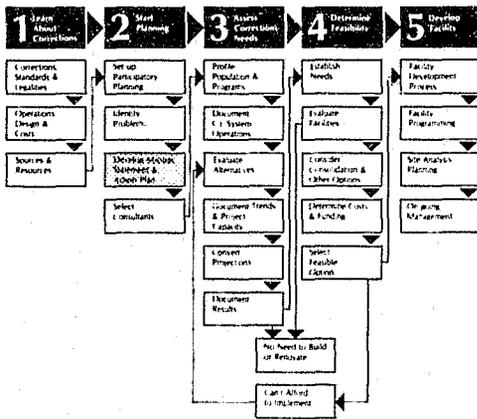
Identifying the nature of problems faced by your system provides a firm foundation for the next step—developing goals and objectives for the direction you want to pursue.

References

Delbecq, Andre, and Ven De Ven, Andrew. "A Group Process Model for Problem Identification and Program Planning," *Journal of Applied Behavioral Science*, Vol. 7, No. 4, 1971. Provides an understandable and practical explanation of the nominal group process, including a description of the research on which it is based.

Schein, Edgar. *Organization Psychology*, Englewood Cliffs, NJ: Prentice-Hall, Inc., 1972. Focuses on how an organization can productively use its human resources through effective management. Examines problems of organizational integration which arise because an organization is composed of many informal as well as formal groups.

2.3 Step 3: Develop Corrections Mission Statement and Goals



Who Will Use This Chapter

Primary Users

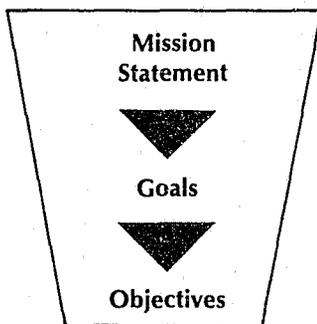
Advisory Committee
Planning Team

Secondary Users

Sheriff
Board of Supervisors
Corrections Staff

The Advisory Committee is responsible for developing the mission statement, and the Planning Team is responsible for correctional goals. Drafts of these materials should be reviewed and approved by the sheriff and Board of Supervisors.

Introduction



For many communities, the opportunity to effect significant change within the local correctional facility comes only once in a lifetime. Major policy decisions regarding the facility must, therefore, meet both the immediate and long-range needs of the community as well as of the jail staff and inmates. For this reason, the development and documentation of the mission statement and goals for corrections are critical initial steps in the needs assessment and facility planning process. Together, these documents define, in general terms, the nature of the philosophical and operational changes to be achieved through planning. They are essential reference documents which provide focus, direction, and consistency to the myriad of activities which will be undertaken to improve local corrections.

Because each community is unique with respect to its incarceration needs, there is neither a "model" mission statement nor model correctional goals that apply universally to all communities. This chapter is designed to help individuals responsible for the development of the mission statement and correctional goals to clearly define and document your county's approach to, and expectations for, corrections.

The Mission Statement

Definition

A mission statement is a broad, general statement describing the philosophy by which the correctional system and facilities will be operated. Specifically, a mission statement defines the purpose of the correctional facility; the facility's responsibilities to its inmate

population and other major constituencies (such as local government, the local criminal justice system, governmental and community agencies which provide services and programs for the facility, and the public); and the philosophical direction of the correctional facility. In essence, a mission statement reflects the ideal correctional facility for a particular community.

Key Issues

In the development of a mission statement, give serious consideration to three key issues: purpose, responsibilities and philosophical direction.

Purpose. The purposes of the correctional facility include the legal mandate for the operation of the facility; the role of the correctional facility in the local criminal justice system; the types of inmates who will be incarcerated in the facility (such as pretrial and/or sentenced, male and/or female, and adult and/or juvenile inmates); and, in general terms, the role that incarceration plays in the community. To determine the purpose of the correctional facility, the following questions should be addressed:

- Is the operation of the correctional facility mandated by state and/or local statutes?
- Who is ultimately responsible for the operation of the facility?
- What law enforcement agencies and courts are served by the facility, and how does the facility help them accomplish their responsibilities?
- Who will be incarcerated in the facility, and why should they be incarcerated?

Responsibilities. The mission statement must define the correctional facility's primary responsibilities to the county or community, its inmate population and other major constituencies. In the broadest sense, those responsibilities are:

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

How these terms are actually defined and their relative importance to the overall mission of the facility will vary from community to community. The definition of the term "service" is particularly critical because of its cost implications. The mission statement should, therefore, include a general description of the types of services and programs which will be offered in the facility. In defining all three terms, it is essential that the California "Minimum Standards for Local Detention Facilities" and recent corrections-related court decisions be carefully reviewed to determine what, at a minimum, are the correctional facility's responsibilities (refer to Chapter 1.2 on standards and legal requirements).

The correctional facility has, however, other major responsibilities to its various constituencies. As an example, local government must operate the correctional facility in a cost-effective manner. Thus, it is important to identify and reflect in the mission statement all of the correctional facility's major responsibilities.

Philosophical Direction. Determining the philosophical direction of the correctional facility requires putting aside current perceptions regarding the mission of the facility and trying to conceptualize its mission five, ten or twenty years in the future.

A number of quite different correctional philosophies can be identified, including the so-called "Five R's:"

- **Revenge.** The mission of a correctional facility is to punish inmates in order to repay their "debt to society" and to deter future criminal activity;
- **Reform.** A correctional facility exists to provide inmates with vocational and educational skills and instill in them contemporary community standards, thus making them productive members of society upon release;
- **Rehabilitation.** The mission of a correctional facility is to treat the inmates' social and psychological problems and change their attitudes so that they can "cope" with society upon release;

The 3 S's

The 5 R's

- **Reintegration.** A correctional facility is responsible for developing 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 re-enter the community upon release; and
- **Restraint.** A correctional facility must operate in a smooth and efficient manner and must tightly control the behavior of inmates through the use of rewards and punishments in order to maintain a calm environment in the facility. This philosophy assumes that attempts to reform, rehabilitate, or reintegrate inmates are futile because people change only if they want to.

In terms of the operation of a correctional facility, all these philosophical approaches have their advantages and disadvantages. As a result, most communities recognize that the philosophical direction established for the jail will be a combination of two or more of the models. Regardless of the philosophical direction chosen, it must be based on the community's expectations for the correctional facility, current correctional standards and court decisions, and the needs of the staff and inmate population of the facility.

Developing the Mission Statement

The most difficult task in the development of a mission statement is thinking through the issues that must be addressed. Once consensus is achieved on the issues, writing the document becomes a relatively simple process.

Substantial community input should be solicited to develop a mission statement. Appropriate representatives of local government, the local criminal justice system, governmental and community agencies, and the public should be actively encouraged to participate in the statement's development because they all have a stake in the success or failure of the correctional facility. For most communities, the Advisory Committee is the most appropriate body to take responsibility for the development of the mission statement because its membership reflects a cross-section of professional, political, and community interests.

As the community's technical experts in the field of corrections, the sheriff and corrections administrator must take a leadership role in the development of the mission statement. That leadership role ranges from organizing meetings, to researching the professional standards and court decisions, to actually drafting the statement.

Assuming a leadership role, however, does not mean dominating the process. Everyone involved in the development of the mission statement must be allowed input, regardless of his or her expertise in corrections, or personal philosophies.

Involving a diverse group of individuals in the development of a mission statement is a major task. Each person will have his or her own opinion on almost every issue that must be addressed. Regardless of the differences of opinion that may exist, group consensus on the issues is essential. Even if everyone cannot agree that the position taken on a particular issue is the best possible course of action, the group must at least agree to give it a try.

Reaching even this level of consensus may require numerous discussions of the issues. In all probability, some compromises will have to be made to arrive at positions which both satisfy the community and comply with professional and constitutional standards. (Help with techniques for group decision making can be found in Chapters 2.2 and 2.4.) Once agreement is reached on all issues to be addressed, an initial draft of the mission statement can be developed.

Criteria for Mission Statement Draft

While there is no set format for a mission statement, the draft should comply with the following criteria:

- **Broad Focus.** The mission statement should definitively address every major issue regarding the operation of the correctional facility. It should not, however, attempt to address the details of how the facility will operate. Those details should be addressed in other documents, such as the corrections master plan, the functional and architectural programs for the facility, and the operational policy and procedures manual.
- **Concise.** The mission statement should be written as simply and concisely as possible. It should not be more than one or two pages long. If any longer, there is a very good chance that it will never be read, no matter how well written.

- **Clear and Unmistakable.** The mission statement should be understandable even to those individuals who have little or no knowledge of correctional facilities. Corrections jargon should be avoided.
- **Realistic and Attainable.** While the mission statement should reflect the ideal correctional facility for your county, those responsible for its development must feel certain that, with effort, its ideals can be achieved. A mission statement that includes "pie-in-the-sky" concepts that can never be implemented is worthless.
- **Positive.** Because the mission statement defines the future course of corrections in the community, it must focus on what will be done, rather than what will not or cannot be done.

Review of Draft

The completed draft of the mission statement should be reviewed and formally approved by the Advisory Committee, the sheriff and the Board of Supervisors. In some instances, changes in wording are necessary before all can approve the draft. However, major changes in the content of the mission statement are unnecessary at this point if agreement on the issues has been achieved.

Correctional Goals Development

Definition

A correctional goal is a brief statement that defines in general terms an end result to be achieved in the operation of the correctional program or facility.

Like the mission statement, a correctional goal reflects an ideal toward which the correctional facility should be striving. A correctional goal differs from a mission statement in that it relates to a specific aspect of operations, and is therefore narrower in focus.

A correctional goal also differs from an objective in that a goal defines an end result while an objective describes an activity or group of activities required to achieve an end result. An objective has fixed time parameters, and is measurable. Because a goal reflects an ideal, these criteria are not usually applicable. Objectives and their development are discussed in detail in the next section of this handbook.

Identifying Correctional Goal Topics

The number of goals established for the correctional facility will vary greatly from community to community depending on the size and type of facility and the complexity of its operations. However, at a minimum correctional goals should be established for the broad operational areas of administration, support services, programs, and security.

To determine the actual topics for which correctional goals will be developed, first develop a list of all the functions and activities which must be performed in the facility. Then, rank order the list, giving highest priority to those functions and activities essential to the mission of the facility. Develop goals for only the highest priority items.

Developing the Correctional Goals

The process for developing correctional goals is basically the same as the mission statement development process. Consensus on the end result defined in each goal is absolutely essential.

The content of the correctional goals should reflect both the philosophy established for the jail and current professional and constitutional standards. For this reason, the mission statement, "Minimum Standards for Local Detention Facilities," and recent court decisions are primary references in developing correctional goals. The task of developing the goals should only be tackled after the initial draft of the mission statement has been reviewed and approved.

Like the mission statement, correctional goals should be concise. One or two sentences are usually adequate to define the end result to be achieved. The goals must also be positively stated, clear and unmistakable in meaning, and realistically attainable. In addition, they should meet the following criteria.

Goals Should Be Stated in General Terms

While each correctional goal focuses on a specific aspect of facility operation, the ideal end result is stated in general terms. The details of how to achieve that end result will be stated in other documents. The following examples illustrate this point:

Too Specific. To prepare three hot meals per day "in-house" and serve each inmate in his or her living unit, with no more than 14 hours between the evening and breakfast meals. Meals will be prepared conventionally and transported in bulk to the living units.

Correct Level of Generality. To provide meals to the inmate population which meet the recommended daily nutritional allowances established by the National Academy of Sciences.

The first example is actually an objective that describes several activities required to achieve the end result reflected in the second, more properly stated, example. The advantage of stating general correctional goals is that they allow more flexibility in the planning process, making it possible to explore all available options.

Goals Should Be Consistent with the Mission Statement

Each correctional goal developed for the facility must be consistent with the purpose, responsibilities, and philosophical direction established in the mission statement. It is particularly important that the correctional goals are philosophically consistent with the mission statement. If they are not, there is a very good chance that those responsible for implementing the goals will receive a mixed message regarding what they should be trying to accomplish.

Upon completion and consensus of the team, the initial draft of the correctional goals is submitted to the Advisory Committee, the sheriff and the Board of Supervisors for review and approval.

Review and Revision of the Mission Statement and Correctional Goals

It is important to remember that the initial drafts of the mission statement and correctional goals may not represent the final products. Once data about the inmate population and local criminal justice system are collected and analyzed, the drafts of the mission statement and correctional goals should be re-evaluated to determine whether or not the positions expressed in these documents are consistent with your new knowledge.

For example, a position taken on the provision of vocational training programs may be inconsistent with data which indicates that inmates do not stay in the facility long enough to benefit from such programs. If inconsistencies are found, the mission statement and correctional goals should be revised to reflect the findings of the data. Once this update is completed, the final forms of both documents should again be reviewed and approved by the Advisory Committee and Board of Supervisors.

Because the planning and construction of a new jail will, for most communities, occur over a period of from three to five years, the mission statement and correctional goals need to be reviewed on an annual basis to determine whether or not they remain consistent with professional and constitutional standards. If major changes have occurred, these documents should be revised.

Summary and Conclusion

While the mission statement and correctional goals may appear on the surface to be relatively simple documents, do not take their development lightly. Give careful thought to the major philosophical and operational decisions reflected in both documents. They will provide direction to the needs assessment and facility planning processes and, ultimately, determine the success or failure of the correctional facility.

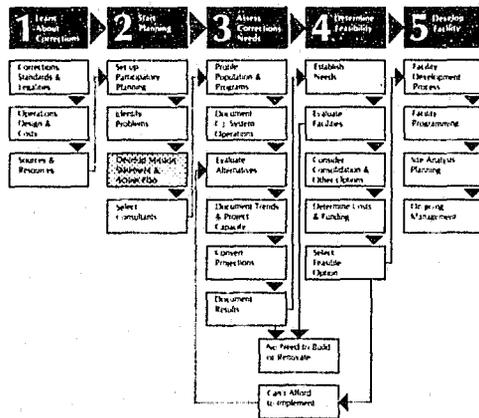
Once the initial drafts of the mission statement and correctional goals are approved, the next major task is the development of an action plan to determine how to accomplish the changes they call for.

References

O'Leary, Vincent. **Correctional Policy Inventory: A Survey of Correctional Philosophy and Characteristic Methods of Dealing with Offenders**, Hackensack, NJ: National Council on Crime and Delinquency, no date. A self-assessment questionnaire to help you examine current policy.

Peña, William. **Problem Seeking: An Architectural Programming Primer**, Boston, MA: Cahners Books, 1977. Speaks well on goal development and the distinction between goals and objectives.

2.4 Step 4: Develop Action Plans for Solving Problems and Meeting Goals



Who Will Use This Chapter

Introduction

How to Run Effective Action Planning Meetings

Primary Users

Planning Team
Advisory Committee

Secondary Users

Task Forces

The scope and complexity of corrections planning requires many hours of meetings. It is essential, therefore, to ensure that meetings are well organized, scheduled for a purpose, and structured to result in specific results. This chapter provides techniques for developing solutions to correctional problems in an organized and democratic manner. These techniques may be used by any of the groups identified in Chapter 2.1: the Advisory Committee, Planning Team or task forces.

"Problem solving" is a process by which individuals or groups discover a method for correcting an unacceptable or undesirable situation. "Action planning," the problem solving process proposed here, adds specificity with respect to **who** will be responsible for each step required to solve the problem and **the date** by which each activity will be completed. This structure helps you pinpoint responsibility within agreed upon time frames. It is applicable to finding ways to reach desired goals as well as to solving problems.

Action planning can be time consuming. Conservative estimates indicate that 50 percent of managers' and community leaders' time is spent in meetings (in groups, one-on-one, or by phone). Yet, when managers and community leaders describe how they feel about the meetings they have attended, the response is invariably negative. The words they use include "frustrated," "bored," "impatient," "no structure," "no agenda," "no purpose," and so on.

The single most frequent cause for unproductive meetings is poor planning. Even the most skillful leader cannot conduct an effective meeting without a sound plan that involves the participants in a dynamic, creative exchange of ideas. Social science research informs us that the most effective means of gaining commitment, involvement and action-oriented results is to create opportunities for others to participate in developing plans that affect them.



The NGP (described in Chapter 2.2) is designed to help identify relevant planning problems. Beyond this, a structured leadership procedure can maximize participation through the organized exchange of ideas in a process geared toward action-oriented results. The approach requires careful planning by the group leader (generally the project manager, depending upon which group is involved) prior to convening the meeting.

The eight steps involved in action planning are:

- Task One: State the problem.
- Task Two: State the meeting objective.
- Task Three: State the starting question.
- Task Four: Develop a list of potential solutions.
- Task Five: Meeting break.
- Task Six: Decide on solutions
- Task Seven: Develop and agree on the action agenda.
- Task Eight: Critique the process.

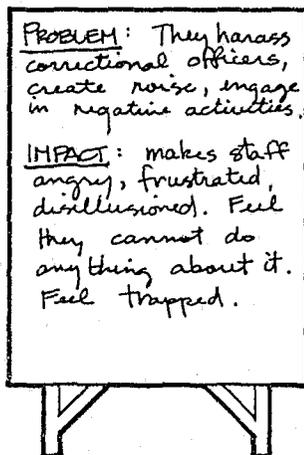
The example offered below—problems with inmate behavior—will clarify how the process works.

Task One: State the Problem

The person running the meeting writes the problem statement on a flip chart prior to the Advisory Committee meeting. The problem statement can be taken from previously conducted NGP meetings. The group then clarifies the problem by examining what currently happens and how it affects people.

What Currently Happens?

Indicate the impact this problem has on the organization and its operation.



Example. The "enforced idleness" problem included a statement regarding the impact this problem has on the organization and its operations. The problem statement concluded as follows: "They (inmates) harass the correction officers, create unbearable noise, and engage in a host of other unpleasant and counter-productive activities. Last year our malicious damage costs were 22 percent up over the previous years. We experienced 42 physical confrontations between inmates, up 10 percent over the previous year, and our inmate escape statistics were up six percent over the previous year with a total of 53 escapees." Clearly, these data were collected from jail records prior to the meeting.

How Does This Affect People?

How does this problem affect personnel, emotionally and psychologically?

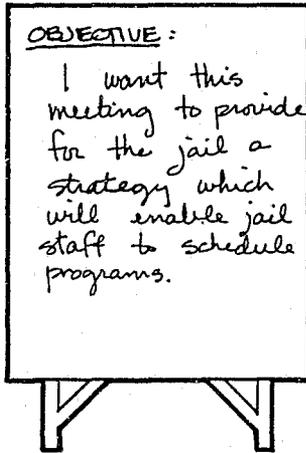
Example. Jail personnel are frustrated and disillusioned. They can intellectually understand why the inmates behave the way they do but they simply cannot do anything about it. Every year they are required to do more work with fewer resources. They simply don't know where it will stop. We treat the animals in the zoo better than we treat our inmates. Some want to quit this hopeless job, but they don't know what they would do. They need to care for their own families and feel that they are trapped.

Clarify the Problem

Return to the problem statement, underlining key words as you explain the meaning and to ensure that all group members have a common understanding of the problem.

Cause Unknown: If the cause is unknown, you will want the group to examine possible causes. (Enforced idleness was already identified as the cause of this problem.)

Task Two: State the Meeting Objective

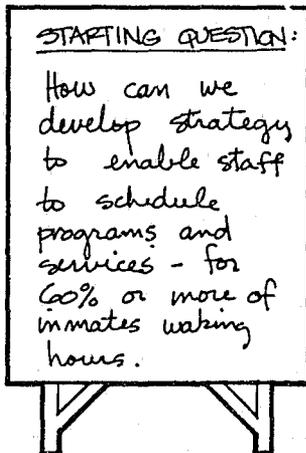


Cause Known: If the cause is known, the group needs to examine what can be done about the problem.

The meeting leader writes a concise statement of what he or she wants to happen as a result of this meeting.

Example. "I want this meeting to provide a strategy which will enable the jail to eliminate enforced idleness."

Task Three: State the Starting Question



State the initial question so that it stimulates brainstorming in the group. Be sure that the starting question relates back to the meeting objective.

Example: The basic cause of inmate idleness is fairly clear. Therefore, the starting question might be as follows: "How can we develop a strategy which will enable jail staff to schedule programs and services that occupy at least 60 percent of inmates' waking hours?" Or, more specifically: "Would you please think of possible programs and services that would be interesting and beneficial to inmates in the jail? For each contribution, suggest how the jail can obtain these programs and services."

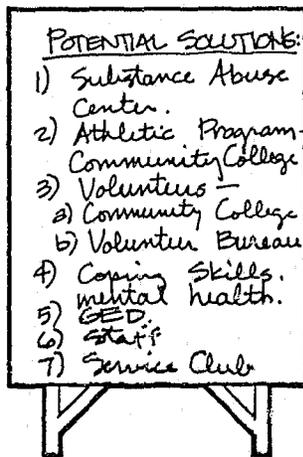
Task Four: Develop a List of Potential Solutions

Possible Responses

You may use the NGP to develop a list of potential solutions to the stated starting question. In order to actively participate, the leader may wish to have another person record committee members' ideas on a flip chart.

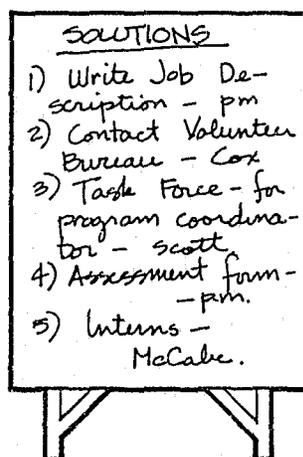
Some possible responses to this question might include:

- "We need to know more about inmate interests, needs, etc."
- "The Substance Abuse Center could run groups for inmates with these kinds of problems."
- "Our community college has an excellent athletic program; it should be approached about providing interns to offer recreation programs."
- "Students in criminal justice, criminology, sociology, and psychology could also be used as volunteers."



Task Five: Meeting Break

Task Six: Decide on Solutions



- "We have a Volunteer Bureau and a clearing house for community volunteers. They should be of help."
- "The Mental Health Department runs group meetings called 'Coping Skills in the 80's'; perhaps they could make these sessions available in the jail."
- "The school district is legally responsible for running the GED program. The district should provide the GED program for jail inmates."
- "The Board of Supervisors should provide the jail with a staff person to coordinate programs and services."
- "A service club may be interested in supplying recreation equipment or quiet games for the jail."

The leader may want the group to take a break after collecting responses to the starting question. This will provide time for the leader to organize the responses in preparation for deciding on solutions to pursue and for preparing the action plan.

The group determines which of the proposed solutions seem effective and feasible. Consensus is required in achieving a solution—this may take time but the investment will pay off. At this point, individuals should commit themselves to specific actions needed to pursue the solutions.

Example. These are action statements that might be made by committee members.

Project Manager: "I will write a job description for a jail program and inmate services coordinator."

Mrs. Cox: "I will arrange for a member of the Advisory Committee to contact the Volunteer Bureau to determine whether it can supply the jail with a volunteer program coordinator who could provide staff assistance in planning and scheduling programs and services in the jail, and other possible volunteers."

Judge Scott: "I will enlist a task force of the Advisory Committee as a support group in presenting the request for a program coordinator to the sheriff and then the Board of Supervisors."

Project Manager: "When volunteers or interns have been screened and assigned to the jail, I will have them design an inmate needs and interests assessment form and collect data for future programming."

Mr. McCabe: "I will contact the office that handles intern assignments at the community college and work with them to organize an intern program for the jail."

Undersheriff Gregory: "I will ask the Advisory Committee to outline a standard presentation for a Speakers Bureau. The Speakers Bureau will be responsible for scheduling presentations to service clubs, church groups and other community groups. The objective of this activity will be to educate the community about problems in our jail and to request their help either as volunteers or through sponsoring athletics and leisure time activities by purchasing equipment for the jail."

"When community groups agree to buy equipment and leisure time games, I will contact the director of athletics of the community college and ask for interns or volunteer students to help us run our recreation program."

Project Manager: "When the program coordinator has been hired and volunteers or interns have learned the routines and responsibilities in the jail, I will work with the coordinator to initiate substance abuse programs, initiate coping skills training, and a GED program."

In this example of a structured meeting, the leader has organized the group members' ideas into action statements which can be organized in a logical sequence of events.

Task Seven: Develop and Agree on an Action Agenda

The next task in action planning is to establish an action agenda that fixes responsibility for the activities generated from the meeting and sets a schedule for progress reports and completion.

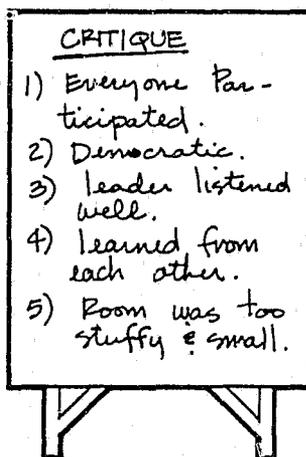
The action agenda cannot be completed in the absence of the Advisory Committee because the group leader does not have the authority to assign tasks to other persons. The responsible person is accountable at reporting times and when the activity is supposed to be completed. Moreover, it is important to involve the Advisory Committee in adopting the final action agenda, thus giving the committee "ownership" in the activities, assignments and due dates. A sample action agenda is shown in Figure 2.4-1.

Figure 2.4-1: Sample Action Agenda

Who is Responsible	Actions/Activities	Reporting Schedule	Completion Date
Group leader/Project Manager	Write jail program-coordinator job description	Next meeting, (Jan. 25)	Next meeting, (Jan. 25)
Advisory Committee member (Mrs. Cox, League of Women Voters)	Contact Volunteer Bureau for volunteers	Jan. 25	Jan. 25
Advisory Committee member (Judge Scott)	Chair an Advisory Committee task force to work with Planning Team. Request program coordinator position from sheriff and Board of Supervisors.	Jan. 25	Feb. 25
Advisory Committee member (Mr. McCabe, Superintendent of schools)	Arrange a meeting with Professor Higgins and Planning Team staff to discuss re-assignment of interns.	Monthly, beginning Jan. 25	June 25
Group leader/Project Manager	Work with volunteers on inmate service needs assessment.	Monthly, beginning Feb. 25	June 25
Advisory Committee chairperson (Undersheriff Gregory)	Chair a task force of Advisory Committee members in planning and scheduling Speakers' Bureau.	Each Advisory Committee meeting	On-going

Since the later items in the preliminary plan were so speculative, the committee decided to postpone the action agenda for these items for 90 days. Those items will be placed on the meeting agenda for April.

Task Eight: Critique the Process



At the conclusion of the Advisory Committee meeting, the group leader reviews for the members those aspects of the meeting that he or she felt were "well done" and asks the group members to provide feedback regarding what they felt he or she did well. Similarly, the group leader states his or her perception of "opportunities for improvement" and asks the group for its feedback in this regard. The critique provides the opportunity for improving the quality of future meetings.

Having developed the action plan, it is critical for the committee to monitor the resulting tasks. The responsible party should be queried at subsequent meetings on the progress of the work and should report at the appointed time.

Applications of Action Planning

To illustrate its utility in the context of a fairly complex problem solving procedure, action planning has been presented here in the context of a formal Advisory Committee meeting. It should, however, be viewed as a versatile tool having a wide range of

applications, including Planning Team and task force issues.

For example, the project manager and the Planning Team can establish action agendas covering the total scope of jail planning. The action agenda in this context fixes staff responsibility for data collection and analysis, library research, preliminary document drafting and so forth. To be sure, the project manager and Planning Team members need to coordinate their action planning activities with the Advisory Committee and the Board of Supervisors, but the procedure provides a structure for ensuring that each task gets addressed at the appropriate time.

Summary and Conclusions

The problem solving meeting illustrated above provides for rich involvement of community representatives and professional planners. More importantly, such a meeting concludes with an action plan that structures problem solving activities in a logical manner, fixes responsibilities for each activity and establishes a timetable for the completion of assignments. However, your meetings may not be as simple as the illustration.

Resulting action planning schedules should be made available to the Advisory Committee, the Board of Supervisors and the Planning Team members. In this way all members of the planning process can help monitor the progress. In addition, the Board of Supervisors should be asked to endorse action planning activities as major milestones are completed.

Action planning requires the allocation of time and resources. Some counties may assert that they do not have the luxury of "front end" planning. However, it is a curious phenomenon of organizations that we can always find time to "clean up" the mistakes made because of deficient planning. Experience tells us that in the long run it is far cheaper to minimize these mistakes by investing in "front end" planning. Don't short change yourself in this regard.

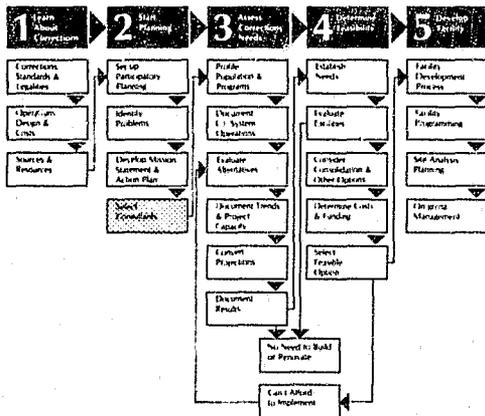
References

Jorgensen, James D. and Foutsco, Timothy F. **Solving Problems in Meetings**, Chicago, IL: Nelson-Hall, 1981. Provides guidance, structure and alternatives for planning and running decision making meetings.

Jorgensen, James D. and Foutsco, Timothy F. **Quid**, New York, NY: Walker and Company, 1978. Presents a "force field analysis" approach in which planners evaluate the relative merits of one choice over another.

Meeting Leadership Skills: A Prescriptive Package, P.O. Box 2024, Boulder, CO 80306: Training Systems Design, Inc., 1976. A more detailed exposition of the methods described in this chapter.

2.5 Step 5: Select Needed Consultants



Who Will Use This Chapter

Primary Users

Planning Team
 Consultant Selection Task Force
 Board of Supervisors
 Project Manager

Secondary Users

County Counsel
 Contract Officer

Introduction

This chapter presents a general discussion of the need for consultants, the various types of consultants, the methods for soliciting their services and selecting them, and hints to help you when contracting and working with the selected consultant.

While you may complete many of the needs assessment and feasibility study tasks without the aid of a consultant, some agencies will want assistance with these tasks. In addition, almost all counties that proceed with developing a building will hire an architect. Thus, this chapter deals with selecting both planning and architectural consultants, although the latter will not be needed until later.

Do You Need a Consultant?

Deciding when to select an architect/consultant is not the simple process that some may think. You cannot just hire some person or firm and expect them to develop solutions without any substantial involvement from you, their client. First, you must develop a thorough understanding of your own problems and needs so that you can convey needed information to your consultant. Once you have analyzed your situation, you can better decide what type of consultant you require, what services you expect them to perform, how much you can afford to pay for those services, and how much time is necessary—or available—to complete the job.

After your preliminary assessment of the problem, you will have a basic idea of whether consultation is necessary and what should be its focus. It may be as broad as providing the corrections needs assessment study or as specific as assessing the potential impact of health care service standards upon your jail.

A frequent reason for hiring consultants is that in-house capabilities don't measure up to the task at hand. Not many agencies can support the specialized staff required for justice system planning and design. It is often impractical to establish permanent positions for these functions. Unless there is long-term demand for these people and their expertise, the dollar savings probably lies with the shorter-term consultant.

Does the county have sufficient, qualified staff available to meet your schedule or will delay be inevitable? Will the product from in-house staff be well received by persons who must use or approve it? Will the work be of the required caliber? If the answer to any of these questions is "no," you must decide how much flexibility you can afford with the schedule or the product. A consultant may be the solution if the availability or credibility of in-house staff don't measure up.

If you have decided to retain a consultant, you should double check your decision against three basic questions:

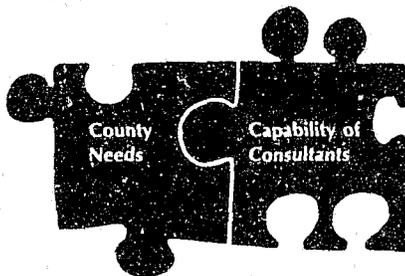
- Can you identify the **symptoms** of the problem (for example, overcrowded jail or no recreation space)?
- Are the **causes** of the problem undetermined (for example, why the jail is overcrowded)?

Are the immediately **available solutions** undesirable (for example, spending money on poorly defined facilities or studying causes without benefit of expertise)?

The process of thinking through the symptoms, causes and solutions will provide a good basis for establishing the consultant's scope of work. A thorough description of existing conditions, previous work, and anticipated changes will help both you (the client) and your consultant understand what now needs to be done. When you determine your own needs and limitations, you can help your consultant structure his or her work in a manner that will create the most effective product.

What Type of Consultant?

Figure 2.5-1: A Close Fit Between County Needs and Consultants



Selection Criteria

The range of consultant types used by justice agencies is extensive. However, two basic types are involved in needs assessment, planning, design and construction of justice facilities. These are corrections planners and architects. Your choice of either of these, of course, depends upon the particular work to be performed. Both types work out of various firm sizes and organizations, ranging from single person operations with a specific expertise to large multidiscipline firms combining both planning and architectural services. It is important that you match experience and qualifications to the type of job for which you are contracting.

Clearly, not all consultants possess the same expertise. You should expect specialized knowledge or advice and imaginative solutions from consultants. However, unless consultants are familiar with your particular type of problem, they will often hire their own consultants with the necessary expertise to deal with your situation.

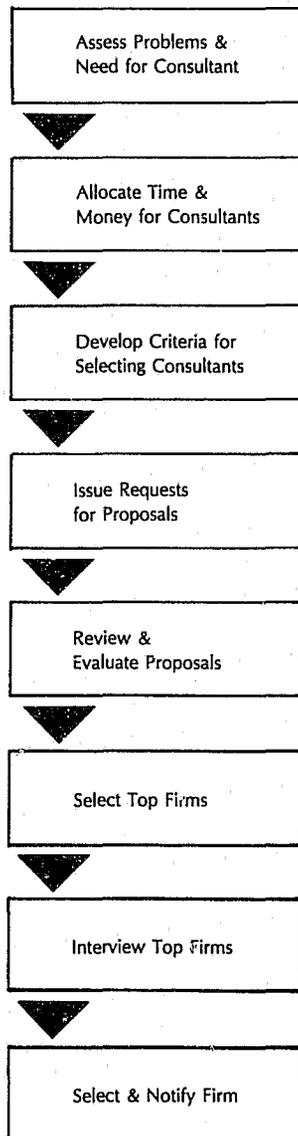
Satisfy some basic criteria before you contract with any consultant. These criteria must be refined by those who develop the "request for proposals" (RFP) but here are some suggested topics to include.

- Are the skills matched to the job (architecture, planning, organizational development, to name a few)?
- Does the firm have experience with this type job? If not, do their consultants?
- Will the consultant give you the time and attention necessary to develop solutions to your problems, or will you get something "off the shelf"?
- Is it the "right" size firm to do the work? Make sure the firm is not so small that supplemental staff hired for this job would present a problem. Also, make sure that a large firm would give your job the attention it requires.
- Is the firm located in an area that will allow the consultants to spend enough time in your community?
- Can you afford them? Is their fee compatible with your budget?
- What do their references say about them?
 - Was the product satisfactory?
 - Were schedules kept?
 - Did they solicit or accept client input?
 - Were they responsive to the client?
 - Have they been available for follow-up?
 - Were billing practices fair?
 - Would the reference rehire them?

Even these criteria have their limitations: they will be of little value if you can't personally work with the consultant you've selected. Consequently, the selection process is extremely important. It is the time to find out how the consultant would approach the job, how he or she would use your county's expertise, whether he or she would solicit the involvement of other critical participants, and what his or her previous work record shows. Technique and approach are so significant that it's difficult to overstress their importance. The best technical skills are only as good as the consultant's ability to employ them. If the consultant can't establish rapport with you, the client, the consultant can't effectively use his or her skills to serve you.

Methods of Selection

Figure 2.5-2: Consultant Selection Process



The Request for Proposals

An architect or consultant is rarely hired without the formal release of a request for proposals (RFP) and an objective review of responses before a final selection. By contrast, the "sole source" method does not grant the same degree of objectivity and fairness of the open process. Consequently, government agencies which must guarantee unbiased selection of consultants rarely use the sole source method.

More common methods used to select consultants are the **open RFP** and the **invitational RFP**. A design **competition** is much less common (and more time-consuming) and is reserved primarily for the selection of architects for major or prototypical projects.

The open RFP solicits responses from all qualified firms. The county establishes basic minimum criteria for consultant selection and then accepts proposals from anyone meeting those criteria. The RFP can be published in local newspapers, trade journals, professional publications, or any medium likely to reach qualified firms. One example of an open RFP is a request for submittals from any licensed architect to design and construct a jail. This might be further limited to any licensed architect in California, or even to those with offices in your county.

The invitational RFP is distributed to a limited number of consultants who have been pre-selected as qualified to submit proposals. The pre-selection requires assessing each firm to determine which will receive the invitation to submit. This assessment is usually based upon certain criteria such as correctional experience, previous work within the county, or inclusion on a county-maintained list of qualified contractors. The distribution of invitations should conform with county or funding agency guidelines for fair hiring practices.

Architect selection is sometimes accomplished through design competitions. These may follow the general RFP format in that they may be either open or invitational competitions. In both cases, some cash award to competitors is customary. Open competitions usually award the best two or three solutions, whereas invitational competitions grant a small cash award to each firm agreeing to participate. The final award is the anticipated contract.

Competitions require that you, the client, supply a building program document and appoint a qualified jury to judge submissions and make final awards. More information is available in "The Use of Design Competitions", a pamphlet available from the American Institute of Architects (AIA #451).

The RFP should be clear, complete and specific. This allows responses to focus on substantive issues and to present comparable information. Because the major issues addressed by correctional projects are often diffuse and completeness of the RFP is so important, task forces are often formed to assist in drafting the RFP. Such a group may consist of county officials, corrections personnel, attorneys, and members of the public. A representative from the Board of Corrections might be available to review the RFP or proposals.

If the Task Force writes the RFP, at least some of its members should also participate in the selection process. The RFP should include the following items:

- Name and location of contracting agency.
- Name and phone number of contact person.
- Background information on project.
- Statement of the problem.
- Scope of work to be performed.
- Time limitations on work to be performed.
- Time deadline and location for submittals; number of copies required (one for each member of the selection committee).
- Time and location of "pre-proposal conference" (if offered) to orient bidders and answer questions.
- Anticipated budget for construction (if known).
- Basis for establishing consultant fees (such as percentage of construction cost for architects or fixed fee for planning consultants).
- Request for a statement of understanding and approach to the project.
- Request for information concerning the responding firm and key personnel who will be assigned to the job.
- Request for the firm's references.
- Other legally required or desirable statements or disclaimers (seek the advice of your county counsel).

For architectural services, the RFP would not normally include requests for sketches, cost estimates, or suggested compensation to the architect, but could well ask for examples of previous buildings.

One individual (probably the project manager) should be responsible for distributing the RFP, responding to questions regarding it, and notifying all competitors of the final selection. Appropriately, the same person may coordinate the work of the consultant with the agency during the job. It is important to establish this position in the early stages of the project and continue to use it as a conduit for communications between the client agencies and the consultant.

Figure 2.5-3: Sample Announcement

Request for Proposals to Pre-qualify Firms Interested in Providing Architectural Services for County Justice Facility

"Any County" is presently completing preliminary planning for construction of a justice facility. The resulting master plan, feasibility study and facility program will define the scope and location of the project which may include a new jail of 90 to 100 beds, a court facility with 6 courtrooms, and offices for related justice agencies.

The county will use a 3-stage selection process, starting with pre-qualification statements which are solicited at this time. On the basis of these statements, a number of firms will be invited to submit full proposals; of this group up to six firms or associations of firms are invited to submit pre-qualification statements addressing the following.

- 1) Experience with the design of local correctional facilities, courts and related justice agency offices.
- 2) Experience in master planning of governmental facilities.
- 3) Experience with construction management
- 4) Approach and philosophy of design
- 5) Other relevant experience and information.

Architectural firms located outside of the state may wish to indicate association with a local architectural firm, although this is not essential at this stage of the process.

Submittals consisting of 10 bound copies of the pre-qualification statement should be sent by recognized carrier, postmarked no later than September 5, 1980, to Mr. John Doe, Administrative Officer, Any County, P.O. Box 100. Inquiries should be directed to Mr. Joe Doaks, Project Coordinator, at 916-999-9999, Anytown, CA 90000.

Reviewing Proposals

Review and ranking of proposals require a considerable amount of time. Individuals reviewing proposals must understand the criteria for review and selection and apply the criteria to each submittal. Reviews may take place in a group or individually.

Proposals should be reviewed in light of the criteria discussed above and any others developed for the specific job. The criteria may be variably weighted. (For example, the size of a firm would be worth fewer points than its references.) Another rating method is assigning competing firms relative scores for each category. In the case of five firms, each category would have ranks of one through five, assigned according to the rank of the firms in that category.

Some instances might require different evaluations for various categories of the proposal. This could occur, for example, when specific technical expertise is required to evaluate a projection methodology.

You can incorporate subjective (opinion) criteria as well as objective (factual) criteria into the reviews. Subjective criteria might be appropriate to assess the consultants' working methods and process with clients. This type of review should be well-documented, as all rankings should be, and may result from open discussion among those reviewing proposals.

Develop a uniform format for each reviewer to use in recording responses to and ranking proposals. The sample "Consultant Evaluation Sheet" shown in Figure 2.5-4 contains room for information about the firm, a list of criteria and their weights, plus space for scores and comments to be entered.

Figure 2.5-4: Consultant Evaluation Sheet

Consultant Evaluation Sheet			
Firm Name:		Ca. Kitchen Consultants	
Reviewer:		J.S.	Date: 11-16
Criteria	Weight of Criteria	Score	Comments
Experience & Skills: General & Corrections	Max. 5 7	5 2	many hotels, restaurants of similar size. only one jail.
Cost Basis (cost of services) Amount of service offered; Amount of on-site work	10	5	per hour - \$50/hr - no max. number of hours - although they think it will take 30-50 hrs. (\$1500-2500)
References —satisfaction with: Amount of involvement during design development;	3	2	always involve key staff throughout process - but doesn't always listen well.
Sensitivity to local ideas;	4	2	one former client felt all clients get same product.
Reliability;	4	4	highly reliable.
Meeting deadlines;	4	3	generally within a few weeks.
Individual staff experiences.	3	2	mostly positive - one felt they only care about management.
Would rehire?	2	2	unanimous - yes.
Office organization.	5	5	small - (6) - large enough to get job done on time.
Interest in Project.	4	4	enthusiast.
Current commitments/ workloads; Availability of staff.	4	4	available now.
Other comments, General comments & Overall assessment.			impressive - major concern however is that they have little experience in correctional facilities.
Total	55	40	

Narrowing the Field, Interviewing, Selection and Notification

The method of selection should be determined early in the process and committee members should understand how it works. Typically, the process will include both a review of the proposals and a personal interview for the top firms. In any case, the committee members need adequate time to review the proposals prior to discussing them. At the review meeting, the project manager should be responsible for tabulating selection process results, recording them, and maintaining them for future reference.

If the number of apparently qualified respondents is large, a "short list" of the most qualified firms may be culled for interviews. The development of the short list or pre-qualification may be the responsibility of the project manager, the Board of Supervisors or the task force. Depending on the number of qualified firms, from two to six may be selected for interview.

The number should be considered rather carefully. Interviewing can be time-consuming since each should be allotted at least one hour. It may be difficult to assemble the Selection Task Force for the entire day necessary to interview just six firms. If you screen more carefully beforehand, you can limit the interviews to only the most qualified and highly recommended firms.

The importance of the interview cannot be overstated. The interview gives members of the selection task force the opportunity to meet key members of the consultant team and to get a sense of who they will be working with. One caution, of course, is to make sure that the same people who appear for the interview will indeed be assigned to the job and for the county to understand what their responsibilities will be.

If interviews are to be conducted, they should be carefully planned. The ground rules should be understood both by the committee and the consulting firms. It is best to balance structure and fairness with some freedom for individual expression. All interviews should be allotted the same amount of time. Generally, some time is reserved for the consultant to make a presentation, with the balance available for discussion and questions. Facilities should be available to show slides or display drawings. The minimum time for each firm should be 45 minutes, with an hour more appropriate. It is very important to allow ten to twenty minutes between interviews for the committee members to record their responses and, perhaps, discuss the strengths and weaknesses of the last firm before going on to the next.

Occasionally, a county may decide to visit some of the buildings which have been designed by the top contenders. Such visits are also beneficial because they allow you to speak firsthand to staff, administrator and others about their experience with the consultant, their satisfaction with the product, and what they would change the next time. In all fairness, remember that not all aspects of a building are the result of a consultant's expertise or lack of it. On occasion, an unyielding client may have insisted upon a feature that did not work out well.

One individual, usually the project manager, should be designated to inform all proposers of the result of each stage of the selection process. This should always be done in writing, although the selected firms may also be telephoned to give them added preparation time for the next phase.

Whichever sequence is followed, all stages of the selection should be well documented both for the protection of the county and so that inquiring firms understand how decisions were made.

Contract Issues

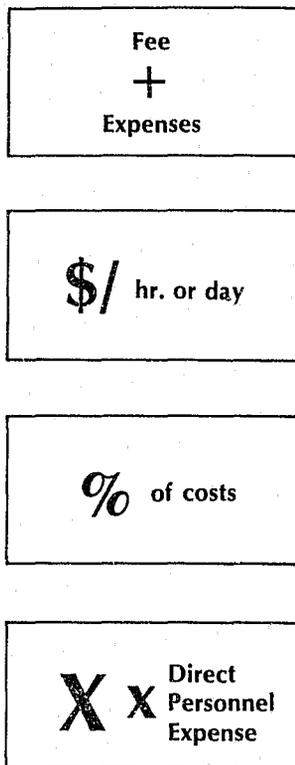
The scope of services required from the consultant should be clearly defined before selection so that it need only be refined when negotiating the contract. For architects, the work may include preliminary programming in addition to basic services such as schematic design, design development, construction documents, bidding/negotiations and administration of the construction contract.

Additional services might be considered beyond the standard architectural scope. These may include financial feasibility studies, planning surveys, detailed estimates, and interior design. Each of these items is negotiated above and beyond the basic architectural fee.

It may be advantageous to define the consultants' key personnel in the contract as well as any subconsultants assigned to various phases of the job. You can request prior notification of, and right to approve, any changes in these.

In the contract, identify key progress dates for presentation or review as well as time required for approval. A requirement for authorization to proceed to the next phase of work is generally included as part of the client review and sign-off.

Figure 2.5-5: Methods of Compensating Consultants



Methods of compensating consultants vary. They depend upon such variables as the scope of services, the type of contract, and the financial limitations on the contracting agency. Some of the more common methods are as follows:

- **Professional fee plus expenses:** agreement upon lump sum fee for professional services plus compensation for actual job expenses such as travel or printing.
- **Per diem or hourly rate:** usually used for services involving consultation, reports, opinions, and similar items. Time spent is billed at an agreed per diem or hourly rate. The upper limit for billed time and expenses may be set, with prior written approval required to exceed that limit.
- **Percentage of project construction costs:** compensation for basic architectural services based upon an established percentage of the construction cost of the project. The percentage may vary from five to ten percent or more, depending on the size and complexity of the project. Payments are keyed to the phase of work and are cumulative so that 15 percent has been paid through schematic design, 35 percent through design development, 75 percent through construction documents, 80 percent through bidding and negotiation, and 100 percent at the end of construction.
- **Multiple of direct personnel expense:** used on projects whose scope is difficult to define or those without a fixed construction budget. The advantage of this method is that it does not require distinction between basic and additional services. Compensation is based upon the amount of time required to accomplish project services; payroll costs are multiplied by a factor to cover overhead and profit. The owner may specify an upper limit which cannot be exceeded without authorization.

You may require the consultant to execute a truth-in-negotiation certificate that states that wage rates and other unit costs supporting a fee are accurate, complete and current at time of contracting. This is appropriate in fee structures based upon multiples of personnel expense.

You will want to retain the right to cancel negotiations with a selected consultant if a fair and reasonable price cannot be negotiated. In such a case, negotiations can then proceed with the second most qualified firm.

While many counties choose to create their own consultant contract forms, it may be worth referring to The American Institute of Architects' "Standard Agreement Between Owner and Architect" (AIA form B-141) as a basis for discussion.

Working With Selected Consultants

The client agency designates the project manager to serve as a communications "link" between the consultants and the client. (See Chapter 2.1 which defines the role of the project manager and his or her relationship to the consultant.) He or she also arranges for meetings at which the consultants are introduced, the job scope and schedule discussed, and the working methods of the consultant identified so that all participants may contribute.

The project may be scheduled and tracked in a variety of ways. Two common means used by architects, planners and construction managers are the Critical Path Method (CPM) and the Project Evaluation and Review Technique (PERT). Both methods identify key progress dates and illustrate the results of meeting them or the consequences of failure. Regular presentations by the consultant are scheduled so that key groups in the county are aware of the project's progress. This also ensures early identification of problems by those participants who may be able to correct them.

It should be evident to the county that any proposed solution must be sensitive to the particularities of its situation. One means of encouraging a responsive product is to begin with a well-defined statement of need. Then, make sure that a consultant's methods and approach will, in fact, suit your project. Don't accept "stereotyped" solutions or "off-the-shelf" plans, if they are offered. Beware of needs assessment studies conducted by consultants who may derive fee benefits from proposed building solutions. In that case, the consultant could benefit from increased size or cost of the facility. Use your task force and Advisory Committee to confirm and endorse appropriate solutions to problems. Some analysis of proposed solutions may be available to you from the Board of Corrections.

Summary and Conclusion

To get the maximum benefit from a consultant, you must clearly define your needs. Then you can determine what type of consultant you require, what criteria and methods will best suit the selection of the consultant, and what issues should be addressed in the work of the project. Clear responsibility for communicating with potential consultants and the one finally selected should be assigned to the project manager. That person should also ensure that methods of selection are objective and well-documented.

Be prepared to devote time, personnel, and expense to choosing the best consultant you can get and to working closely with the one you select. These are the best investments you, as a client, can make in your project.

References

American Institute of Architects. **How To Find, Evaluate, Select, Negotiate With An Architect**, Washington, D.C., 1974. A booklet introducing types of selection processes, methods of compensation, and a bibliography to AIA documents on related subjects.

American Institute of Architects. **The Selection of An Architect**, Washington, D.C., 1963. Description of various means of architect selection.

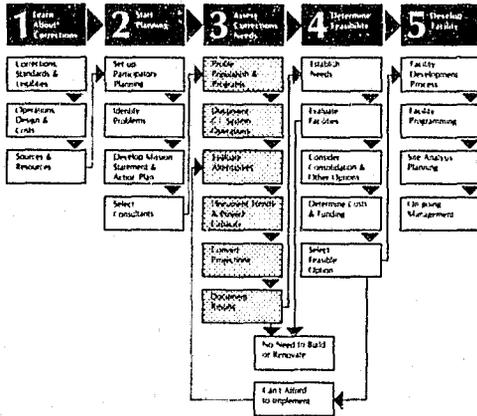
American Institute of Architects. **Statement of the Architect's Services**, Washington, D.C., 1971. Discusses architectural services, compensation and building type categories.

American Institute of Architects. **You and Your Architect**, Washington, D.C., 1978. Brief discussion of how to define your need for architectural services, how to select and hire, and client responsibilities.

Craig, Lois. "Competitions in Search of Quality", **Architectural Record**, December 1978. Examples of recent competitions for the design of federal GSA projects.

Frankenhuis, Jean Pierre. "How to Get a Good Consultant", **Harvard Business Review**, Nov.-Dec., 1977, pp. 133-139. A discussion of the right time to seek consultants and how to manage the process of soliciting, hiring and supervising them.

3.0 Introduction to Handbook Three



Who Will Use Handbook Three

Primary Users

- Project Manager
- Data Collection/ Analyst's Task Force
- Planning Team
- Board of Supervisors
- Policy Makers

Secondary Users

- Advisory Committee
- Justice agency representatives

Purpose of Handbook Three

The purpose of Handbook Three is to provide counties with methods for analyzing how existing detention facilities are used, evaluating criminal justice system functions that affect population levels in those facilities, and rationally projecting both facility and program requirements for future years.

This handbook provides detailed guidelines for counties to follow in accomplishing the needs assessment. The method has been broken down into component steps with detailed instructions for each one. Data collection forms, analytical questions, and suggested formats for presenting results are provided.

Virtually all of the techniques and processes have been tested and modified as a result of local corrections planning experience in California. They have worked for others and, with some commitment of thought and effort, they can provide your county with an excellent basis for making some tough decisions.

Determination of a county's needs for correctional programs and facilities involves input and decision making by individuals from many levels of county government and the community. It is a process which requires "nitty-gritty" data collection and analysis; formulation and testing of various policies based on that analysis; and, ultimately, policy decisions regarding program direction and facility development. These decisions will have a major impact on the county's long-term capital commitment for construction and program operation. As a result, Handbook Three will involve people from virtually all levels of county government. Their roles are described below.

Roles of Major Participants

Policy Makers

The ultimate users of the products developed in Handbook Three will be county policy makers—members of the Board of Supervisors, top county management, and key members of the local criminal justice system. Based on data developed by using this handbook, they will establish priorities for the types of facilities and programs required to meet the county's correction system needs over the coming years and will have long-term responsibility for implementing those decisions.

As a result, it is important that policy makers understand the data collection and analysis process outlined in the pages which follow. While other people will undoubtedly collect and analyze the data, policy makers should be involved in setting the goals for data collection and in reviewing procedures and assumptions. In this way, they will be prepared to make decisions based upon issues raised by the analysis.

Planning Team and Data Collection/Analysis Task Force

The primary audience for Handbook Three is the project manager and county staff members who are responsible for collecting and analyzing the data required for the needs assessment. Depending on how your county organizes the data collection and planning effort, these individuals may include staff and selected managers of criminal justice agencies, staff analysts from the county administrative office, or consultants. Organizing and staffing a data collection task force is discussed later in this chapter where the role of the project manager is spelled out.

The Advisory Committee

The Advisory Committee serves as a link between policy makers and the data collection team. A key task in Handbook Three involves evaluating trade-offs between constructing facilities or providing "alternatives" for individuals involved in the criminal justice system. Virtually all of these options have advantages and disadvantages from cost, effectiveness, and public safety perspectives. An integral part of the planning process will be analyzing these trade-offs and determining which choices best suit your county's needs.

Because it represents both community and justice agency interests, the Advisory Committee provides the proper forum for evaluating trade-offs and for making policy recommendations to the Board of Supervisors. To do this effectively, it is important that Advisory Committee members have a broad understanding of the analytical techniques, questions, and decision-making processes covered in this handbook.

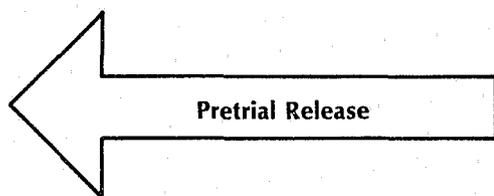
Goals for Data Collection and Analysis

Goal One: Establish and Maintain Control Over the County's Criminal Justice System

It is often said that a county has little control over its detention facility needs. As population grows and the composition of the community changes, crime may increase or decrease. While county government has little immediate impact on the societal forces which result in crime, arrest, sentencing and, therefore, jail population, a county can exercise significant control over the scope and type of detention services and facilities required to meet criminal justice system needs.

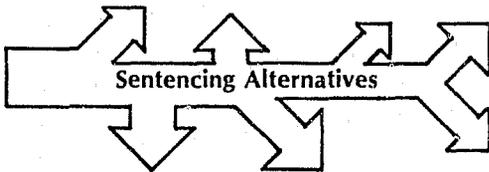
There are four major areas in which the county can affect both jail population and jail facility needs:

- Through its approach toward development and implementation of **pretrial release programs**.



Male			Female			Total
Pre-sent.	Sent.	Prob.	Pre-sent.	Sent.	Prob.	
40	60	15	14	10	8	155

	M	Tu	W	Th	F	Sa	Su
Arraignment	S.	S.	Mo.	Mo.	Mo.	Mo.	S.
Prel. Hear.	J.	J.	J.	K.	K.		
Pretrial Hear.	K.	K.	K.	J.	J.		
Trial	P./S.	P./S.	P./S.	P./S.	P./S.		



- Through the **classification of inmates** who are housed in local detention facilities.

- Through the effective and **timely functioning of the county court system.**

- Through **sentencing alternatives** for individuals who will serve time in the county.

To help the county gain (or maintain) this control, analysis procedures are designed to:

- Assist counties in documenting and evaluating current performance in each of these critical areas.
- Consider the potential impact of alternative courses of action.
- Assess the costs and benefits of implementing or expanding alternative programs and, when each of these analytical questions has been resolved, to
- Project detention facility needs.

Goal Two: Evaluate the Impact of Criminal Justice Programs on Jail Capacity Needs

Too frequently, correctional facility planning decisions are based only on past practices. Current jail populations are projected into the future and construction begun. Such an approach fails to consider other activities and programs which a county could undertake to moderate expensive jail construction and operation. With current revenue limitations facing California counties and jail construction costs up to \$60,000 per maximum security bed, it is prudent to consider alternative programs which might reduce the jail population before building plans are formulated.

Goal Three: Define a Correctional Strategy Based on Facts

Perhaps the fundamental factors that need to be understood in correctional facility planning are the characteristics of the population that will be dealt with, in the criminal justice system in general and in correction and detention facilities in particular. Without such an understanding, too large, too small, or the wrong type of facility may be built.

To avoid this, you must be thoroughly familiar with the type of offenders in correctional programs or facilities. This information will help to ensure that planning provides:

- Facilities with security levels consistent with population characteristics.
- An assessment of the risk to public safety if certain alleged offenders are granted pretrial release.
- An understanding of inmates' specific service and program requirements.

Goal Four: Help Each County Find Its Own Best Solutions

Each county is unique with its own particular population, crime problems, community concerns, and attitudes toward the criminal justice system. The correctional philosophy defined by the county should reflect each of these unique components. (See Chapter 2.3 on the mission statement.) The purpose of this handbook is not to impose a specific

correctional philosophy on a county, but rather to assist the county in documenting the effects of its current philosophy. Once the implications of current philosophy are understood, adjustments in that philosophy can be considered and the mission statement revised, if necessary. Only then will it be appropriate to develop a correctional facility program plan.

Overview of the Data Gathering and Analysis Process

Why Gather Information?

As you review the data collection and analysis steps described in the pages which follow, you may ask: "Why do we have to go through such a time-consuming exercise? Why can't we simply use readily available data provided by state criminal justice agencies to estimate our current and long range needs?"

The principal problem with most readily available data (such as raw statistics about county criminal justice and correction systems) is that such data are too general to answer many key questions related to practical correctional facilities planning. In addition, they are often based on partial or faulty data.

Generalized data available from the Bureau of Criminal Statistics, the FBI, and similar agencies, provide valuable indicators of overall criminal justice system activity in the county or state. But, they fail to provide any information about the specific characteristics of jail populations or of individuals who are passing through the criminal justice system. Similarly, such statistics are virtually unusable for evaluating the potential impact of alternative programs on facility needs. All this is information your county must have in order to make informed decisions.

As you review the data requirements for the needs assessment, you may conclude that some information is not readily available from existing records and files. For example, you may find it difficult to develop a portrait of the behavior characteristics and service needs of the incarcerated population. Or, it may be difficult to determine what proportion of those individuals who are granted pretrial releases fail to appear at required court appearances.

Such data gaps raise questions about the availability of data, not only for planning purposes, but also over the longer-range, to manage and assess the performance of your county's criminal justice and corrections system. Thus, as you collect and analyze data, be attuned to their potential long-range usefulness. A by-product of the needs assessment study will be an improvement in your county's detention and correction system records for management purposes.

Major Components of the Data Collection and Analysis Process

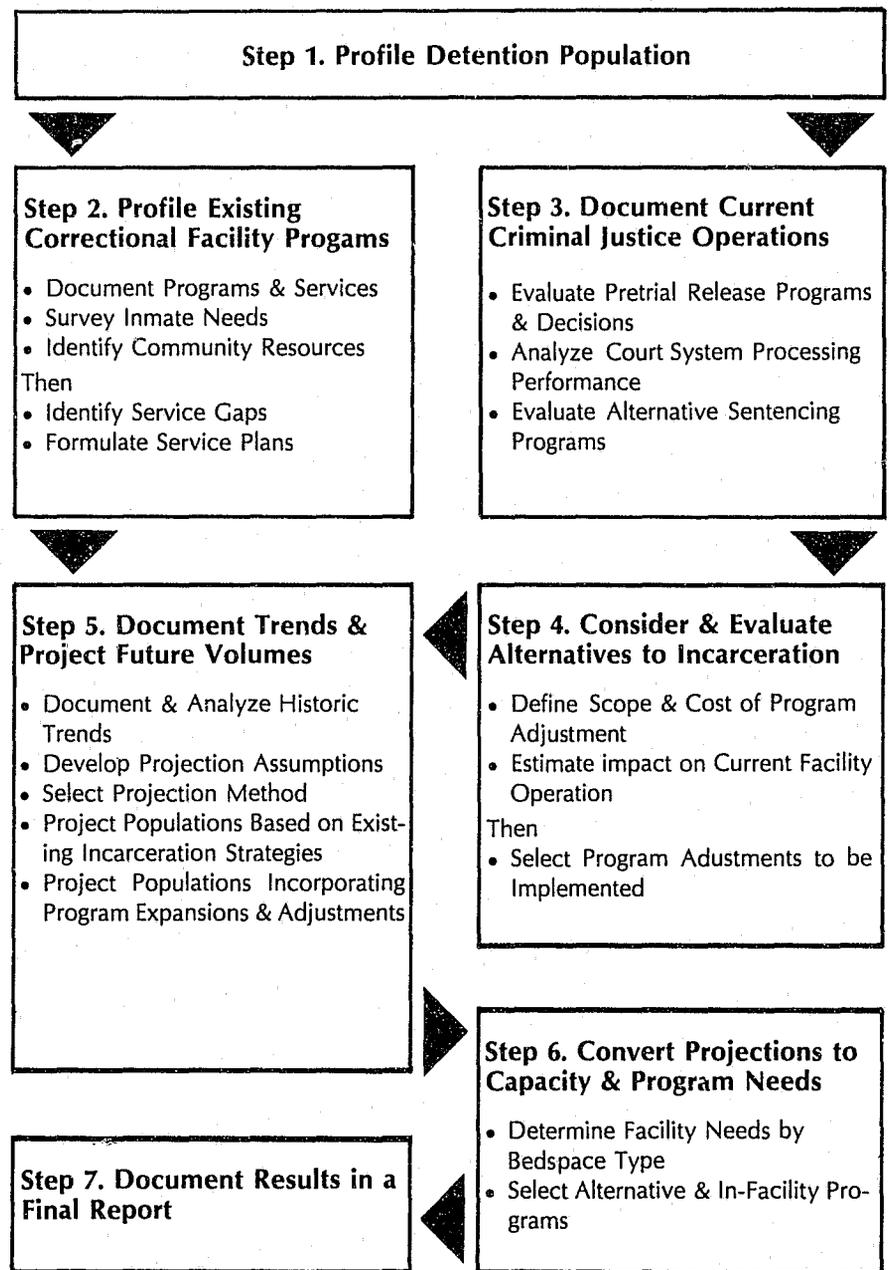
Figure 3.0-1, "The Data Collection, Analysis and Projection Sequence," shows how the data gathering and analysis steps fit together, indicates how data produced in each step fit into the analysis in subsequent steps, and outlines the sequence in which the steps are accomplished.

Step 1: Profile the Jail Population in sufficient detail to identify and test program and facility alternatives in subsequent steps. This step involves documenting the criminal history characteristics, length of stay, service needs, and behavior of jail inmates. This information is employed to answer such questions as:

- What are the security characteristics of the existing jail population?
- Are security levels of current facilities appropriate for these inmates? Do they provide safety and security for both staff and inmates?
- What proportion of the jail population could be safely released if release and service programs were improved?
- Would there be a risk to public safety if some of these individuals were provided pretrial release?

Profile data also provide important input to each of the subsequent planning steps.

Figure 3.0-1: Data Collection, Analysis and Projection Sequence



Step 2: Profile Existing Correctional Facility Programs. Develop a thorough picture of the services and programs provided within the walls of the jail and other detention facilities as well as programs available in the criminal justice system and elsewhere in the community. A major product of Step 2 will be identification of gaps between existing services and needs of the inmate population.

Step 3: Document Current Criminal Justice System Functions and assess the impact of current programs, practices and operations on correctional facility needs. This step involves understanding how the county criminal justice system functions and how well it relates to inmate needs through the operation of pretrial release programs, court services, and the availability of sentencing programs and alternatives.

Step 4: Consider and Evaluate Alternatives to Incarceration. This is a critical point in the overall assessment process where the Planning Team, Advisory Committee, and policy makers are asked to take a detailed look at what the county is doing now and to consider alternative courses of action. It requires reassessment of existing approaches

and provides an opportunity to shape future county correctional philosophy. The directions taken here can have major impact on long-term facility and capital requirements.

Step 5: Document Trends in Justice System and Correction Facility Populations and Project Future Levels. This step gives shape to the evaluation of policy alternatives considered above. It translates existing policies—and potential revisions of those policies—into inmate population projections and clarifies the financial and service impacts of alternative programs.

Step 6: Convert Projections to Capacity and Program Needs. The last step in this part of the process is revising forecasts of near and long-term facility and program needs. This step involves refining and selecting program strategies, defining facility requirements over the planning period, and estimating costs of programs and facilities.

As you accomplish each of these steps, remember that data collection is not an end in itself. Be creative in analyzing the data to determine what they say about incarceration strategies in your county. Similarly, take care not to get “bogged down” in data collection—be selective when data are not readily available; find an alternative source, or move on to the next item. Common sense is an important element in both data collection and analysis.

Organizing and Staffing the Data Collection and Analysis Task Force

“Do’s” and “Don’ts”

The data collection and analysis sequence described in this handbook is a considerable undertaking. To successfully analyze and document detention system needs, careful planning and project management are required.

Don’t assign project management responsibilities to an individual who can’t devote a significant amount of time managing **and** participating in project work activities. For example, the sheriff or district attorney should not be project managers since they are both already occupied full-time.

Do assign project management responsibilities to a staff member who can spend at least half-time on the project and can get involved in actual data collection activities. It is important that the project manager get directly involved with the data so that he or she can accurately analyze and interpret it.

Don’t “farm out” main data collection and analysis tasks to clerical staff (such as to records clerks in the jail) and expect these tasks to be properly completed unless close supervision and “quality control” are provided.

Do assign data collection as a major (as opposed to a minor, subordinate or part-time) responsibility to staff members who will be involved in the effort.

Don’t assume that one group of persons can collect data for another group to analyze. Keep the same team involved in subsequent steps.

Selecting a Project Manager

The project manager is the critical person in the data collection and analysis procedures. The project manager should meet the following criteria:

- Be available to devote at least half-time to data collection and analysis over the course of the project. The project manager must have adequate time available to become deeply involved in each component of the effort.
- Have a basic understanding of how the criminal justice system functions.
- Possess some quantitative skills. While sophisticated mathematical experience is not required, the project manager should be “comfortable” with data collection and elementary statistical analysis.
- Have reasonably good writing skills.
- Possess organizational skills and experience including work planning and scheduling, directing staff, and quality-controlling the work of others.

If such an individual is not readily available for the day-to-day management of the planning and analysis effort, consider contracting with a consultant to serve as project manager and to direct the activities of in-house staff who perform the major data collection and analysis tasks. If possible, this should be a long-term contract so that the project manager’s experience is retained through later phases.

Assigning Responsibility for Data Collection

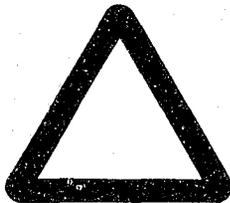
Staff assigned to the Task Force should be available for substantial portions of their working hours. It is more effective to assign a small number of people responsibility for data collection and analysis than for a large number of people to collect and interpret small, specific amounts of information. Having too many people involved presents many dangers, including greater difficulty in controlling the validity and accuracy of the data and the greater likelihood that their day-to-day job responsibilities will dominate, causing schedules to "slip."

Depending on the magnitude of the task, an effective course of action might involve designating a half-time or full-time project manager and hiring interns or students to assist with data collection and analysis. Such an approach minimizes schedule conflicts of county staff and has successfully been followed in a number of California counties.

Relationship Between the Project Manager and the Advisory Committee

The project manager is responsible to the Advisory Committee or Planning Team. A project schedule should be developed to provide milestones for presentation of information to the Advisory Committee and designate when major analysis, evaluation, and interpretation will be required of the committee. It is the project manager's responsibility to "bring the Advisory Committee along," educating them as the data are collected. He or she should use the committee as a forum for interpreting and evaluating the data and the alternative courses of action which the data suggest.

Cautions in Analyzing Correctional System Data



Caution

Be cautious as you interpret the data and develop projections for future facility requirements. The experience of counties across the United States has repeatedly shown that corrections tends to be a "capacity driven" system—when detention beds are built, they are often immediately filled. The overcrowding they were meant to alleviate simply continues.

While not a formal criterion, judges may choose sentencing options based on their knowledge of and attitudes toward the quality and capacity of local detention facilities. If the jail is overcrowded or deteriorated, judges often use options other than the jail such as probation or restitution. When facility problems are resolved, judicial decision-making may change in favor of the jail.

Similarly, pretrial release decisions may reflect conditions in facilities. If facilities are overcrowded, officials may be inclined to grant releases. If beds are available, release decisions may become more restrictive. Police arrest decisions may follow the same pattern.

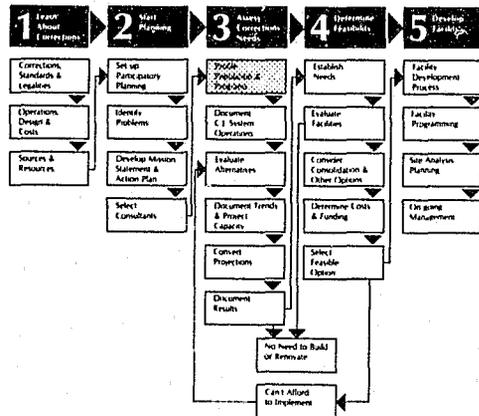
Factors outside the county's control also can have major impact. Changes in state law, for example, significantly influence facility population levels.

These factors combine to complicate your task, especially in projecting facility populations. They suggest that:

- No projection is infallible.
- Projections and facility plans need to be flexible and anticipate probable future change.
- Projections need to be periodically reviewed and revised as conditions change.
- Since the success of the planning effort depends on implementation of program and policy commitments, mechanisms must be established to make key criminal justice system officials accountable for decisions which affect jail population.

The next chapters detail the data gathering, analysis and projection sequence.

3.1 Step 1: Profile the Jail Population



Why Profile the Jail Population?

Most available statistics don't tell you anything about the people who are, will be, or should be incarcerated. They will tell you, in aggregate, how many have been arrested, how many held, and perhaps what charges have been levied against them. But, they won't tell you many things you need to know to answer corrections facility planning questions. For example, they won't show you how long people are held or by what means they are released—information you need to consider such critical issues as which detainees might be eligible for a pretrial release program or an alternative sentence. The profile will provide this kind of information.

Questions This Chapter Will Help You to Answer

Development of the jail population profile will provide information that can be used to evaluate existing pretrial and post-sentence programs that affect jail population. It will help you analyze other criminal justice system processes that influence inmates' length of stay in jail, and can be used to consider specific inmate characteristics that bear on the scope and nature of facilities which may be required. The subsequent chapters of this report suggest a variety of analytical questions that must be answered to resolve planning issues. Results of the jail population profile provide important input to answering these questions.

A Note on Terminology

The profile of the jail population described in this chapter is intended to include inmates held at any and all of the facilities which the county may be considering for the purposes of this study. For simplicity, only the term "jail" is used.

What is a Jail Population Profile?

A population profile consists of information that describes the county's incarcerated population in terms of a number of personal, behavior indicator, legal status, and offense characteristics.

Major Components of a Population Profile

The major elements contained in a population profile are summarized in Figure 3.1-1, "Key Characteristics of the Jail Population." The figure shows the kinds of data which comprise the population profile and how each type is used in the analysis. As you approach the data collection and analysis tasks, you will find that some issues apply to your county and others do not. As an aid to your analysis effort, data requirements listed

in this chapter, analytical questions proposed in subsequent chapters, and data collection and analysis forms have been classified as follows:

Basic: Data that must be collected and analyses that must be conducted to satisfy essential needs assessment requirements.

Secondary: Discretionary data that would be valuable to collect or analyses that would be valuable to conduct if data are available in your county and if issues answered by the analysis are relevant to your county's situation. The amount of staff time available will also contribute to the decision about whether to conduct secondary activities.

Figure 3.1-1: Key Characteristics of the Jail Population

Characteristic to Be Documented (Priority*)	Use in Analyzing Detention System Issues and Needs
Sentence status of jail population on an average day. (B)	Proportion of sentenced versus unsentenced should be used to: (1) analyze extent to which pretrial policies can influence facility populations and future space needs; (2) determine types of facilities needed to handle various population components—e.g., segregation of sentenced and unsentenced inmates and housing both population components consistent with Minimum Standards for Local Detention Facilities .
Length of stay for each unsentenced inmate. (B)	Analyze impact of current pretrial release policies and procedures on detention system population. Explore impact of court procedures on jail and other detention facility populations. Consider program and service needs of unsentenced population.
Length of stay for each sentenced inmate. (B)	Evaluate program and service needs of sentenced population. The length of stay characteristics of the population should be closely reviewed to determine the types of in-facility rehabilitative or other service programs which can be provided to sentenced inmates.
Charges levied against unsentenced inmates. (B)	Determine if there are opportunities to revise law enforcement agency arrest and booking practices to expand use of the citation release mechanism authorized under the California Penal Code. Analyze results of current pretrial release policies (citation release; 10% bail; bail bond schedule and policies; release on own recognizance; supervised release) on jail population. Answer such questions as "To what extent do individuals charged with serious felony offenses make up the unsentenced jail population?" Provide input to the analysis of the security characteristics of the unsentenced/pretrial population.
Security and known behavior characteristics of sentenced and unsentenced inmates. (S)	Evaluate type of housing, by security level, required to deal with both the sentenced and unsentenced population.
Criminal history of unsentenced inmates. (B)	Evaluate pretrial programs from perspective of one indicator of security risk associated with individuals held in pretrial custody.
Warrant or hold status of unsentenced inmates. (B)	Identify barriers to granting pretrial release beyond the direct control of the county. Identify proportion of the unsentenced population in county jail and detention facilities being held for other jurisdictions.
Appearance history of unsentenced inmates on previous pretrial releases. (S)	Evaluate current pretrial release programs and policies by analyzing characteristics of inmates not accorded pretrial release.
Personal characteristics of unsentenced inmates to include presence of medical problems, mental health problems, drug and/or alcohol abuse problems. (S)	Identify in-facility service needs of jail and other detention facility populations. Analyze personal characteristics of unsentenced inmates to assess relationship between those characteristics and pretrial incarceration.

*Key

B = Basic

S = Secondary

Two Types of Jail Population Profiles

While large, sophisticated systems may choose to design their own surveys, this chapter offers two different approaches that can be used to construct a jail population profile.

The **"snapshot" profile** describes the jail population at a specific point in time. It is a two-step process, the first part of which portrays key characteristics of the jail population. The second part samples releases from the jail over a representative period to provide information on average length of stay and release mechanisms.

The **"longitudinal" profile** involves detailed study of individuals who have been released from the jail. This method allows you to develop added data about the impact of criminal justice programs and processes on the jail population.

Advantages and Disadvantages of the Profiling Approaches

The choice between these two methods should be made by the Planning Team. The decision depends upon which will provide your county with the best foundation for its planning effort in light of the information and resources available. In making the decision, consider the advantages and disadvantages of each method.

The **snapshot profile** is less time-consuming and complex. It provides an opportunity to document personal and behavior characteristics of inmates based on their own responses or direct knowledge of custodial staff (if formal classification documents are unavailable).

However, this approach requires a second data collection process to document length of stay and release performance. This means managing and coordinating two separate sets of data.

The analyst must also make assumptions about links between population characteristics (such as length of stay up to the profile date) and criminal justice system functions which impact jail population (such as court processing and time to trial). If the jail population fluctuates seasonally, especially in terms of its composition, results of the snapshot profile will be biased if an unrepresentative period is selected for the study.

The **longitudinal approach** provides a comprehensive portrait of the process and outcome of releases during a period of time through analysis of a single set of data. Because the longitudinal analysis covers bookings over a longer period than the snapshot approach, results are less susceptible to fluctuations in the composition of the jail population.

The longitudinal approach also has its disadvantages. In those counties which do not have automated jail information systems, it is much more difficult to construct than the snapshot approach. Because the inmates included in the analysis are no longer in custody, it can be difficult or impossible to "reconstruct" data which are not available from formal records (such as behavior or security characteristics). In addition, it is impossible to describe jail population composition at a particular point in time using the longitudinal profile. For these reasons, relatively few systems will choose the longitudinal profile.

Alternative One: Construct a "Snapshot" Jail Profile

How to Gather Information for Part One of the Snapshot Jail Profile: Inmate Characteristics

If you decide to use the snapshot approach, you will need to conduct two separate data collection and analysis exercises:

- Part one: develop and analyze a profile of the characteristics of the jail population at one point in time.
- Part two: survey and analyze jail releases over a period of time.

The sections which follow explain how to accomplish both parts.

The "Snapshot Profile Data Form," located in Appendix A, provides a model for use in collecting the jail population profile data. You may use it as is, or modify it to fit your needs. Each of the data elements on the form has been annotated to indicate whether it is "basic" or "secondary" in terms of the priorities discussed earlier.

The process for collecting and recording part one of the snapshot profile data involves seven main tasks.

Task 1: Develop a Profile Data Form. Familiarize yourself with how jail records are structured, maintained, and filed. Use Appendix B, "Suggested Sources for Snapshot Profile Data", as a guide in evaluating potential sources for each item on the data form and for determining where alternative sources will have to be employed. Based on the results of this review, develop a data collection form or modify the sample form shown in Appendix A.

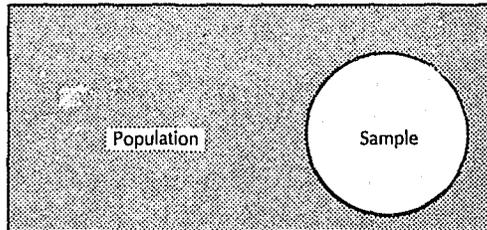
Task 2: Select A Period to Profile the Jail. Review jail population data for the last six to twelve months. Identify days of the week when facility populations are at peak volume or low points. Pick the appropriate day(s) to construct the population profile(s).

At a minimum, construct a population profile based on midnight or late evening on Sunday—generally the period when jail populations are at their peak.

If facility populations fluctuate significantly (15 percent to 20 percent from peak to low), you should also construct a profile which reflects a "low" population day, usually

a mid-week day such as Tuesday or Wednesday. Such fluctuations occur in most counties, and a two-snapshot minimum will be advisable. Again, take the profile as of midnight or late evening when inmates are back from court and bookings have peaked. If multiple snapshots are taken, study them in two steps:

- Analyze them separately and identify differences in population characteristics and composition.
- Then, merge the two snapshots into a cumulative population and conduct the balance of the analysis based on the total profile.



Task 3: Determine Sample Size. Your next major decision is to determine whether the profile will be based on all jail inmates incarcerated at the time the profile is constructed or a "sample" of the larger population. General rules of thumb to employ in deciding whether or not to sample include the following:

- If the jail population is relatively limited (less than about 200), the entire population should be profiled. That is, each inmate should be included in the profile.
- Substantial samples should be taken from populations of 200 to 500. These samples should be designed using accepted sampling techniques. Appendix C provides sampling guidelines.

Task 4: Estimate Time Requirements. Estimate the time (calendar and staff) required to develop the "basic" data as indicated on the "Snapshot Profile Data Form." If data sources are readily available, a trained and experienced data collector can complete from five to ten forms per hour. If multiple data sources external to the jail or sheriff's department must be employed to complete data sheets, hourly productivity drops sharply. For example:

- If a supplementary inmate questionnaire is required, at least eight to twelve person days will be needed to develop the questionnaire, pre-test it, administer it to inmates, and transfer results to tally sheets.
- If court records must be accessed to develop data on adjudicatory status or history, pending cases, or the like, time requirements can vary substantially depending on court filing systems, document location and accessibility. A general rule of thumb is two to four person days per 100 inmates for court file analysis.
- Warrant, criminal history, and incarceration data drawn from CLETS (California Law Enforcement Teletype System) print-outs or CII criminal history documents can be analyzed and transferred to tally sheets at the rate of approximately five to eight per person hour.
- Depending on how documents are organized and filed, classification, medical or substance abuse data can be transferred from existing documents at the rate of about ten inmate cases per hour. If these data are not available from existing documents and must be constructed through interviews with jail or medical staff, a comparable level of output can be expected.
- Data available from booking sheets can be tallied at the rate of about 15 per hour.
- Given the above, Appendix D, "Estimated Time Requirements for Snapshot Profile," displays guidelines which can be used to estimate time requirements to tally data per 100 inmates. Note that these estimates relate to data collection only; processing and analysis will require significant additional time. Since the scope of the analysis and the time needed for manual or computer tabulation can vary so widely, it is impossible to provide valid guidelines for the later activities.

Task 5: Select and Train Data Collectors on how to complete the profile form, showing them the organization and content of records they will be using. Clearly point out the location of each item in the records, review each code and its meaning, and have each collector complete at least one data form in your presence.

Especially if you use several data collectors, conduct random audits during the data collection period to ensure that procedures are uniform among the collectors and that data are being accurately transferred.

How to Gather Information for Part Two of the Snapshot Profile: Sample of Releases

Alternative Two: Construct a Longitudinal Jail Profile

Task 6: Photocopy Booking Sheets. On the day that data are to be collected, at the selected time, either photocopy all booking sheets or, if booking sheets are not used by the jail, develop a list of every inmate in the jail (name and identification number) and use this number to coordinate data on each inmate from the various information sources employed.

Task 7: Transfer Data to Profile Forms. Starting with the booking sheet copies, transfer data to the profile data forms. After these data are entered, use other sources to complete the forms, if required in your situation.

The snapshot profile requires some additional data to develop information about inmates' lengths of stay. These data are developed by completing the following four tasks.

Task 1: Review Release Volumes. Review jail documents to determine the average (or typical) number of inmates released on a daily basis. Analyze several months to get a "feeling" for release volume.

Task 2: Determine Release Sample. Decide how many releases should be analyzed. Use the sampling guidelines in Appendix B to determine this number. Depending on the number required, select a time period for the sample which can be expected to produce that number of releases. Be sure that special groups which may be released as a whole (such as weekenders or those sentenced to state facilities) do not create an atypical pattern. You should ensure that your sample covers at least a week.

Task 3: Develop Release Data Form. Review jail records and identify the sources which will provide the required release data. Based on your review, develop a release data form, instructions for data collectors, and a data collection schedule. Appendix E, "Inmate Release Data Form," contains a sample tally sheet for recording release data.

Task 4: Arrange to Hold and Tally Records of Releasees. Make arrangements with jail records personnel to "hold" custody files of inmates released each day. This is an important step. If files are stored and must subsequently be extracted from archives, the process will be much more complicated and time-consuming. To avoid hampering jail record processing activities, tally the releases daily.

As with the first part of the profile, care should be taken that release data are tallied accurately and that the necessary releases are collected on a timely, recurring basis. To ensure that the data are accurately tallied, the project manager should conduct random audits to check completed work.

Procedures for analyzing the snapshot and release data are described after a discussion of the alternative method—longitudinal profiling.

The longitudinal profile is based on "tracking" inmates from arrest and booking until release. Tracking will enable you to document your county's current performance in those programs which influence jail population, and evaluate potential adjustments to those programs.

Initial tasks in developing a longitudinal profile are comparable to those in the snapshot profile described above. You will need to review jail and court documents to get familiar with data sources, prepare a data collection form, train data collectors, and develop a data collection schedule. Tasks unique to the longitudinal approach are described below.

Task 1: Determine the Sample Size. If you select the longitudinal approach, you need to decide on how many inmates you need to analyze to obtain a representative sample. Your principal choices involve, first, determining the appropriate sample size and, second, determining whether or not to sample inmates or whether you can simply track every inmate booked into the jail over a period of time. Guidelines for making this decision are provided in Appendix C.

Task 2: Develop a Data Collection Form. The "Longitudinal Profile Data Form," in Appendix F provides a model for the longitudinal profile data collection. Like the snapshot form, the longitudinal form is annotated to show basic and secondary data elements. Use this form as a guide in reviewing jail documents to assess which data elements are available and how you will collect them. Primary and alternative data sources for the longitudinal profile are comparable to those shown for the snapshot profile in Appendix B.

All elapsed-time and disposition data required on the data form (items 21 through 25 and 29) require that the court case file be "pulled," data located, and transferred to the form.

Task 3: Estimate Time Required to Collect Profile Data. In general, you can estimate staff time required to collect data by using the guidelines shown in Appendix D. Because the longitudinal approach focuses on how long it takes an inmate to pass through the jail, more extensive analysis of court records is required.

Heavier reliance on court records is likely to substantially increase staff time required to develop the profile. Time estimates contained in Appendix D can be expected to increase by 30 to 50 percent.

If classification and medical records do not provide all data required on the form, it may be difficult to obtain valid information. Because the individuals included in the sample will no longer be in custody, it will be difficult to "reconstruct" data by reviewing individual inmates with knowledgeable custody or medical personnel.

Similarly, if pretrial release interview forms are unavailable, demographic and background data for individual inmates (items 38 through 41) will be virtually impossible to obtain since inmates will be unavailable to fill out questionnaires. Before selection of the longitudinal approach is finalized, records should be checked to ensure that required data can be reliably extracted.

Task 4. Collect Required Data. As you carry out the data collection procedures, follow these steps:

- From jail files, develop a list of releases to be tracked. Record the name and identification number of each inmate on the list and transfer this information to a data form for each inmate.
- Hold the jail file (jacket/folder) for each of these inmates and transfer the relevant data to the form.
- If all the required data are not contained in the jail files, request or construct criminal history and warrant/hold status data as appropriate. Observe certain cautions when tallying criminal history data (from CII criminal histories). Ensure that the inmate's record is up to date and that criminal history for the appropriate date of arrest and booking is tallied.
- To the extent possible, given data on classification and personal characteristics, tally these data and transfer to the data collection sheet.
- Then, as the last data collection step, access court records and collect criminal charge progression and court-related elapsed time data.

Once data have been collected, the next step, for either the longitudinal or snapshot profile, is analyzing results to identify jail program and/or facility planning issues.

Analyzing Profile Data

Even with relatively small jail population or booking samples, analyzing profile data can be a time-consuming task—more so than collecting the data. You face a choice between two methods of analysis—a manual one or an existing computer data processing package. The sections which follow introduce the scope of the analysis and explain how to use both processing alternatives.

An Overview of the Analysis: Two Levels

No matter which profiling method you select, your analysis examines relationships among the characteristics of the jail population which have been recorded for each inmate. At this point, we are not concerned about individual inmates; rather, we wish to examine aspects of the overall jail population or of specific subgroups (such as felons) to draw general conclusions about the jail as a whole.

The analysis is accomplished at two levels: preliminary and refined. The preliminary level looks at one or two characteristics (or "variables") at a time. For example, the first level might begin with charges against inmates. To start, these might simply be listed as **frequencies**; that is, what percent of inmates face which charges. The preliminary level would take this one step further, developing **tables** which allow us to look at two characteristics at once, such as the difference in charges between those in the jail pretrial and those who are sentenced. The refined level of analysis breaks this down further, looking at three or more variables at a time. Thus, we could look at the number of male or female inmates facing various charges who were pretrial or sentenced.

Task 2. Once data forms are all posted on the coding sheet, each line entry (one line per inmate) is analyzed, and all unsentenced male prisoners are identified.

Task 3. Booking charge and length of stay data for each of the unsentenced male prisoners are transferred to a second tally sheet as shown in Figure 3.1-6:

Figure 3.1-6: Coding Sheet for Unsented Male Prisoners

Master Coding Sheet		
Data Element Columns		
1. Facility	2. Sex	3. Race

Unsented Male Prisoners by Charge & Length of Stay						
Charge	Booking Day	1	2	3	4	5
Felony Murder	/	//	//	/		
Other Violent Anti-Person			###			

Task 4. Results are totalled in each data "cell" and then for each column and row, and percentages are calculated.

Manual tabulation and computation to construct a single chart like this would take **three to four hours** for a relatively small sample. Given the variety of ways that planners will want to consider the data, manual tabulation requires a major commitment of staff time and/or severely limits the county's ability to analyze its data. If your jail population exceeds 50 to 75, you should very seriously consider computerized tabulation, which is described in the next section.

Computerized Tabulation

There are a variety of computerized statistical packages which your county can employ to speed analysis of profile results and expand the Planning Team's capability to examine issues raised by the profile data. Standard packages like SPSS (Statistical Package for the Social Sciences) can be used to produce tables from data comparable to the jail profile.

Their capabilities for use in this analysis include both the **preliminary level** of portraying the entire population by two variables (such as primary booking charge versus length of stay) as well as the **refined level** of portraying a specific sub-component of the population by two variables (such as unsentenced, male inmates by primary booking charge versus length of stay).

Statistical packages are available at many data processing centers and can be used by a county for a modest charge. For example, in-depth analysis of a profile sample of 500 to 1000 inmates can be accomplished for approximately \$750 to \$1500 in data processing charges. You will also need some assistance in coordinating your data and writing the special instructions that SPSS (or another system) needs in order to construct the tables you will want. A programmer/analyst experienced in using SPSS can prepare the instructions required for in-depth analysis of profile results in 40 to 60 person hours.

If county staff are not familiar with SPSS, data processing centers generally maintain lists of individuals you could contract for assistance. Most colleges and universities have SPSS and may be able to help you.

No matter which analysis technique you decide to employ, once data collection activities are complete, you will need to construct several tables to portray the basic characteristics of jail inmates. If more than one facility was included in the study, prepare tables both for the combined sample of inmates as a whole and separately for each facility. Once completed, the results should be reviewed with the Advisory Committee to provide a basic understanding of the composition of the jail population and some indication of the county's current performance in the use of pretrial release programs.

Preliminary Analysis of the Jail Population Profile

The following paragraphs outline suggested preliminary analyses. These analyses develop information useful in examining policy concerning three critical issues:

- Sentence status of the jail population.
- Length of stay for unsentenced inmates.
- Proportion of inmates accorded pretrial release.

For each of these issues, the table content is specified and its format illustrated. In addition, "primary analytical questions" you should ask (and answer) as you review each table are provided. Also provided are "triggers for additional analysis" which the data may suggest.

Analytical Issue 1: Sentence Status of the Jail Population

Table Content

Jail population is divided by **sentence status** (sentenced or unsentenced) and **primary charge** (felony and misdemeanor, with sub-categories as listed on profile data form. Note that offense categories are listed by Penal Code section in Appendix G.). Prepare a separate table for each county facility and for the population as a whole.

Figure 3.1-7: Sentence Status

Primary Charge	Facility: Main Jail					
	Sentenced		Unsentenced		Total	
	No.	% of Total Population	No.	% of Total Population	No.	% of Total Population
Felony						
Murder/related violent crime						
Other violent anti-person crime						
Sub-total Felony						
Misdemeanor						
Violent Offense—Civilian						
Violent Offense—Police Officer involved						
Burglary related						
Sub-total Misdemeanor						
Total						

Primary Analytical Questions

What proportion of inmates are accorded pretrial release? To develop this indicator, use the totals for each pretrial release option listed in the table and compute the percent of inmates released under each option in relation to the total sample. Compute the percent of inmates who are held in custody until disposition of their cases.

What is the average length of pretrial stay overall? What is the average length of stay for each release option and for those who are held in custody until court disposition? Compute average length of stay using the "weighted average" technique shown below. For illustrative purposes, the bail bond option is used to show how to develop a weighted average.

Multiply the number of hours or days in custody by the number of inmates released, as recorded in the appropriate cell in your completed version of the table shown in Figure 3.1-10. The table in Figure 3.1-10 lists the possible days in custody in the first column. The number of inmates released on each of those days is then entered in the second column. The last column, weighted inmate days, is equal to the first column times the second column.

Note that hours are codes as decimals of a day as follows:

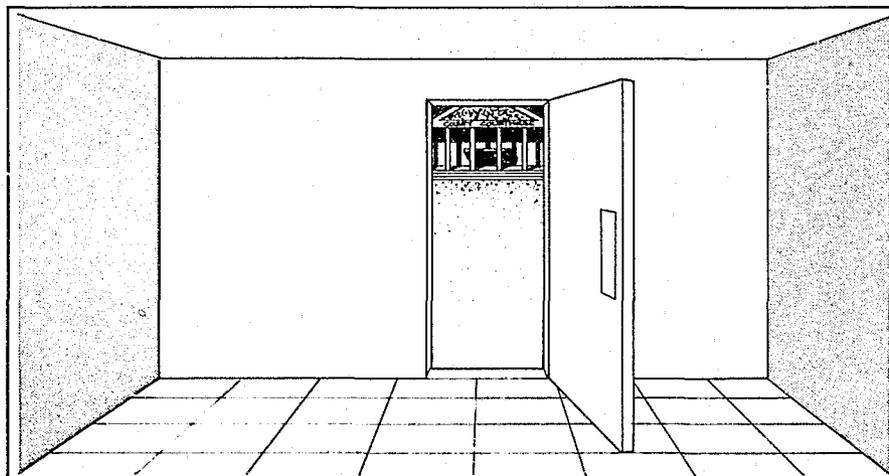
- Less than 4 hours = 0.2 days
- Less than 4-7 hours = 0.3 days
- Less than 8-12 hours = 0.5 days
- Less than 12-23 hours = 0.7 days

Figure 3.1-10: Inmate Days

Days from Booking to Release	×	Number of Inmates	=	Weighted Inmate Days
0.2		3		0.6
0.3		4		1.2
0.5		6		3
0.7		8		5.6
1		9		9
2		8		16
3		12		36
4		7		28
5		3		15
6		5		30
7		0		0
8		3		24
9		0		0
10		2		20
11		2		22
12		0		0
13		2		26
14		0		0
15		4		60
16		1		16
17		0		0
18		2		36
21		1		21
23		2		46
27		1		27
35		1		35
42		1		42
TOTAL:		87		519.4

Then, divide the total weighted inmate days (519.4 in the above example) by the number of inmates released this way (87 in the example) to compute the average length of stay associated with this option. In the example, the average length of stay for inmates released by bail or bail bond is 5.97 days.

Once average length of stay for each release option is calculated, combine these data to compute the average length of pretrial stay associated with each booking, given the county's existing mix of pretrial release policies and performance. Follow the procedures described above, applied to the "total" entries at the bottom of the table you have created (Figure 3.1-9), to compute overall average length of pretrial stay.



Triggers for Additional Analysis

If the average length of stay for OR releases exceeds four or five days, it may suggest opportunities to accelerate pretrial release decision-making and reduce the jail population. If the average length of stay of inmates held in custody until disposition exceeds 20 or 30 days, further explore in-custody average length of stay by type of charge in order to isolate average length of stay of felony defendants. If it exceeds 60 days, you may need to explore court processing activities (or delays) and their impact on jail population.

Further Analysis of Release Options

More information will be needed about release options. For example, you should analyze each **release option** by **type of charge**. This analysis will put in perspective existing pretrial release programs and strategies employed by your county.

Additional analyses of the profile data are suggested in Steps 3 and 4 of this handbook (Chapters 3.3 and 3.4), which evaluate existing pretrial release programs, court processing performance, and the use of sentencing alternatives as they affect current and future jail population levels.

Present Results of the Preliminary Analysis to the Advisory Committee

The results of the preliminary analysis should be presented to the Advisory Committee. Include a selection of tables which demonstrate major findings.

- Provide a table showing the composition of the population in each facility by charge and sentence status (refer to Figure 3.1-7).
- A second table should show the length of stay of the pretrial population by charge (refer to Figure 3.1-8).
- Present this in conjunction with a third table showing the use of various pretrial release mechanisms for inmates facing various charges (refer to Figure 3.1-9).

Accompany these tables with a narrative highlighting the existing use of pretrial release mechanisms and the resulting composition of the jail population.

Cautions in Analyzing Profile Data

The profile will provide extensive information on the characteristics of the jail population. However, as you construct tables from the data and analyze components of the population, you will find that some "cells" in the tables have only a small number of entries. For cells with less than 10 or 12 percent of the total sample, be careful not to lend too much weight or draw significant conclusions from them. They are subject to considerable potential error since such small numbers may not be representative of your jail's continuing population. In these instances, you will have to "combine cells" and

draw conclusions about the population at a lower level of detail. In addition, "averages" for many of the kinds of data included in the profile can hide significant variations within the population. For example, an average length of stay of 6.8 days could be comprised of many people who stay about seven days or—more likely—a number of people who spend less than two days, some people who stay from two to seven days, and a small percentage who stay up to a year. Thus, the distribution of results must be studied, not only the average.

Need for Supplementary Studies

It is important to realize that information from the population profile will not resolve **all** issues that you may encounter in the course of the needs assessment. When you find issues that need further clarification, your most effective course of action will be to conduct supplementary "mini-studies" to develop information that will help resolve these issues. The following example illustrates the use of a supplementary study.

Example of a Supplementary Study

Your review of jail profile data indicates that felony defendants who are not released before trial have an average length of stay until sentencing of 98.7 days. This finding raises questions about the impact of court performance on jail population levels. It does not, however, provide sufficient information to support a conclusion about opportunities to improve court processing.

To resolve the issue, you would conduct a supplementary study of court operations which could consist of the following steps.

- Identify in-custody cases on one week's worth of sentencing calendars.
- Pull and analyze case files for each of those cases.
- Evaluate such performance indicators as time for continuances granted and time for psychiatric evaluations.
- Based on the supplementary study, determine if there are specific elements of court performance which could be improved which contribute to the average length of stay data identified through the profile.

Summary and Conclusion

This first step has described techniques for documenting and analyzing a variety of characteristics of the sentenced and unsentenced people who pass through your jail.

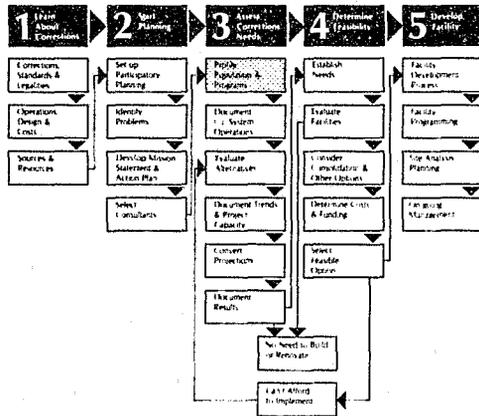
Data developed in both profiling approaches provide the basis for analysis of inmate services, as well as pretrial and post-sentence programs—all of which need to be evaluated before capacity projections can be made and facility needs evaluated. The next chapter involves Step 2, an analysis of the need for inmate programs and services.

References

Lakner, Edward. **A Manual of Statistical Sampling Methods for Corrections Planners**, National Clearinghouse for Criminal Justice Planning and Architecture, Urbana, IL: University of Illinois, 1976. A valuable guide to sampling issues and methods.

Nie, Norman H., et al. **SPSS: Statistical Package for the Social Sciences**, Second Edition, New York: McGraw-Hill Book Company, 1975. This manual explains in easily understood language the use and capabilities of SPSS and also introduces its many available statistical techniques.

3.2 Step 2: Analyze Existing Inmate Programs



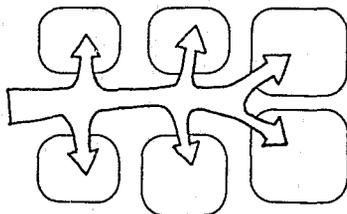
Introduction

An important aspect of corrections planning is to identify issues concerning the provision of programs and services to inmates. This analysis focuses on two areas:

- How decisions are made about housing of inmates within existing facilities. Inmate "classification" systems are intended to fulfill these functions.
- Meeting the service needs of the incarcerated population by responding to inmate needs that arise in the jail as well as those related to the inmate's life outside (family, employment, and so forth).

Your jail may or may not now have the staff it needs to carry out proper classification or other programs, and it may lack the proper space to segregate various classifications or to offer programs that you want—or standards require. This chapter presents a method to help you examine current programs and classification procedures and shows you how to gather information on inmate needs. This information will provide a basis for planning to improve current practices and projecting future needs. As you enter into this analysis, be sure to involve representatives of the agencies which play key roles in providing services to the jail.

Inmate Classification and Housing



Classification is the process by which jail staff reviews various inmate characteristics and determines where in the jail inmates will be housed and which programs they should (or may) take part in. These decisions should include consideration of security requirements, service needs, and inmate and staff safety.

Procedures employed to classify inmates can have major impact on how current facilities are used and on the type of facilities and staff required to meet future needs. Therefore, attention should be paid to existing classification procedures and housing decisions. Issues you need to explore are listed below while a more detailed analysis is contained in subsequent sections.

- Who has responsibility for making the classification decision?
- When is the classification decision made? Are inmates classified immediately after booking—or, after spending several days in the facility?
- What criteria are employed to make the classification decision? Has a formal classification scheme been developed? If not, how are housing decisions made?
- What data sources are employed to make the classification decision?

- Are the specific service needs and problems of individual inmates incorporated into the classification decision? This would include consideration of such problems as medical needs, mental health problems, segregation, previous escape history, and behavior that poses security problems for inmates or staff.
- To what extent are medical staff and mental health staff who work with jail inmates involved in the classification decision?

Analysis of Classification Procedures

Analysis of the classification process involves examining not only how classification decisions are made, but also the procedures currently used to collect information about inmates at intake and during previous stays in the facility. To document and understand the classification system in light of these issues, you need to answer the following questions:

- What information is currently collected about the inmates at intake? Are medical problems identified? What about other problems that might help in anticipating the inmate's behavior while in the facility?
- Are permanent jail files maintained for each individual who passes through the jail? If not, why not? If so, are these files available to staff during classification decision-making? Do these files record experience with inmate's problems and service needs during previous stays in the facility? Is this historical information incorporated into the classification decision?
- Are inmates kept separate from the general population prior to the classification and housing decision being made? Is sufficient time allowed to observe individuals in segregated circumstances to identify potential behavior problems before making the classification and housing decision?
- Is there consistency in the classification evaluation and decisions? For example, are inmates typically held in maximum security during the pretrial period, only to be sentenced to the local detention system and transferred to lower security facilities upon sentence? If so, does this make sense or are there less costly approaches?

Developing answers to these questions will help you evaluate the effectiveness of existing classification procedures. As you evaluate those practices, ask other counties about advantages and disadvantages of the classification schemes they use. Also refer to the studies listed at the end of this chapter which synthesize a broader range of experience.

How to Evaluate the Effectiveness of Classification Procedures

It is important to develop quantitative indicators which demonstrate the effectiveness with which classification decisions are made. The jail population profile, developed in Step 1, provides a data base which can be used to analyze existing classification practices. To conduct this analysis, you will need to accomplish the following tasks.

Task 1: Select Inmate Security Criteria. In conjunction with classification and custody staff, select criteria which could be or are employed to determine the security level in which an inmate should be housed. For example, criteria such as current violent behavior, escape risk, prison gang member, enemies in the general population, or current violent mental health problem could indicate individuals who need to be housed in a maximum security setting. By contrast, inmates accused or convicted of non-violent offenses with no behavior problems, no escape history, no serious mental health or medical problems could be considered for housing in less secure settings.

Task 2: Compare Current Housing Choices to Preferred Scheme. Once the criteria have been established, use them to analyze the population as it is currently housed compared to the way it would be housed using the preferred criteria. This can be accomplished through use of the analysis techniques described in Chapter 3.1. As noted there, you may have to develop indicators of inmate characteristics through interviews with jail personnel if a formal classification system is not in use.

The analysis involves developing a table which profiles the population in each of your county's facilities by individual inmate characteristics (especially custody problems) compared to actual housing assignment. Figure 3.2-1 shows a table produced using these variables.

Figure 3.2-1: Current Housing by Custody Problem

First Custody Problem	Current Housing Assignment					
	Admin. Seg.	General Pop.	Medical Unit	Mental Health Unit	Single Cell	Multiple Cell
Suicidal						
Violent						
Prison Gang						
Homo-sexual/ Trans-sexual						
(Etc.)						

Task 3: Interpret Results. Based on the analysis, identify the proportion of the population that appears to be inappropriately housed and determine **why** that is the case. Ask questions like the following:

- How many people are inappropriately housed given the behavior characteristics documented in the profile?
- Why have these people been housed this way?
- To what extent does the existing facility contribute to housing problems?
- Does the existing classification system result in inappropriate housing decisions?

Answers to these questions can be used two ways:

- To identify improvements which could be made in the existing classification system.
- To provide indicators of the type of housing required to deal with current and projected jail populations.

If possible, explore ways to correct this, given your current facility. Longer-range solutions are developed in later chapters.

Cautions in Interpreting Existing Classification Procedures



Consider certain limitations of the above analysis as you proceed with its interpretation and as you project facility and service needs responsive to classification issues.

If you are using existing classification documents, bear in mind that classification systems often reflect the characteristics of the available **facility** as much as characteristics of the **inmates**. Once data have been tallied and displayed, review results with custody personnel and temper interpretations based on their reactions. Determine the extent to which classification decisions would be different if the available detention space were configured to provide classification flexibility.

Additionally, it is generally accepted that inmates' behavior often reflects the environment of the jail. Often, inmates who are pegged as behavior problems in an overcrowded and outdated facility would behave quite acceptably under better, less crowded, more modern, conditions—as many jails have found when they constructed and began to operate according to current standards.

As a result, classification indicators recorded in the profile should be viewed as general indicators of current conditions, not as definitive indicators of how inmates can be expected to behave if positive changes are made in conditions and treatment.

Analysis of Inmate Service Needs

The Planning Team, the Advisory Committee, and policy makers should learn about the needs of the inmate population. This information is important in shaping service programs to provide rehabilitative opportunities to inmates, to minimize the problems they face while incarcerated, and to limit the potential for disruptive behavior.

Requirements for the provision of inmate programs and services need to be analyzed to meet two planning functions. First, as part of the overall correctional planning effort, it is important for the county to provide services that meet standards and are consistent with its correctional philosophy and mission statement. To this end, inmate needs for both correctional and re-entry services should be documented and considered in the formulation of any plan.

Second, the entire range of services, from medical services, mental health services, to recreation, or job counseling, must be considered when planning facility changes since they require specific kinds of spaces in specific locations.

The paragraphs which follow introduce the analytical steps to both document service needs and evaluate the scope and effectiveness of available service programs.

Inmate Needs Survey

Analysis of data contained in the jail profile (Step 1, Chapter 3.1) will partially satisfy requirements to document and analyze inmate service needs. This analysis shows the proportion of inmates suffering from medical, mental health or substance abuse problems.

Limitations of the Step 1 Jail Profile. While the jail profile provides the information mentioned above, it does not identify other service needs. This is because most available jail records provide little information about the individual characteristics and situations of inmates. The kinds of needed information which may be lacking include the following:

- Educational achievement level.
- Family problems.
- Job skills or employment opportunities upon release.
- Financial resources available after release.
- Housing opportunities after release.

Conducting an Inmate Needs Survey

To add to your understanding of service needs, you may wish to conduct interviews with a sample of inmates. Results of these interviews can be used both to evaluate existing programs and to identify unmet program and service needs. Appendix H, "Inmate Needs Survey Form," provides a sample questionnaire which can be used to conduct inmate interviews. Feel free to adjust it to reflect the situation in your county. When conducting the survey, follow these guidelines.

First, if possible, conduct personal interviews with inmates. Face-to-face interviews allow clarification of questions and responses. Unless very carefully conducted, written response questionnaires may be less reliable and more difficult to interpret.

Second, unless the jail is very small, it is unnecessary to interview the entire inmate population to develop representative findings and conclusions. A sample of 15 percent to 20 percent of the inmate population is usually sufficient to draw valid conclusions. Follow the sampling guidelines in Appendix C to determine the proportion of the inmate population which you should interview.

Third, to the extent possible, keep the interviewing team small—no more than three to five persons. This will provide greater consistency in recording inmate responses to questions.

Fourth, interviewing should be conducted after thoroughly documenting programs and services. A knowledge of existing programs and services will enhance interviewers' ability to interpret inmate responses. (See section below.)

Figure 3.2-2: List of Programs and Services

Classification	Mental Health Services
Counseling	Recreation
Drug/Alcohol Abuse Programs	Re-entry
Education	Religion
Food Service	Social Services
Legal Services	Visiting/Mail/Telephone
Library	Vocational Training
Medical Services	Work Furlough

Fifth, the interviewers should be trained, and the questionnaire should be "pre-tested" to ensure that it can be easily used and will produce valid responses. Pre-test the questionnaire by conducting several pilot interviews with inmates to identify problems with the wording of questions or the recording of responses.

Analyzing the Results of the Inmate Survey

If you tabulate the survey results manually, you will probably be limited to looking at the frequencies of responses to various questions together with the construction of a few tables. If you analyze the results by computer, you will have more options in developing tables to refine your interpretation. In either case, refer to the analysis section of Chapter 3.1 for guidance. At a minimum, you should look into the following issues:

- What are inmate prospects at release? Are existing services and correctional approaches meeting re-entry needs?
- What do inmates perceive as their major problems during incarceration? Are these problems consistent with the existing set of services?
- How do inmates view the day-to-day operations of the facility? Where do they see opportunities for improvement? While this may be surprising to some, inmates are often a valuable resource to identify opportunities for improving the efficiency and effectiveness of detention facility operations.

Evaluate Existing Inmate Programs and Services

As noted above, you need to thoroughly document and understand the programs currently provided in the jail. Figure 3.2-3 provides a "Checklist for Evaluating Inmate Programs and Services." Employ the checklist to document how existing programs work and to identify program efficiency and effectiveness, consistency with the needs of the inmate population, and physical "fit" within the existing facility.

In reviewing program needs and operations, be sure to involve both jail staff and representatives of service agencies who are or could be—directly involved in providing jail programs. This may be done by interviewing key individuals or by including them on a special task force which would also take responsibility for implementing recommended program changes.

Your analysis of programs and services, coupled with results of the inmate survey, should help highlight the critical program and service issues your jail faces and establish priorities for dealing with them.

Figure 3.2-3: Checklist for Evaluating Inmate Programs and Services

The following list of elements and questions about potential issues is intended to provide examples which you may apply directly or modify in evaluating inmate programs and services in your jail.

Program:
Medical Services

Analytical Element 1: Screening

Are inmates routinely screened for medical problems at or shortly after booking? If medical personnel are unavailable to conduct screening, have specific procedures been developed (and booking personnel trained in their use) to ensure that non-medically trained personnel are sensitive to potential medical problems at booking? Are inmates required at booking to complete a medical questionnaire listing current medications and medical problems? Is this sheet routinely reviewed by medical personnel?

Potential Issues:

Are medical problems adequately screened at intake? Is the jail operation adequately structured to identify potential life threatening situations at intake? Are there adequate qualified medical personnel available to quickly identify and deal with medical problems at intake?

Analytical Element 2: Facilities

What type of in-facility medical facilities are available to support the delivery of medical services to inmates? Are adequate facilities available to:

- (1) support sick-call requirements, enabling private examination of inmates by medical personnel?
- (2) provide adequate, controlled storage of medications and other required medical supplies?
- (3) to enable segregation of sick or disabled inmates who do not require hospitalization; and
- (4) to provide resources for recuperative patients/inmates to minimize time spent in hospital facilities.

Potential Issues:

To what extent are significant numbers of injured/sick inmates housed in local hospitals for recuperative purposes? If recuperative facilities were available in the jail, what proportion of hospital costs could be eliminated?

Mental Health Services

Analytical Element 1: Need For Services and Facilities

What proportion of sentenced and unsentenced inmates are characterized by mental health problems? Use the jail population profile to isolate the proportion of the population with mental problems (using analytical steps outlined in Step 1, Chapter 3.1). Use the profile's mental health problem indicators: (1) suicidal, mental problem, violent entries in the classification field; and/or (2) problem entries in the alcohol or mental problem field. Employing these selection criteria, construct separate tables for sentenced and unsentenced prisoners, arraying the population according to housing in the facility and length of stay.

Once the tables are constructed, ask the following questions:

- (1) are inmates with mental problems and potential violent behavior housed differently and apart from the general population?
- (2) based on profile results, how many inmates with mental health problems are there in the general facility population?
- (3) are inmates with mental health problems concentrated among the sentenced or unsentenced population?

What psychiatric services are provided to inmates with mental health problems? What methods are employed to deal with inmate behavior problems? What proportion of the incarcerated population are receiving behavior controlling medications?

Have services been established to review the unsentenced population and identify inmates with non-violent mental health problems and attempt to place selected inmates in mental health treatment programs as an alternative to pretrial incarceration? If not, what proportion of the population sample could be considered as service targets for such a program?

Potential Issues:

Are psychiatric services available to inmates? If not, why not?

To what extent are behavior control drugs used to alleviate housing and service deficiencies in dealing with mental health problems?

Are adequate housing facilities available to deal with inmates with mental health problems?

Analytical Element 2: Screening

What procedures (if any) are used to screen inmates at booking to identify mental health problems? To what extent are mental health screening activities coordinated with classification and housing decisions in day-to-day operations.

Potential Issues:

Without some level of mental health screening, how are existing or potential mental health problems identified and accounted for in housing decisions?

Figure 3.2-3: Checklist for Evaluating Inmate Programs and Services, continued.

Mental Health Services, continued	<p>Analytical Element 3: Housing and Security Level</p> <p>Are there opportunities to deal with inmates with mental health problems in lower security settings with increased in-facility mental health services?</p> <p>Potential Issues:</p> <p>Would establishment of a mental health program allow transfer of selected inmates to lower/different security level facilities? Considering the impact on facility needs, would such a program be cost-effective?</p>
<p>Program: Drug/Alcohol Abuse Services</p>	<p>Analytical Element 1: Detoxification</p> <p>Detoxification services provided to both sentenced and unsentenced inmates.</p> <p>Potential Issues:</p> <p>Are booking/intake procedures structured to identify real or potential detoxification problems? Are medical and/or mental health services staffed and structured to provide detoxification services to inmates at and after booking? Are classification procedures and housing configurations sufficient to enable medical and/or custodial personnel to deal with detoxification problems?</p>
<p>Program: Basic Education/GED Training</p>	<p>Analytical Element 2: Services</p> <p>Drug/alcohol abuse education and training services provided in the facility (ies). Re-entry services provided to inmates with alcohol/drug abuse problems.</p> <p>Potential Issues:</p> <p>Are public and private agencies encouraged to come into detention facilities to conduct orientation/recruitment programs? Is any attempt made to provide substance abuse education and treatment services to inmates? Prior to release, are inmates with alcohol/drug abuse problems oriented to placement and treatment opportunities available in the community? Are resources made available to link inmates about to be released with available community based services?</p> <p>Analytical Elements:</p> <p>What in-facility services are provided to inmates designed to up-grade basic educational skills? Educational upgrading needs of the inmate population. Regular procedures to identify inmate educational achievement levels and needs. If programs/services are currently available in the facility, to what extent are they used by inmates: (1) over the last 6 to 12 months, how have class enrollment levels compared to class capacities; (2) how do dropouts compare to total enrollment; (3) for GED classes, how many certificates have been earned as a proportion of total enrollments? (4) what grade level achievement improvements have been realized?</p> <p>Potential Issues:</p> <p>Are educational upgrading opportunities made available to inmates on a continuing basis? What steps have been taken to mobilize community based resources to provide in-facility educational services? Have local school districts been tapped to provide in-facility educational training? Have procedures been established to assess the educational needs of sentenced inmates?</p>
<p>Program: Recreational Services</p>	<p>Analytical Elements:</p> <p>Presence of scheduled recreation for inmates in the various type facilities operated by the county. Includes minimum hours per week scheduled recreation for inmates of Type III and Type II facilities.</p> <p>Potential Issues:</p> <p>Are recreation areas within the facilities sufficient to serve existing and future inmate population?</p>
<p>Program: Correctional and Re-entry Services</p>	<p>Analytical Elements:</p> <p>What programs are provided within correction and detention facilities to plan for smooth inmate re-entry to the community upon release? These can involve a wide variety of approaches and activities, including the correctional philosophy employed (with special emphasis on how sentenced inmates are dealt with while they are incarcerated), and re-entry programming designed to re-integrate inmates into the community in order to alleviate chances that repeat offenses will be committed shortly after release.</p> <p>Potential Issues:</p> <p>To what extent are the key actors in the criminal justice system involved in defining and monitoring the implementation of a correctional philosophy? Or are operations solely at the discretion of the sheriff?</p>

Figure 3.2-3: Checklist for Evaluating Inmate Programs and Services, continued.

<p>Re-entry Services, continued</p>	<p>Are there procedures to identify inmates with motivation to change, and to provide privileges to inmates who participate and succeed in rehabilitative oriented programs?</p> <p>Are programs like work furlough used for re-entry purposes? Are inmates who meet in-facility behavior requirements (and who are serving longer sentences) assigned to work furlough in order to have access to the community to find work, job training or educational placement opportunities upon release?</p> <p>What proportion of inmates have few or no financial opportunities, places to live, or employment opportunities upon release? What services and resources are available to deal with these problems? Have community resources been mobilized to the maximum extent possible to meet these needs? Have links been established with other county programs to solve re-entry problems?</p>
<p>Program: Use of Volunteers and Community Resources</p>	<p>Analytical Elements:</p> <p>Community service organizations which currently provide services in detention facilities. Identify service type, frequency, number and type of inmates dealt with on a weekly or monthly basis. Document steps taken by custodial staff to encourage community organizations to provide service in detention facilities.</p> <p>Develop an inventory of community organizations (volunteer and paid) to include service content, service capability, and interest in providing services to inmates.</p> <p>Potential Issues:</p> <p>Compare results of inmate needs survey with existing mix of services provided by volunteer organizations. Analyze inmate reaction to services provided.</p> <p>Determine whether or not custodial managers and staff are supportive of or create barriers to volunteer service organizations.</p> <p>Compare services with results of inmate needs survey. Determine if there are opportunities to fill service gaps by mobilizing available community resources.</p> <p>Extent to which custodial and rehabilitation staff have established links with community programs to ease inmate re-entry.</p>

Present Results to the Advisory Committee

Once you have documented and evaluated inmate programs and reviewed the results of the inmate needs survey, present your findings to the Advisory Committee. Provide a briefing paper to the committee about the programs and the issues you have identified. Your paper should touch on the following topics.

- Brief narrative summaries of each of the inmate programs documented and analyzed. Summaries should include types of services delivered, when services are delivered to inmates (between booking and release), as well as staffing and program cost.
- Display of inmate responses to questionnaires. Use a blank questionnaire form to record responses.
- Summary of key issues and unmet needs identified in the study.

At the presentation, discussion should focus on the policy issues identified in the study. Implications for planning should be pointed out, and the committee should be encouraged—after adequate discussion—to recommend policy directions to the Board of Supervisors.

The next step in the process involves analyzing key components of the criminal justice system which impact jail population levels.

References

American Justice Institute with the National Council on Crime and Delinquency. **Classification Instruments for Criminal Justice Decisions** (Volume 1: Pretrial Release; Volume 2: Probation/Parole Supervision; Volume 3: Institutional Custody; Volume 4: Sentencing and Parole Release), Washington, D.C.: National Institute of Corrections, 1979.

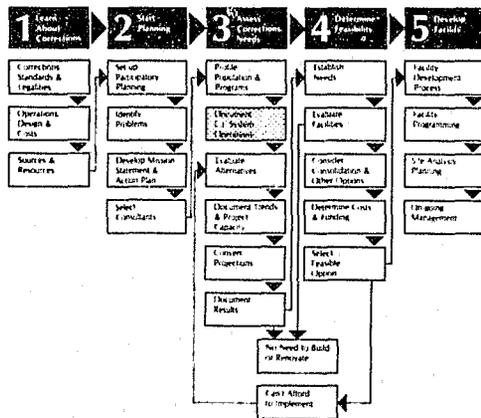
Board of Corrections. **Survey of Programs In California Jails**, Sacramento, CA, 1980. Contains useful descriptions of programs now operating in California jails, including sample forms used by them.

Hippchen, Leonard, editor. **Handbook on Correctional Classification: Programming for Treatment and Reintegration**, Rockville, MD: American Correctional Association, 1978.

National Council on Crime and Delinquency Research Center. **Improving Classification: a Guide to Evaluation**, San Francisco, CA: NCCD Research Center, January, 1979.

In addition, refer to The standards listed at the end of Chapter 1.2, most of which include specific requirements for program and service operations.

3.3 Step 3: Document Current Criminal Justice System Operations



Introduction

The third step in analyzing your jail's space and program needs involves studying how the county criminal justice system currently functions. County practices affecting **pretrial release**, **timeliness in court processing**, and **use of alternative sentencing programs** can have a major effect on jail population levels. Indeed, many counties across California and the United States have found that by adjusting justice system decision-making and programs, they can moderate both current and future detention facility needs.

It is important that the planning process include intensive analysis of how these and other aspects of the criminal justice system currently function. Because the county has considerable discretion for making adjustments in each of the above areas, they offer means for exerting a degree of control over who is incarcerated and for how long. Thus, it becomes necessary to test the effects of varying philosophies and performance levels on jail requirements now and in future years.

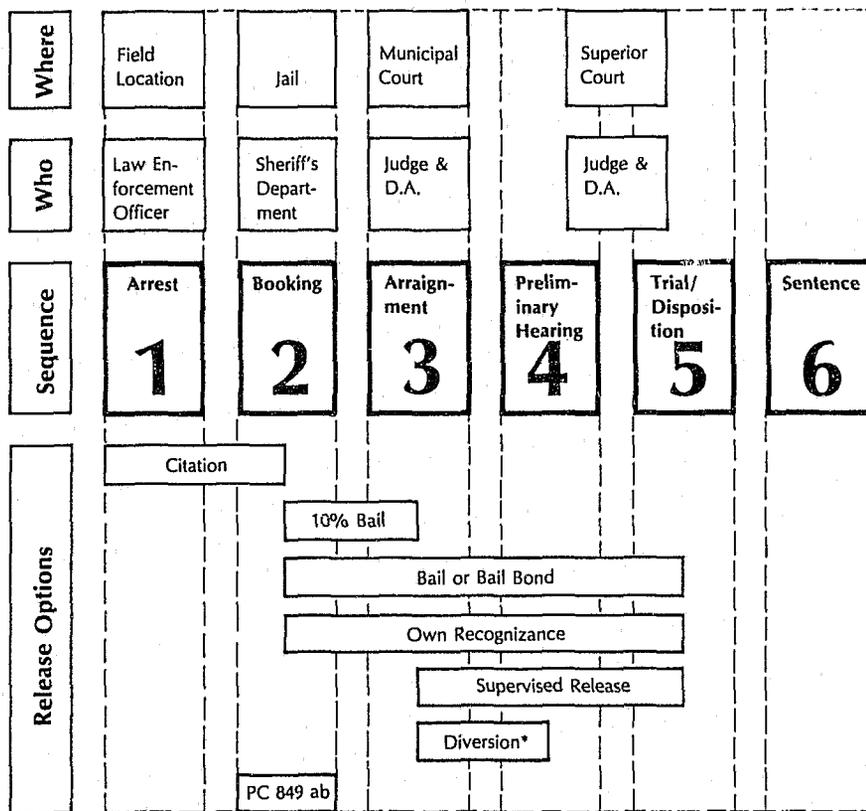
The sections which follow provide a step-by-step process for documenting and evaluating existing county pretrial release programs, timeliness in court processing, and sentencing alternatives. The goals of this phase of the analysis are to make the county aware of possible programs and philosophies in these areas so it can consider their use. A subsequent chapter (3.4) examines the impact of using alternative programs.

An Overview of Pretrial Programs

The main purpose for incarcerating people before they have been found guilty of a crime is to assure their appearance in court. Another reason which is frequently expressed is to protect the public. In recent years, major steps have been taken across the United States to study and expand pretrial release for accused individuals. Special projects have been designed, implemented, and evaluated. Research findings repeatedly document the fact that people can be released during the pretrial period with very little risk in terms of public safety or the likelihood of their appearance at court.

Figure 3.3-1, "Relationship of Pretrial Process and Programs," shows pretrial release options open to counties. It relates each option to the flow of a defendant through the system, beginning with arrest and culminating in disposition of the case in court. As can be seen from the figure, release options tend to overlap, come into play at varying points during the pretrial process, and involve a variety of decision-makers.

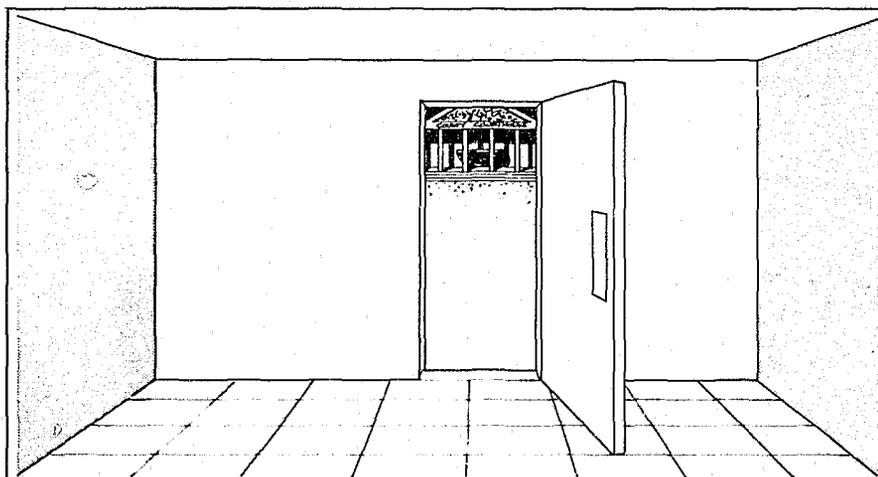
Figure 3.3-1: Relationship of Pretrial Process and Programs



*PC 1000 Drug/Substance Abuse
 PC 1000.6 Domestic Violence
 PC 1001 General Diversion

Discretion in Pretrial Release Programs

In recent years, legislation has been enacted in California to provide opportunities for pretrial release of individuals who are unable to post bail. While the legal authority for these options is clearly established, their implementation leaves significant discretion to the county and to specific actors within the justice system. That discretion begins with the arresting officer, continues with the jail officer, and culminates with the judge. Pretrial programs and services that are open to counties are described below.



Citation Release

The citation release option is set forth in Penal Code (PC) Section 853.6. The decision to release a person on a citation is up to the arresting officer in the field or booking personnel at the jail. The Penal Code requires the arresting officer to indicate why the detainee was **not** given a citation release.

Potential Impacts of Citation Release

CITATION	
OFFENSE	
<input type="checkbox"/>	_____
<input checked="" type="checkbox"/>	_____
<input type="checkbox"/>	_____
<input type="checkbox"/>	_____
APPEAR	7/3
PLACE	Court 3
TIME	10:30
OFFICER	C. Johnson

The citation release option can be one of the most effective methods of limiting jail population. If most of the people arrested for misdemeanor and minor felony offenses are cited and released in the field, relatively few low-risk offenders will occupy jail beds or consume the time of booking and intake staff. Studies have repeatedly shown that, as a general rule, persons arrested for misdemeanor offenses who have ties to the community (permanent residence, family ties, employment) are excellent risks for field citation and release.

When citation releases are maximized by county law enforcement agencies, they reduce the burden on other agencies, as well. They increase the available effective time of field officers who would otherwise be required to transport arrestees to jail. Citation release programs enable courts to more evenly distribute daily workload by reducing the number of individuals involved in in-custody arraignments. Finally, they reduce judges' involvement in bail adjustment and own recognizance motions.

Steps to Enhance Citation Release Programs

Citation release activities appear to be most effective in those counties where the following conditions are fulfilled:

- With the county taking the lead, uniform citation release policies are formally adopted by all law enforcement agencies in the county.
- Given the adoption of uniform citation release policies, individual law enforcement agencies train and encourage field officers in the use of this method.
- Law enforcement agencies delegate substantial decision-making responsibility to individual officers in granting citation releases.

Citation Release Standards

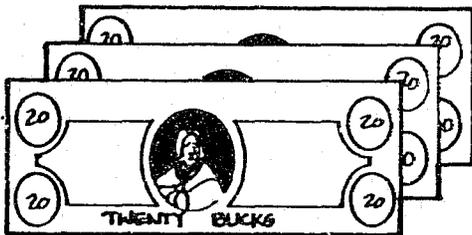
A variety of national organizations suggest standards for use of citation release by local agencies. Relevant standards include the following.

The National Advisory Commission on Criminal Justice Standards and Goals set the following citation release standard in 1973: "Every police agency should adopt policies and procedures that provide guidelines for the exercise of individual officer's discretion in the implementation of state statutes that permit issuance of citations and summonses, in lieu of physical arrest or pre-arraignment confinement."

The American Bar Association's standards for pretrial release, enunciated in 1968, suggest the following policy: "Legislative or court rules should be adopted which enumerate the minor offenses for which citations must be issued. A police officer who has grounds to charge a person with such a listed offense should be required to issue a citation in lieu of arrest or, if an arrest has been made, to issue a citation in lieu of taking the accused to the police station or to court."

When assessing existing citation release programs, a county should consider two main issues. First, how many relatively minor misdemeanants are booked at the jail although there is no reason to deny them field citations? Second, how many relatively minor misdemeanants are held in pretrial custody beyond the one to two hours required for booking and consideration for citation release?

Bail



Both standard bail and the recently authorized 10 percent bail for misdemeanors are integral parts of a county's pretrial release system. Formal bail is mandated by the Eighth Amendment to the United States Constitution and Article 1, Section 6, of the California Constitution, both of which prohibit excessive bail. In addition, Section 1268a of the California Penal Code mandates that an arrestee be released from custody upon posting of bail. Section 1269 requires each county to prepare, adopt and periodically revise its bail schedule. In early 1981, Section 1269(d) added for a five-year period a 10 percent bail option for misdemeanors.

Unlike other pretrial release options, bail directly relates an individual's pretrial custody status to his or her financial resources. With bail, pretrial release can be gained only if an individual has enough money to post the required bail or obtain a bail bond.

In conjunction with other pretrial release options, bail impacts the jail population. When relatively high bail amounts are established, jail populations increase—unless alternative pretrial release options are used for individuals who cannot meet bail.

The bail device partially shifts authority for the pretrial release decision from the criminal justice system to the private bail bondsman, allowing them to "share" that decision with the court.

Ten percent bail, authorized for misdemeanants, allows an individual to post 10 percent of the bail established for the offense in lieu of posting the full amount or making arrangements with a bail bondsman.

Being relatively new, little data is available on the impact of 10 percent bail on counties. Principal questions involved with the implementation of the 10 percent bail option include the extent to which it acts as a substitute for other pretrial release options; the extent to which counties have increased misdemeanor bail schedules to counteract the impact of 10 percent bail; and its impact on failure-to-appear rates.

Release on Own Recognizance and Supervised Release

OWN RECOGNIZANCE RELEASE FORM	
OFFENSE _____	<input checked="" type="checkbox"/>
JOB _____	<input checked="" type="checkbox"/>
HOUSING _____	<input checked="" type="checkbox"/>
FRIENDS/FAMILY _____	<input checked="" type="checkbox"/>
O.R. _____	<input checked="" type="checkbox"/>

Since the mid-1960s, release on own recognizance (OR) has been formally established in many jurisdictions across the United States. In the intervening years, considerable research has been conducted to determine the impact of OR programs on jail population levels, failure-to-appear rates, and public safety.

In California, the authority for own recognizance release is found in Section 1268a and Section 1318 of the California Penal Code. Additionally, Article I, Section 12 of the California Constitution provides that "a person may be released on his/her own recognizance in the court's discretion." While no Penal Code section directly relates to "supervised own recognizance release," it is understood to be covered in the above references. However, counties are not required to provide these programs.

Discretion Over Release Criteria

Implementation of an own recognizance or supervised release program is entirely at the discretion of the local courts. The types of offenses considered as well as the required characteristics of candidates vary substantially from county to county. In some areas, OR release is limited to relatively minor misdemeanants. In that situation, it acts primarily as a replacement for misdemeanor citation releases. In other areas, a wide variety of defendants is considered, including individuals accused of various felonies. Similarly, the organization of the pretrial release program and the timing of the release decision vary substantially across the state.

Where jail booking volume is insufficient to justify a full-time pretrial release officer, jail booking personnel screen pretrial release candidates. In counties with somewhat greater booking volumes, individuals with specific responsibility for pretrial release screening come to the jail in the early morning and the evening to interview individuals booked during the intervening periods.

In counties with a high volume of bookings, separately staffed pretrial release programs may be available to provide in-jail interviews and screening, deliver formal recommendations to the bench for pretrial release consideration, and provide supervision for defendants released on conditional or supervised own recognizance.

Four Models for Pretrial Release Programs

Just as there are different ways to staff and deliver pretrial release services, there are four organizational models for assigning responsibility for their operation.

The **first model** assigns responsibility for day-to-day interviewing and screening to an existing criminal justice agency such as the district attorney, the probation department, sheriff's staff, public defender's office, or marshal's office. A number of the release programs currently operating in California follow this model. Its advantage is that day-to-day delivery of services can be easily integrated into the overall functioning of the justice system. Especially in those areas where work volume is low, responsibilities can be assigned on a part-time basis to available staff. A disadvantage of this model is

the danger that pretrial release services and recommendations will be unduly influenced by the philosophical orientation of the agency that is responsible for its operation.

The **second model** gives responsibility to an existing county agency, but provides for a policy board of county criminal justice agency heads, police chiefs, bar association members, judges, and interested community members to provide direction to the program. The role of the policy committee is to establish criteria and to offset the potential philosophical influence of the agency responsible for day-to-day operations. The extent to which this balancing occurs depends, of course, on the composition of the board.

The **third model** involves the delivery of pretrial release services by associations or community groups interested in the criminal justice system. In San Mateo County, one of the older contracted programs is operated by the County Bar Association. Similarly, in Alameda County, OR release services have been provided under contract with a private community-based agency.

In the **fourth model**, the court directly controls the day-to-day operations of the release program. Penal Code Section 1318.1 provides that "a court may, with concurrence with the Board of Supervisors, employ an investigative staff for the purpose of recommending whether a defendant should be released on his/her own recognizance." This method minimizes potential conflicts since the court directly sets policy and makes release decisions.

Whichever organizational model is instituted in a county, the ultimate responsibility for both pretrial release policy and decision making lies with the courts. Through these decisions, judges directly control the population level of unsentenced detainees. Their flexibility in defining pretrial release criteria has major impact on a county's immediate and long-range detention system needs.

Impact of Release Criteria on Bed Space Needs

Pretrial release criteria substantially influence bed space needed in the jail. Thus, there are several issues counties should consider when deciding what type of release on own recognizance and supervised release programs to implement.

One factor is the types of offenses that will be considered for pretrial release. Are pretrial release programs to be limited to relatively minor misdemeanants or will they be expanded to consider individuals accused of felony offenses?

A second consideration is how information is gathered and provided to the bench to support pretrial release decisions. Research indicates that when judges have more and better information about release candidates, they tend to make much more use of this option.

A third issue is **when** the release decision is made. If interviewing staff and a duty judge are available, pretrial release decisions for many defendants can be made immediately or shortly after booking. Otherwise, the decision is delayed until formal arraignment in court. The timing of the decision, because of its impact on length of stay, significantly influences the size of the pretrial population detained in the jail.

The final factor is how recommendations for pretrial release are formulated and presented to the court. Some programs rely on subjective interviews and informal submission of information for consideration of pretrial release. In other jurisdictions, the pretrial release recommendation is based on a point score that has been validated by monitoring over a period of time. The latter arrangement is preferred since it can be better controlled.

In each of the above areas, the county has wide latitude in formulating and implementing its own policy and programs. The programs can have major impact on jail population and, as a result, affect long-term facility needs. The following hypothetical example is intended to demonstrate this impact.

A Comparative Example of the Use of Pretrial Programs

Consider two counties with identical booking volumes involving similar types of offenses. County A is prepared to implement a relatively expansive release on own recognizance and supervised release policy that includes consideration of felony defendants. County B has decided to pursue a far more restrictive policy that limits consideration for pretrial release to misdemeanants.

As a result of the more expansive policy, County A will be able to release approximately 30 felony defendants per month, while County B will hold comparable individuals in pretrial custody until disposition. The average length of stay in pretrial custody in County B is 60 days until disposition. Therefore, County B will be required to dedicate 60 beds to hold comparable individuals to those who will be released by County A.

Both County A and County B face jail overcrowding problems and need to increase capacity. While arrest and booking volumes are identical in both counties, because of County A's more generous pretrial release policies, it needs to build 60 fewer pretrial beds than does County B. To County A, this represents a savings of approximately \$3 million in construction and perhaps \$400,000 to \$500,000 per year in operating costs.

While it is important to recognize that a county pretrial release program needs to reflect the circumstances, goals, and philosophy of that county, it is equally important to understand the financial ramifications of varying levels of pretrial release. The illustration above vividly points to the financial impact of different approaches.

Pretrial Release Programs Work

Jurisdictions across the United States have up to 20 years experience in conducting pretrial release programs. Research on the performance of these programs has produced a number of findings about the risk factors associated with varying levels of pretrial release. The greatest concerns apparently are whether released individuals will appear in court and whether they will commit further crimes while waiting for trial.

Most research suggests that appearance rates for individuals released on their own recognizance and individuals who have posted bail are similar. Many studies show that appearance rates for individuals released on OR are actually better than for those who post bail.

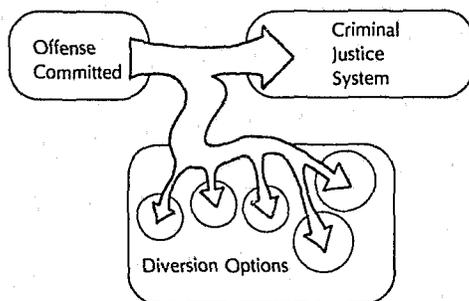
Higher proportions of release on own recognizance and supervised release are generally found in those jurisdictions where effective, formalized pretrial release recommendation procedures have been developed and are provided to judges for decision-making.

Some failures to appear by people accorded OR release have been shown to be neither willful nor flights to avoid prosecution. Instead, failures to appear often involve simple forgetfulness. Many jurisdictions have found that court appearance notification programs have significantly reduced failure to appear rates.

Research involving felony defendants afforded pretrial release indicates that there is little relationship between the seriousness of the original charge and the likelihood that an individual will fail to appear or will commit an additional offense during the pretrial release period (Pryor, 1980).

The financial impact of pretrial release programs suggests that most counties need to take a close look at existing and potential approaches to pretrial release. Review research and evaluate both existing programs and the population held in pretrial custody as outlined in a later section of this chapter. The references at the end of the chapter list some recent, relevant research on pretrial release.

Diversion Programs



Sections 1000 and 1001 of the California Penal Code (PC) provide authority to "divert" certain types of alleged offenders without formal processing through the criminal justice system. These include substance abuse and domestic violence cases, which are normally diverted to community-based treatment programs.

PC 1000 provides the authority to divert selected individuals who are charged with narcotics and substance abuse offenses. Under the provisions of PC 1000, the district attorney has the option of referring cases that meet certain criteria for diversion. These criteria limit diversion candidates to individuals who have no previous convictions for narcotics or controlled substance offenses; are not charged with an offense involving violence; have not had parole or probation revoked; and whose criminal history does not include diversion or a felony conviction within the last five years.

The potential impact of drug diversion on the jail population depends both on the type of pretrial release program operated by the county and on the number of potential candidates in the jail. In counties where pretrial release programs are rather expansive, most diversion candidates are released from pretrial custody before diversion is formally considered.

Arrest and Charging Practices

PC 1000.6 authorizes diversion of selected domestic violence cases under comparable conditions to those outlined for drug diversion. Again, diversion recommendations are made by the district attorney and generally involve individuals with limited previous offense histories.

PC 1001 expands potential diversion to include **any** defendant. The legislation (which will expire on January 1, 1982 unless extended) provides counties the opportunity to experiment with broad-based diversion programs. The district attorney is not required to make the diversion referral. Instead, judges may make diversion referrals, which the district attorney may support or oppose. Depending on the criteria established by the local bench for considering diversion under PC 1001, the potential impact on the jail's unsentenced population can be significant.

Arrest and charging practices can also have a major impact on the jail population. One factor is the extent to which law enforcement agencies arrest and book individuals upon whom formal charges are not filed. This can involve instances in which officers make an arrest and book an individual into custody, but the law enforcement agency opts not to file a case with the district attorney for review and possible prosecution. Inmates in this category can be held for 48 hours before release under the provisions of Penal Code 849. Because people released under the provisions of PC 849 are held in custody, jail space is occupied by individuals upon whom formal complaints will not be filed (and who, therefore, should not be in jail).

Apart from law enforcement agencies, the district attorney can also opt not to file a formal complaint against an individual who has been arrested and held in pretrial custody. Inmates in this category are also released under PC 849. Some jurisdictions have experimented with stationing deputy district attorneys at the jail booking area to review arrests immediately at booking, thus attempting to control the amount of jail space and court time occupied by individuals who will ultimately be released under PC 849 or by the court through dismissal or reduction of charges.

The level of charges filed can also increase the jail population. In some jurisdictions, prosecutors choose to invoke the highest possible charge because they anticipate that plea bargaining will ultimately reduce it. In fact, there is often a substantial deterioration in charges between arrest, arraignment and ultimate disposition. When "high charging" occurs, jail population increases, since the existence of relatively serious charges may make it impossible for a person to be considered for pretrial release under reasonable bail or OR options.

Non-Prosecution Alternative to Arrest

Often, law enforcement officers must arrest and book an individual because of the absence of any alternative for dealing with the immediate situation. To handle these problems, some jurisdictions have experimented with a variety of programs such as neighborhood mediation for resolving family or neighborhood disputes and domestic violence counseling. Such programs also may reduce jail population.

The material presented in the preceding paragraphs indicates that counties have a wide degree of discretion in dealing with the pretrial period. Philosophy and policies regarding pretrial treatment will have major impact on a county's current and projected jail population. For this reason, closely analyze the entire pretrial area as part of the planning process. The following sections provide guidelines for conducting this evaluation.

Evaluating Pretrial Release Practices

Evaluation of pretrial release programs and practices should focus on quantifying existing activities and identifying opportunities to adjust and expand operations. Figure 3.3-2 outlines approaches you may employ to evaluate existing or potential pretrial release programs in your county. The evaluation methods presented in Figure 3.3-2 have the following features.

- Performance indicators have been established for each pretrial release option, quantifying the impact of existing operations.
- Rather extensive information is required to develop the performance indicators and to answer questions about existing program effectiveness. Sources are suggested for required information.

- Evaluative questions are presented for each pretrial release option. By following the sequential analysis in Figure 3.3-2, you will develop a comprehensive portrait of both the scope of existing pretrial release programs and their implications for facility requirements.
- Like the questions presented in Step 1, suggested analyses have been classified as "basic" or "secondary" to assist you in establishing priorities for your analysis.

Each option should be quantified in terms of the proportion of the total population involved in the program, the proportion which fails to qualify for existing pretrial programs, the length of time required to make pretrial release decisions, and the length of time spent in custody for individuals who failed to qualify for pretrial release.

Through use of the jail profile data developed in Step 1 (Chapter 3.1), it is possible to analyze the implications of shifting pretrial qualification criteria on population levels and, ultimately, facility requirements. As explained in more detail in Chapter 3.4, these data can then be employed to project the impact on jail populations.

The evaluation of pretrial release options is the first step in analyzing the impact of the criminal justice system on jail operations and requirements. The next section analyzes the court system and its effect on the jail.

Figure 3.3-2: Method for Assessing Pretrial Release Programs

The following figure provides sample performance indicators for assessing pretrial release programs and mechanisms. The priority of each indicator is classified either as "basic" (B) or "secondary" (S) indicating its relative importance in the analysis. For each performance indicator, the type of information needed and its source are indicated. Finally, evaluative questions which may be raised are suggested for consideration.

Program: Citation Release

Performance Indicator:

Percent of misdemeanor arrests cited and released by each law enforcement agency in the county. (B)

Information Needed (Source):

Misdemeanor arrests by offense group for the last 12 months or the most recent calendar year reported for each law enforcement agency in the county.

Misdemeanor citations by offense group for the past 12 months or the most recent calendar year. (Source: Bureau of Criminal Statistics **Criminal Justice Profile** report for the county. Also, request each law enforcement agency to supply the data.)

Evaluative Questions:

To what extent do misdemeanor cites as a percent of arrests vary among law enforcement agencies? Are some agencies making only limited use of this release device? Have all law enforcement agencies established formal policies regarding use of misdemeanor cites? Are these policies uniform?

Performance Indicator:

Percent of misdemeanor bookings cited and released by jail personnel, broken down by arresting agency. (B)

Information Needed (Source):

Misdemeanor bookings for last 12 months. (Source: Jail booking records.)

Percent of misdemeanor bookings cited and released by jail personnel. (Source: Inmate Profile.)

Average length of stay of individuals cited and released. (Source: Inmate Profile.)

Evaluative Questions:

If a substantial portion of misdemeanor bookings are cited and released by jail personnel, why weren't these people cited and released in the field by law enforcement officers? Could law enforcement agency policies/procedures be improved? Would a uniform, county-wide policy improve individual law enforcement agency performance?

Performance Indicator:

Percent of in-custody population which meets citation release criteria and average length of stay associated with that population. (S)

Information Needed (Source):

Establish selection criteria for potential misdemeanor citation candidates and produce table from profile data showing selected population by offense class and length of stay. Suggested selection criteria: misdemeanor charge; on-view arrest; no warrants or holds; unsentenced; no custody problems involving suicidal or violent behavior, or mental problems; no escape history; local residence; no drug/alcohol/medical problems; no previous FTA. (Source: Inmate Profile.)

Figure 3.3-2: Method for Assessing Pretrial Release Programs, continued

Program: Citation Release, continued	<p>Evaluative Questions:</p> <p>Are there people in custody who could be cited and released? Why haven't they been released? If police misdemeanor cites expanded, what could be the impact on jail population and average length of stay of unsentenced population?</p> <p>If eligible candidates in the jail population were cited and released, what could be the impact on average length of stay for the unsentenced population? What impact on unsentenced population levels?</p>
<p>Program: Bail Bond/10% Bail</p>	<p>Performance Indicators:</p> <p>Proportion of bookings who make bail; proportion of bookings who post 100% bail; existence of formal, court approved bail schedule available to jail booking personnel. (B)</p> <p>Information Needed (Source):</p> <p>Copy of current bail schedule and copies of bail schedules collected from other California counties. (Source: Jail personnel/court administrative personnel. Also, contact other counties (same size and larger); collect their bail schedules.)</p> <p>Evaluative Questions:</p> <p>Compare bail established for various county offenses. Determine if high or low compared to other counties. Would judges consider modification of bail schedule? What basic reasons underlie current bail levels established in the existing bail schedule? Are these reasons sound?</p> <hr/> <p>Performance Indicator:</p> <p>Description of county actions taken to implement legislatively mandated 10% bail program. (B)</p> <p>Information Needed (Source):</p> <p>By offense class, compute proportion of bookings released on bail/bail bond and 10% bail. Determine average length of stay associated with each release option. (Source: Booking/release data from release analysis or longitudinal profile.)</p> <p>Evaluative Questions:</p> <p>How do misdemeanor bail schedules compare before and after implementation of 10% bail schedule. To what extent were bail schedules increased to offset impact of 10% bail program? Why?</p>
<p>Program: Release Without Complaint (PC 849 a/b)</p>	<p>Performance Indicators:</p> <p>Extent to which jail space is occupied by people who have been arrested but will not have a complaint filed against them and will be released under the provisions of Penal Code Section(s) 849(a) and/or 849(b). Proportion of arrests/bookings resulting in 849 releases, broken down by arresting agency. Average length of stay for 849 releases. (B)</p> <p>Information Needed (Source):</p> <p>By offense class and arresting agency, compute proportion of bookings resulting in 849 releases. Estimate number of jail beds occupied by inmates who are released under 849. Calculate as follows: (1) use proportion of 849 releases computed above; (2) multiply total, annual bookings by that percentage; (3) multiply the results by the average length of stay associated with 849 releases; (4) divide the product of (3) by 365 to estimate the average jail beds occupied by individuals who will be released under 849. (Source: Release analysis or longitudinal profile.)</p> <p>Collect data on statewide and other comparable county 849 rates for felony offenses. (Source: Bureau of Criminal Statistics annual publication, <i>Adult Felony Arrest Dispositions in California</i>.)</p> <p>Evaluative Questions:</p> <p>Do some law enforcement agencies have a higher proportion of 849 releases than others?</p> <p>What arrest types are predominantly associated with 849 releases? Do the arrest types (by offense class) indicate anything about law enforcement agency arrest practices? For example, are public inebriation arrests associated with a high 849 rate? If so, is the jail serving as housing for detoxification? If public inebriates were dealt with in alternative fashion, what would be the impact on jail population?</p> <p>In addition, for arrests involving violent offenses, is the action of the arresting officer a major contributor to the 849 release? Are some law enforcement agencies more likely to be involved than others?</p> <p>For felony offenses, how does your county compare to other comparable counties and statewide averages in regard to 849 rates?</p>

Figure 3.3-2: Method for Assessing Pretrial Release Programs, continued

<p>Program: Own Recognizance Release (OR)</p>	<p>Performance Indicators:</p> <p>Percent of individuals booked who are granted an OR release. Display and analyze by offense class. (B)</p> <p>Percent of individuals booked who are interviewed and considered for an OR release. Display and analyze by offense class. (S)</p> <p>Percent of individuals interviewed who are granted an OR release. Display and analyze by offense class. (S)</p> <p>Average length of in-custody stay for individuals who are granted OR releases. (B)</p> <p>Percent of OR releases who have failed to appear (FTA rate). (S)</p>
	<p>Information Needed (Source):</p> <p>For sample period (past three to six months), review jail records and document number of bookings, OR interviews, and OR releases—by arresting charge. (Source: Release analysis; jail/interview program record.)</p> <p>Evaluative Questions:</p> <p>What types of offenders are granted OR interviews and releases? Is OR limited to misdemeanants or does it include felons?</p> <p>Are all people who are booked subsequently interviewed and considered for OR? If not, why (by specific group)?</p>
	<p>Information Needed (Source):</p> <p>Develop narrative description of how the county's existing OR program operates. Include the following: (1) who is responsible for interviewing; (2) if a separate program/staff from jail booking personnel, staffing and cost of the OR program; (3) around the clock assignments/staffing to conduct interviews; (4) specific OR policies formulated by judges in the county; (5) specific criteria employed to determine whether or not an individual qualifies for an OR release; (6) timing and schedule for when OR decisions are made—key questions include types of inmates who will be considered for OR release at booking and those who are held until arraignment before consideration for OR release; (7) how responsibility for OR decision is exercised (to include decision making flexibility delegated by judges to jail level interview staff). (Source: Meet with OR personnel; interview staff and review records. Interview judges.)</p> <p>Evaluative Questions:</p> <p>How long after booking are OR decisions made? Are substantial portions of releases granted directly after booking or do most arrestees have to wait until arraignment (or after) for the OR decision? Have jail-level OR personnel been delegated release decision making authority for certain types of defendants by judges (e.g., misdemeanants and selected types of felons)? During non-business hours, is a "duty" judge available to review release recommendations by pretrial release/jail staff for those defendants who cannot be released without the approval of a judge?</p>
	<p>Information Needed (Source):</p> <p>Observe interviewing activities at jail during peak periods; estimate elapsed time between booking, interview and release during these periods. Assess staffing and "backup" adequacy. (Source: Meet with OR personnel; interview staff and review records. Interview judges.)</p> <p>Evaluative Questions:</p> <p>Does periodic overcrowding occur because staff are unavailable to interview and process OR releases in a timely fashion?</p>
	<p>Information Needed (Source):</p> <p>Contact other counties and find out how they provide OR services. Document: (1) type of offenders considered for OR release; (2) specific criteria employed to determine if arrestees qualify; (3) how/when OR decisions are made to include any delegation of decision making authority by judges to jail staff; and (4) quantitative performance indicators to include: % of bookings interviewed for OR release; % of those interviewed who are released; % of those booked who are given OR releases. Collect comparative release data where possible, differentiating between felons and misdemeanants. Also, collect FTA data. (Source: Contact with other counties. Also, release analysis.)</p> <p>Evaluative Questions:</p> <p>Are quantitative (e.g., a point score) criteria used to assess whether or not an individual qualifies for pretrial release? If not, why not? What criteria are employed? Are they overly subjective?</p>

Figure 3.3-2: Method for Assessing Pretrial Release Programs, continued

<p>Program: Own Recognizance Release (OR), continued</p>	<p>Information Needed (Source): Based on above research, explore impact of adjustments in existing OR programs on current and future detention population levels. Using jail profile information as a base, construct tables (as explained in Step 1, Chapter 3.1) to construct tables with selection criteria based on adjusted pretrial release parameters. In structuring tables, portray the selected population by charge versus length of stay. Repeat the analysis several times, employing alternative criteria for selection portion of the incarcerated population which might qualify if released under adjusted pretrial release policies and approaches. (Sources: Inmate Profile; release criteria documented through contact with other county pretrial release programs.)</p> <p>Evaluative Questions: Are there opportunities to accelerate the pretrial release decision making process by delegating release decisions now made at arraignment to jail interview staff for decision shortly after booking? Would establishment of quantitative release criteria accelerate decision making? To what extent would accelerated decision making reduce average length of stay of pretrial prisoners? What impact would reduction in length of stay have on existing jail population? When alternative pretrial release criteria are applied, what is the impact on pretrial/unsentenced population incarcerated in local detention facilities? Given the experience of other counties which use these criteria, what FTA rates can be expected if these criteria are employed? How do these compare with current FTA rates in the county?</p>
<p>Program: Supervised Release</p>	<p>Performance Indicator: Proportion of bookings provided supervised release. (B)</p> <p>Information Needed (Source): Statistics maintained at the jail and by the agency responsible for operation of the supervised release program. Data needed include (by offense): bookings, referrals for supervised release considered/evaluation, and grants of pretrial releases. (Source: Pretrial release program records; jail records.)</p> <hr/> <p>Performance Indicator: Proportion of unsentenced inmates considered/referred for supervised release who are granted pretrial release. (S)</p> <p>Information Needed (Source): Contact other counties to document how they provide supervised release, pretrial release. Collect the following information: (1) how the supervised release program is organized and staffed; (2) scope and intensity of supervision services; (3) types of pretrial defendants dealt with on the program; (4) criteria employed to qualify defendants for supervised release; (5) procedures used to evaluate defendants for supervised release; and (6) types of defendants placed on supervised release. (Source: Contacts and interviews with other counties.)</p> <p>Evaluative Questions: If the county has a supervised release program, are there opportunities to accelerate decision making and reduce time in custody for those individuals who receive pretrial release? What impact would reduction in length of stay have on overall unsentenced population levels in county detention facilities?</p> <hr/> <p>Performance Indicator: Average length of stay in custody for individuals who are granted supervised release. (S)</p> <p>Information Needed (Source): Review jail population profile data and analyze characteristics of the in-custody population. Compare to the types of inmates dealt with by supervised release programs in other counties—structure criteria and table formats which isolate potential release population components by charge and length of stay. (Source: Release analysis.)</p> <p>Evaluative Questions: If the county does not have a supervised release program, what impact would establishment of one have on the unsentenced population levels in county detention facilities considering proportion of population impacted? Would a supervised release program significantly increase pretrial releases and reduce length of stays associated with unsentenced inmates? Or, would supervised release simply “replace” OR and have little incremental impact on the pretrial release rate?</p>

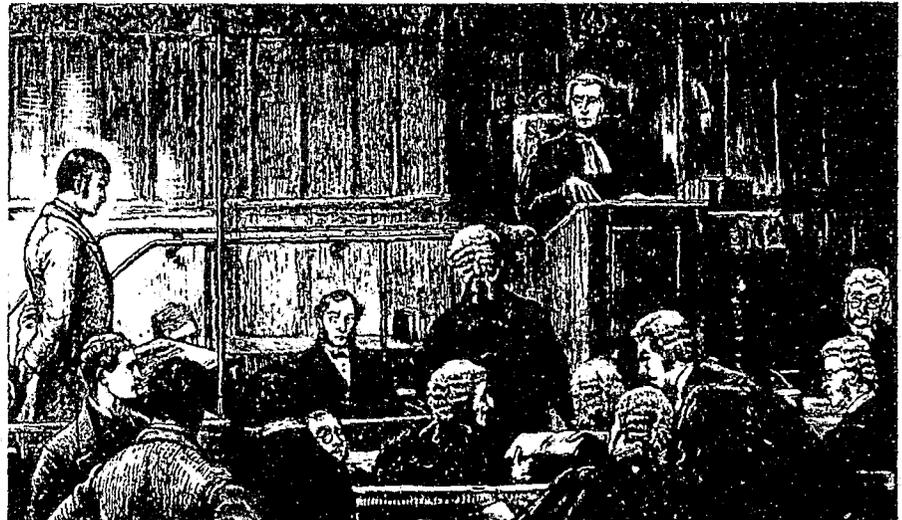
Figure 3.3-2 Method for Assessing Pretrial Release Programs, continued

<p>Program: Charge Progression and Charging Practices</p>	<p>Performance Indicator: Extent to which "fall-out" occurs when initial arrest and booking charges are compared to disposition charges. (B)</p> <p>Information Needed (Source): Review proportional progression of charges from arrest to disposition; note "fall out" in terms of charge reduction, dismissals, etc. Compare performance in your county with other counties and statewide averages. (Sources: Bureau of Criminal Statistics, <i>County Criminal Justice Profiles</i>; OBTS ("Offender-Based Transaction Statistics"); special study as required.)</p> <p>Evaluative Questions: Do "fall out" rates in your county exceed statewide averages/other comparable counties? Does this suggest overcharging at arrest and/or initial arraignment? What extent does this impact qualification for OR release or lesser bail? Could DA charging practices and case decision making be accelerated?</p>
--	---

Assessing Adjudication Processes

Impact of Court Processing Time on The Jail Population

Court processing affects inmates' lengths of stay and, therefore, jail population. Courts exert influence at every step in the adjudication process—from initial arraignment through trial and disposition. Principal areas where courts can influence jail populations include the following.



The elapsed time from booking to ultimate disposition for in-custody individuals is largely a function of **court scheduling** and the **availability of judicial, prosecution and defense resources**. When courts are unable to handle criminal trials on a timely basis and when prosecutors and public defenders must continue cases because of excessive workloads, the stay of in-custody inmates is lengthened. As average lengths of stay are extended, jail populations rise.

The **scheduling of arraignments** for in-custody inmates can have significant impact on the length of stay for both misdemeanants and felons. Since many criminal cases are disposed of at arraignment, scheduling of the arraignment calendar determines the elapsed time to disposition and affects the granting of pretrial releases.

When courts are lenient in **granting continuances**, trial times are often extended. Extended trial time for in-custody individuals expands the jail population.

If **pre-sentence investigations** are not conducted promptly, the adjudication process is lengthened. The availability of probation officers to conduct pre-sentence investigations, as well as clerical staffing and paper flow, impact the time it takes to complete a pre-sentence investigation. Again, as this process is extended, convicted but unsentenced individuals are required to stay in local custody longer, contributing to an expansion of the jail population.

These factors clearly indicate that the analysis of jail population issues requires a close look at court processes.

Questions Raised by Extended Lengths of Stay

Figure 3.3-3, "Method for Assessing Court Processing," provides a series of evaluative questions which can help you determine the extent to which court processing affects the jail population. Again, the jail profile serves as the basis for the analysis.

The first step is to review the lengths of stay of unsentenced inmates. If a substantial portion of that population stays in excess of 60 days, court processing problems may be contributing to length of stay, although this conclusion can not be drawn for certain at this point. The lengths of stay may reflect features of the adjudication system over which little control can be exercised, such as the complexity of serious criminal cases.

However, extended lengths of stay may suggest that not enough courtrooms or judges are available, prosecutors and public defenders are overloaded, or court administrative practices lengthen trial and disposition time.

To resolve how much these problems are increasing demand for jail beds, follow the analysis sequence outlined in Figure 3.3-3.

- Develop a thorough understanding of how the criminal courts currently function in terms of the various elements specified in the chart.
- Interview prosecutors, public defenders and judges about what they consider to be problems in the court system.
- Document current performance of the court system in terms of elapsed times, calendaring and scheduling processes, caseload assignments for both prosecution and defense attorneys, in-court tactics of prosecutors and public defenders, and the functioning of various support agencies that are critical to efficient and effective court operations.

Collecting the data and answering the questions in Figure 3.3-3 will help you identify whether or not problems exist in your local court system. Once issues are pinpointed, you can quantify their impact in terms of jail population levels. Subsequent chapters will explain how you can develop solutions to these issues and resolve jail space needs or overcrowding problems.

Figure 3.3-3: Method for Assessing Court Processing

The following figure presents a guide to the kinds of questions to ask—and the data needed to answer the questions—in evaluating court processing and its impact on the jail population. The relative importance of each question is indicated by their priority: "basic" (B) or "secondary" (S).

Evaluative Question:

What proportion of in-custody, unsentenced inmates have lengths of stay in excess of 60 days? (B)

Data Needed:

Profile unsentenced population by charge and length of stay (see Step 1, Chapter 1), noting proportion of unsentenced population with lengths of stay in excess of 60 days. Use these data to assess whether or not court processes are having an impact on detention population or overcrowding problems.

Evaluative Question:

Do extended periods of pretrial custody result from trial backlogs in county courts? (B)

Data Needed:

Document current court system performance in terms of elapsed time between readiness dates and commencement of trial for criminal cases which are held in-custody. Collect required data by following these steps:

Meet with judges having criminal case responsibility. Document current calendaring practices and case backlog problems. Determine if criminal case backlog problems exist and are related to court availability. Through discussions with judicial personnel, estimate court expansion (courtrooms,

Figure 3.3-3: Method for Assessing Court Processing

judges, support personnel) necessary to reduce criminal case trial backlog problems.

Analyze existing calendaring and case scheduling documents available within the county court system(s). Compute the following:

- (1) elapsed time between date cases ready for trial and trial date set;
- (2) review data available in **Criminal Justice Profiles** published by Bureau of Criminal Statistics, California Department of Justice (see Disposition of Adult Felony Arrest Section). Estimate trial frequency for felony cases as a percent of felony arrests;
- (3) multiply result times felony bookings last 12 months;
- (4) multiply that result times the average elapsed readiness to trial setting computed above;
- (5) divide the result by 365 to develop an estimate of the number of unsentenced inmates, given existing practices, who are awaiting trial. Use these data to estimate the impact of reducing court backlog on detention facility unsentenced populations.

Evaluative Question:

Are prosecution and/or defense practices and operations contributing to extended adjudication processing? (B)

Data Needed:

Review length of stay data analyzed above. If data suggest a high proportion of long stay, unsentenced inmates, this may indicate extended trial and disposition times resulting from workload problems and staffing shortages in the district attorney's and/or public defender's office(s). Case overload for trial attorneys can result in extension of trial disposition time for in-custody, unsentenced individuals. Analyze and identify the problem as follows:

Review length of stay data related to the in-custody population developed above.

Interview the public defender, district attorney, and judges and document their perspectives on whether or not caseloads contribute to extension of disposition times for unsentenced, in-custody defendants.

If staffing is considered to be a problem, attempt to quantify the impact in terms of continuances and related trial time or disposition time extension. Conduct the following analysis:

- (1) pick several trial attorneys in both the public defender's and district attorney's offices who handle trials at the superior court level;
- (2) review their current case load and identify in-custody cases which have been delayed because of lack of readiness. Review continuances noted in case files and estimate number of days case disposition extended because of workload problem;
- (3) in conjunction with public defender and/or district attorney, reach consensus about attorney staffing adjustments and their impact on the acceleration of disposition/trial;
- (4) employing the number of days reduction in the trial and/or disposition time of in-custody defendants, convert to estimated impact on jail population as follows. Employing jail profile and arrest and booking data, document proportion of total felony arrests held in-custody until disposition. Review OBTS data to approximate what proportion of those adult felony arrests are ultimately disposed of at the Superior Court level. Multiply the result by the estimated reduction in trial time which could be achieved with staffing adjustments to quantify the estimated impact on jail population. Divide the result by 365 to approximate reduction in average daily jail population which could be achieved.

Evaluative Question:

Are backlogs in the preparation of pre-sentence investigation (PSI) reports extending lengths of stay for unsentenced prisoners and increasing overcrowding? (S)

Data Needed:

Review length of stay data from the jail profile compared to the sentence/adjudication status of inmates. Document proportion of in-custody inmates who are convicted and awaiting sentencing. If the data indicate lengths of stay which exceed 14 days post-conviction and pre-sentence, this may suggest that lengths of stay are extended as courts await completion of pre-sentencing reports. Conduct the following steps to determine if this is an issue which impacts the jail population:

- (1) sample probation department files to document turnaround time for pre-sentence investigation reports; select a two to four week period to record date the referral is received from court; date officer completes investigation and report writing; and date report(s) are completed by clerical production units and forwarded to the court;
- (2) Compute average elapsed time for the sequences noted above;
- (3) determine which of the sequences contributes to extension of the process;
- (4) meet with probation managers and reach agreement on adjustments (staffing, procedural adjustments, etc.) required to reduce PSI turnaround time;
- (5) set estimated target in number of days turnaround time would be reduced if adjustments were made; and
- (6) convert these estimated reductions into impact on jail population. Follow the procedures noted above to quantify impact on jail population.

Sentencing Alternatives

Somewhat less direct control can be exercised by the county over sentenced population levels since the sentencing decision is at the discretion of the court. However, facility needs can be affected—and costs moderated—depending on how the sentenced population is dealt with. For example, if additional sentenced beds are needed, a less costly work furlough facility might be constructed in lieu of more costly higher security facilities. To make this type of decision, sentencing options need to be considered. In addition, participation in such programs can be more productive for some offenders than simply spending time in jail.

Because of the authority of the courts over the use of most of these programs, it is essential that judges be involved in consideration of sentencing options. Major sentencing options include those which are largely under the control of corrections as well as those within the purview of the courts or other justice agencies. These two are discussed separately below.

Sentencing Options: Judicial and Justice System Programs

Community Service Programs. These allow individuals to provide a service of value to the community in lieu of a fine, probation or incarceration. Many counties have developed and implemented these programs. While they vary substantially in terms of size, organization and funding, most have the common thread of serving as “clearing-houses” for individuals to find community service opportunities. It is important to consider which inmates would qualify for community service programs: more serious offenders or only those who would otherwise receive modest sentences such as fines or probation.

If there are individuals currently serving sentenced time because they are unable to pay fines, a sentencing alternatives program may be appropriate and useful for a component of the sentenced population. Judicial use of alternatives such as **restitution programs** in lieu of incarceration can prove a more positive option for many convicted offenders while costing the county much less to operate.

Probation Services. These can include both pre-sentence investigations and supervision services. In evaluating probation services, examine whether probation officers consider sentencing alternatives when developing pre-sentence reports. Have guidelines been developed to establish consistency in sentencing recommendations?

What are probation officers’ supervision caseloads? Do high caseload levels influence judges in favor of incarceration over probation? Are “intensive” supervision services an option for individuals who might otherwise be incarcerated?

Diversion of Substance Abusers. Frequently, jails house offenders with severe alcohol or drug abuse problems. As a result, it is important to be aware of and use resources available to deal with offenders with drug and alcohol problems. The size and scope of existing programs available through both institutional and community resources, criteria for admission, costs of operation, and awareness by judges of their availability all affect how much they are used in lieu of jail.

Job Programs. Job training, education, and job placement programs can also impact sentenced population levels. Frequently, judges will consider participation in such programs as alternatives to serving time. It is important to document resources which are available as well as their costs and performance levels. Then you can assess whether judges are aware of and use them, and whether additional programs might be needed.

Sentencing Options: Corrections Programs

The second set of sentencing programs is more directly under the control of local corrections. These programs include work furlough, county parole, and weekend jail.

Work Furlough. This option involves daily release from the jail to work in the community while spending all other time at the jail. When analyzing work furlough, consider whether or not the work furlough program is maximized as an alternative to traditional incarceration. In addition, quantify the proportion of available beds which are, or would be, occupied by individuals in a work furlough program. If a substantial number of these beds are located in secure facilities, look for another less expensive setting to house work furlough inmates to relieve pressure on more costly, secure facilities.

County Parole. County parole is a program through which the county can have direct impact on facility population levels. Analysis should focus on how the parole program is currently administered, the proportion of inmates who are granted county parole,

assessment of the adequacy of supervision for parolees after release, and judicial attitudes toward county parole practices. To the extent county parole can be expanded without compromising judicial sentencing, jail population pressures can be relieved.

Weekend Jail. Weekend jail is a device which enables individuals to continue employment and maintain family responsibilities while suffering some level of incarceration. Identify whether weekend sentencing practices contribute to jail overcrowding, jail staffing, or management problems; whether or not other sentencing alternatives such as community service could substitute for weekend jail; whether or not "weekenders" could be required to report to the jail during daylight hours but sleep at home to eliminate overcrowding problems; and how weekenders spend their time while incarcerated.

In recent years, a number of California counties have experimented with variations on the weekender theme. These include requiring individuals with weekend sentences to report to jail facilities for work during the day and to return home during weekend evenings. This converts a weekend incarceration program into a weekend work program. Participants can accomplish tasks which reduce county operating costs in such areas as park or road maintenance, trash clearing or weed abatement.

There is another, "crisis" oriented mechanism for temporarily reducing jail overcrowding. This is "accelerated release" by provision of Penal Code Section 4024.1 and applies only when the jail count exceeds its capacity. In this case, the sheriff can request permission from the court to release a limited number of inmates up to five days before their sentences would otherwise end. Obviously, this is not a program that should be built into a county's long-term planning.

Analysis of Sentencing Options

Determine the proportion of the current jail population which could be considered for alternative sentence programs. Figure 3.3-4, "Method for Assessing Post-Sentence Programs," provides a process for analyzing your county's performance in using sentencing options. As in previous examples, suggested performance indicators are provided; information required to evaluate both existing and potential programs is outlined in some detail; data sources are identified; and a series of evaluative questions are presented. By going through the steps, you can identify the factors affecting facility and program needs of the sentenced population in your county.

Figure 3.3-4: Method for Assessing Post-Sentence Programs

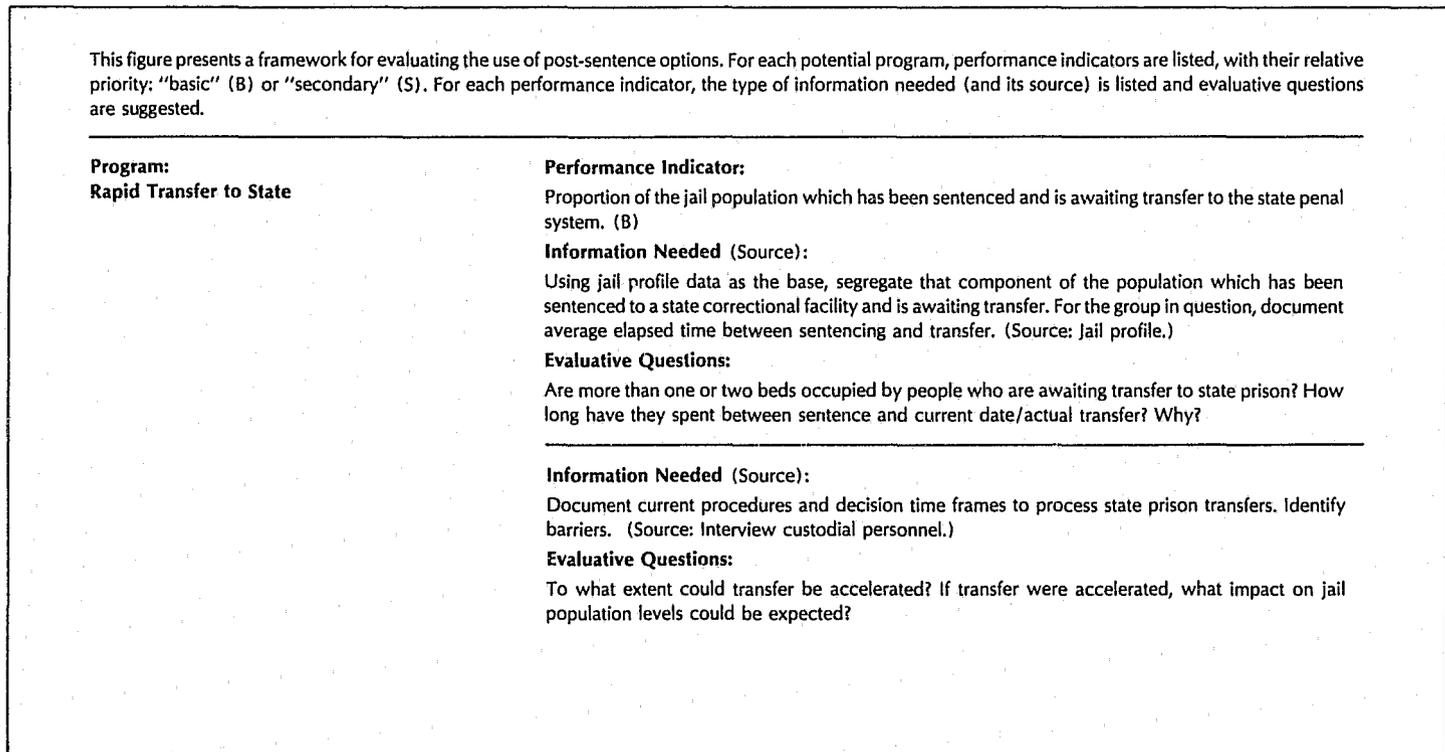


Figure 3.3-4: Method for Assessing Post-Sentence Programs, continued

Program:
Community Service
(for counties with these programs)

Performance Indicators:

Proportion of convicted felons and misdemeanants who are referred to sentencing alternative/ community service programs, probation, restitution, etc. (B)

Proportion of current sentenced population which could be dealt with in "alternative" programs involving community service if such programs were available. (B)

Information Needed (Source):

If county has sentencing alternative/community service programs, collect data to indicate the extent to which these programs are used and whether or not there are opportunities to expand usage and impact the sentenced jail population. To conduct this evaluation, collect the following information:

(1) document type of current program operated to include cost to the county, type of inmate accepted in terms of charge (by offense class), referral source, and available criminal history and demographic data;

(2) collect information describing total felony and misdemeanor convictions in the county for the most recent calendar year;

(3) meet with judges and document criteria they employ to refer or sentence people to alternative programs.

(Sources: Interviews with operators of current community service programs. Annual report of the Judicial Council providing conviction data on California courts. OBTS data available from Bureau of Criminal Statistics.)

Evaluative Questions:

To what extent are available sentencing alternative and community service programs employed to deal with sentenced offenders?

Through analysis of program content and participant characteristics, determine the extent to which the program operates as an alternative to a fine rather than to incarceration. Base your conclusions on the results of interviews with judges and analysis of program participant characteristics.

Information Needed (Source):

Develop a profile of the sentenced incarcerated population. Use selection criteria to identify people who could qualify for alternative sentencing. Criteria could include: no previous felony convictions, no behavior problems such as violent or suicidal behavior, no serious mental problems, no current drug or major alcohol problems, less than three previous misdemeanor convictions, and other selection criteria determined appropriate for your county given judicial sentencing philosophy. Structure a table arraying the selected population by convicted charge versus length of sentence. Review results and discussions with judges and program personnel. Isolate population components which could qualify for an alternative sentence and compute as percent of jail population when profile was taken. (Source: Jail profile.)

Evaluative Questions:

Are there components of the existing sentenced population which could be considered candidates for a community service program as an alternative to sentenced incarceration? Why are they incarcerated? Are there opportunities to increase use of alternatives by familiarizing judges with program content and capabilities? To what extent could sentencing alternative options be expanded? What impact would expansion have on jail and detention facility populations? Which facilities would be affected? What steps need to be taken to increase judicial use of available sentencing alternative resources?

Program:
Community Service
(for counties without these programs)

Performance Indicator:

Proportion of existing sentenced populations which could be considered candidates for alternative programs if resources were available. (B)

Information Needed (Source):

If the county does not have sentencing alternatives or community service programs, contact counties which do operate such programs and document program services and characteristics in terms of the elements noted above. (Source: Contacts with other counties.)

Meet with superior and municipal court judges. Discuss their potential use of an alternative program if one were available. Review results of contacts with other counties and develop tentative criteria they would employ to sentence convicted defendants to such a program. Based on these criteria, determine if the program would reduce sentenced jail population. (Source: Interview judges.)

Develop several profiles of the sentenced population using selection criteria noted above with the following modifications: vary criteria related to previous conviction history to select population components and construct tables based on no previous felony or misdemeanor convictions; no previous felony convictions and only one previous misdemeanor conviction; no previous felony convictions and two previous misdemeanor convictions. Analyze population components selected

Figure 3.3-4: Method for Assessing Post-Sentence Programs, continued

Community Service, continued	<p>according to the recommended criteria by convicted charge versus sentence length. Identify what proportion of sentenced population could be considered as candidates for such a program and estimate bed space impact. (Source: Jail profile.)</p> <p>Evaluative Questions:</p> <p>If a sentencing alternative were available, how many of the inmates who are currently incarcerated would be sentenced to such a program considering experience of other counties and attitudes of the local judiciary?</p> <p>Would a sentencing alternative serve as an alternative to probation or fine or would it impact incarceration rates?</p> <p>What would such a program cost to establish?</p> <p>To what extent would it alleviate bed space requirements for sentenced people?</p> <p>What type of detention facilities would be affected?</p>
Program: Drug/Alcohol Treatment	<p>Performance Indicator:</p> <p>What proportion of the sentenced population has documented drug and/or alcohol abuse problems and could be considered candidates for participation in alternative treatment programs. (B)</p> <p>Information Needed (Source):</p> <p>Document resources available to judges and probation officers as sentencing alternatives for individuals with drug and/or alcohol problems. Document criteria employed by judges to sentence (condition of sentence) to these programs. Determine adequacy/availability of placements. Document costs of maintaining sentenced individuals in alternative residential or outpatient treatment settings. (Sources: Interview judges and representatives of the probation department. Contact operators of programs currently used as referral sources.)</p> <p>Employing the jail profile data as a basis, identify population components who could be considered as candidates for participation in alcohol or drug treatment programs as an alternative to incarceration. Develop selection criteria such as the following: no behavior problems, non-violent, no mental problems (violent), no current or documented alcohol and/or drug problem(s), criminal history limited to no previous felony convictions. Then establish and test the effects of more relaxed criteria related to criminal history, including no or one previous felony conviction(s) and relevant misdemeanor conviction history. Once selection criteria are identified, conduct the following analysis.</p> <p>Alcohol Program Suitability Analysis:</p> <p>Current charge versus previous conviction history (by type of conviction). Focus on identifying population components with current and previous convictions involving alcohol related offenses. If this population reflects a relatively significant number (more than five to ten), isolate by length of stay.</p> <p>Drug Program Suitability Analysis:</p> <p>Current charge versus previous conviction history (by type of conviction). Focus on identifying population components with current and previous conviction histories involving drug related offenses. As above, if this population sub-component reflects a relatively significant number (more than five to ten), isolate this population sub-component by length of sentence.</p> <p>Evaluative Questions:</p> <p>Are there significant proportions of the sentenced, in-custody population which appear to be primarily alcohol or substance abuse related offenders? Is the detention system being used as a "warehouse" for alcohol offenders? Why? Are other housing and treatment resources available? If so, could they be used for people being dealt with in county detention facilities? Would it be more cost effective to deal with these people in an alternative setting? If available, would judges use a sentencing alternative? Considering population component size and length of sentence, what impact would alternative programs have on existing facility populations?</p>
Program: County Parole	<p>Performance Indicators:</p> <p>Number of county paroles granted over the last 12 months. (B)</p> <p>County parolees as a percentage of sentenced prisoners released from jail and detention facilities over the last 12 months. (B)</p> <p>Information Needed (Source):</p> <p>Rules, administrative procedures, and current operating practices related to conduct of the county parole program. At a minimum, collect the following information: (1) criteria employed to qualify inmates for county parole; (2) application, review and approval procedures; approaches employed to monitor parolee performance once release granted; including responsibility assignments, supervision practices, and parolee reporting requirements. (Source: Interview appropriate members of the sheriff's department and other members of the county parole board.)</p>

Figure 3.3-4: Method for Assessing Post-Sentence Programs, continued

County Parole, continued

Performance Indicator:

Reduction in average daily population resulting from paroles granted (number of paroles times average reduction in sentenced time actually served divided by 365). (S)

Information Needed (Source):

Review recent county paroles. Analyze the following characteristics of the parolee population: (1) types of convicted offenses paroled; (2) personal characteristics of parolees to include community ties, marital status, family ties, previous conviction history, and behavior characteristics. (Source: Interview appropriate members of the sheriff's department and other members of the county parole board.)

Performance Indicator:

Over the last two years, proportion of county paroles granted where parolee failed and was returned to incarceration. (S)

Information Needed (Source):

Apply current (and/or relaxed) parole qualifications criteria to the jail population profile and determine what proportion of the sentenced population could be expected to qualify for parole. Estimate impact on current facility population levels. (Source: Jail profile.)

Evaluative Questions:

Is use of the existing parole program being maximized? What steps could be taken to expand parole? Are the current criteria employed to review and act on parole application overly restrictive? What are the barriers to expanding the current parole program (parole board philosophy, lack of resources available to supervise parolees once released, other)? If these barriers were overcome, how could the parole program be expanded and what impact might expansion have on facility population levels?

**Program:
Work Furlough****Performance Indicators:**

Proportion of total sentenced population involved in work furlough. (B)

Proportion of Type II and Type III beds occupied by individuals involved in the work furlough program. (S)

Information Needed (Source):

Rules, administrative procedures, and current operating practices related to conduct of the work furlough program. At a minimum, collect the following information:

- (1) criteria employed to screen and qualify inmates for work furlough (e.g., pre-employment required? Specific conviction types prohibited? Work furlough available to those who are job seeking? Work furlough used to provide "re-entry" opportunities for longer stay, sentenced inmates?);
- (2) where work furlough participants are currently housed and average daily number of beds generally occupied by work furlough participants;
- (3) for the last three to six months, number of work furlough applications made, number approved, average daily work furlough population, and number of work furlough failures/withdrawals;
- (4) fees charged to work furlough participants;
- (5) direct program costs.

Profile the current work furlough population (convicted offense, employment status at time of application, conviction history, current employment status, school enrollment, enrollment in job training program, length of sentence).

Contact other counties and document their approach to work furlough, to include:

- (1) convicted offenses, if any, prohibited from work furlough participation;
- (2) use of work furlough for re-entry purposes;
- (3) provision of job finding services to help people qualify for work furlough;
- (4) allowing people on work furlough who are enrolled in school or in job training programs;
- (5) where/in what security level facilities work furlough people are housed.

Based on findings noted above, review contents of existing work furlough program compared to other counties. Determine if there is potential to adjust existing work furlough program to expand participation or increase the rehabilitation orientation of program. If so, apply relevant selection criteria to sentenced component of the detention profile and identify scope of existing non-work furlough sentenced population which could be considered for participation.

(Sources: Jail records/custody files; work furlough case files; work furlough policies and procedures.)

Evaluative Questions:

Where are work furlough inmates housed? Are they integrated with the rest of the sentenced population? What custodial problems does integration pose?

Figure 3.3-4: Method for Assessing Post-Sentence Programs, continued

Are work furlough inmates occupying Type II and/or Type III beds? How many? Would it be more cost-effective to house work furlough inmates in a Type IV residential facility separated from secure detention facilities? How many beds would be needed? What impact would provision of these beds have on existing secure facility utilization patterns and current/future overcrowding problems?

Is work furlough being used as a component of overall correctional facility rehabilitative activities or solely as a device to enable selected unsentenced inmates who had jobs at time of sentencing to maintain employment during their sentence? Potential uses which could be considered include:

- (1) using work furlough as a re-entry device for longer term sentenced inmates—this could involve employing work furlough for last 30 to 60 days of longer term sentences by allowing inmates work furlough privileges to find employment/job training upon release;
- (2) allowing qualified inmates access to work furlough to enable them to participate in job training or educational programs outside facilities during the period of their sentence.

Program: Weekend Jail

Performance Indicators:

Percent of average weekend jail population comprised of people serving weekend sentences. (B)

Percent of weekend days jail population exceeds rated housing capacity. (S)

Information Needed (Source):

For last six to twelve months, develop Saturday night population figures for each detention facility operated by the county.

For a comparable period, document proportion of the Saturday night population comprised of "weekenders." Document specific housing practices related to "weekenders" to include specific facilities to which they are assigned and the type of beds occupied.

Determine Board of Corrections rated capacity for each county operated facility.

(Source: Jail records. If unavailable from normal data sources, take a Saturday night "snapshot" documenting: (1) number of "weekenders" housed; (2) by facility and security type, where weekenders are housed.)

Evaluative Questions:

Do current practices include housing people overnight in detention facilities as they serve weekend sentences?

What potential exists to operate a "weekender" program under which people report to facilities during days for work assignments but sleep at home? If this approach were implemented, what impact would it have on weekend population levels and related overcrowding problems.

Present Findings to the Advisory Committee

The analysis of criminal justice programs conducted in this step should be presented to the Advisory Committee so that the members can understand the use and performance of existing programs as well as the kinds of programs that are possible.

When documenting results for the Advisory Committee, prepare brief "profiles" for each of the aspects of the criminal justice system. Structure these profiles to provide a brief narrative description of the program area and include the following:

- A listing of existing policies covering the type of inmates involved in the program.
- When the decision is made to use the program.
- A quantitative description of program performance.
- A summary description of the planning issues you have identified.

Upon completion of Step 3, you will have developed a picture of the major criminal justice program issues which have direct and measurable impact on jail population levels and facility requirements. The results of Step 3 will be used in Step 4 to evaluate the impact of program adjustments on facility needs.

References

American Bar Association Section of Criminal Justice. **Comparative Analysis of Standards and Goals of the National Advisory Commission on Criminal Justice Standards and Goals With Standards for Criminal Justice of the American Bar Association**, American Bar Association, Washington, D.C., 1974.

Board of Directors, National Association of Pre-Trial Services Agencies. **Release: Performance Standards and Goals for Pre-Trial Release and Diversion**, National Association of Pre-Trial Services Agencies, Washington, D.C., 1978.

Galvin, John. **Instead of Jail: Pre- and Post-Trial Alternatives to Jail Incarceration**, Pre-Trial Services Resource Center, Washington, D.C., 1977.

Goldkamp, John. **Two Classes of Accused: A Study of Bail and Detention in American Justice**, Cambridge, Mass.: Ballinger, 1979.

Kirby, Michael, "Findings 1", **Recent Research Findings in Pre-Trial Release**, Pre-Trial Services Resource Center, Washington, D.C., 1977.

Miller, Herbert, McDonald, William, Romero, Joseph, and Roseman, Henry. **Second Year Report on the Evaluation of the Conditional Release Program**, Institute of Criminal Law and Procedure of Georgetown University Law Center, Washington, D.C., 1975.

Pryor, Donald and Henry, D. Allen. "Pre-Trial Practices: A Preliminary Look at the Data," **Pre-Trial Issues**, Pre-Trial Services Resource Center, Washington, D.C., 1980.

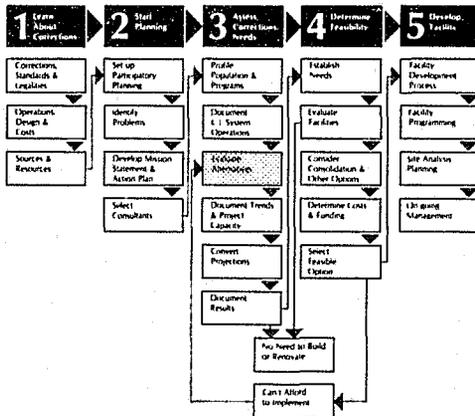
Roth, Jeffrey and Wice, Paul. **Pre-Trial Release and Misconduct in the District of Columbia**, Institute for Law and Social Research, Washington, D.C., 1978.

Silver, Nathan; Sorin, Martin; and Toborg, Mary. "The Outcomes of Pre-Trial Release: Preliminary Findings of the Phase II National Evaluation," **Pre-Trial Services Annual Journal**, Vol. II, Pre-Trial Services Resource Center, Washington, D.C., 1979.

Thomas, Wayne. **Bail Reform in America**, University of California Press, Berkeley, California, 1976.

Venezia, Peter. **Pre-Trial Release with Supportive Services for "High Risk" Defendants: The Three Year Evaluation of the Polk County (Iowa) Department of Court Services County Corrections Project**, Davis, California: National Council on Crime and Delinquency, 1973.

3.4 Step 4: Consider and Evaluate Alternative Programs



Introduction

Thus far, this handbook has attempted to provide a step-by-step process for collecting and interpreting data. The first three steps of the data gathering process involved documenting major characteristics of jail populations and programs as well as criminal justice system operations. In Step 4, you will draw on the results of each of these analyses to identify and evaluate actions which could be taken to moderate detention facility population levels (and, therefore, future construction and operating costs).

From this point forward, it will not be possible to display and evaluate all the potential alternatives which you may consider in your county. As a result, this chapter provides a **framework**, rather than a specific methodology, for evaluating the data that you have collected and for considering the impact of alternative programs on future capacity needs and operations. Illustrative examples are presented to provide the framework for establishing hypotheses, testing the impact of these hypotheses on the existing system, and assessing their cost-effectiveness.

In this evaluation of alternatives, three major "analytical issues" are explored. These involve changes in pretrial release programs, court processing improvements, and the expanded use of sentencing options. Before embarking on the analysis, the next sections introduce a range of alternative programs that may provide a potential for reducing jail space needs.

Examples of Alternative Programs

The list which follows presents some of the steps taken in one or more of seven counties across the United States which have participated in projects designed to reduce jail overcrowding. (Based upon a telephone survey conducted by Fred Campbell.)

Pretrial Improvement Projects

Selected projects undertaken to expand (or accelerate decision-making for) pretrial release programs include the following:

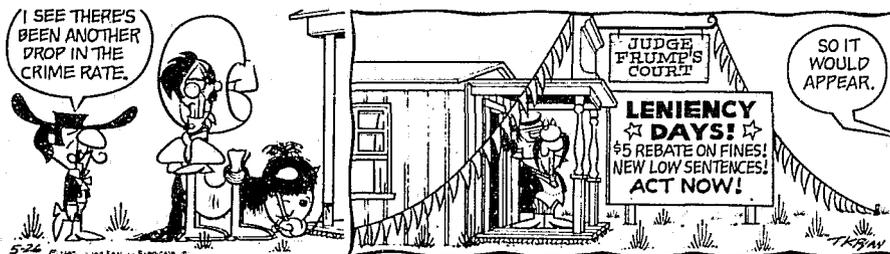
- Expanding release on own recognizance to include low risk felonies.
- Liberalizing bail schedules.
- Eliminating cumulative bail on multiple charges.
- Expediting decisions on whether to press charges (including accelerating both law enforcement agency preparation and case forwarding as well as the district attorney's charging decision).

- Accelerating arraignment on weekends and/or evenings.
- Providing duty judges at booking facilities on weekends and during evenings to facilitate pretrial release decision-making.
- Expanding use of citation release by establishing uniform policies among all law enforcement agencies in the county.
- Revising intake procedures to include review of all bookings for possibility of own recognizance release.
- Establishing around-the-clock central intake and pretrial release services at booking facilities.
- Notifying OR releasees of court appearance dates shortly before the required appearance to reduce failures to appear due to forgetfulness.
- Eliminating PC 647F (public inebriation) arrests.
- Broadening the use of PC 1000.6, and PC 1001 diversion authorities.
- Installing a supervised own recognizance release program.
- Treating most mental cases outside of the jail setting.
- Releasing individuals arrested for driving under the influence to a responsible party within four hours or less.
- Establishing a broad-based advisory committee to oversee pretrial release decisions and policies.
- Assigning deputy district attorneys to the jail to review charges at intake to expedite PC 849 release decisions.

Programs to Expedite Court Processing

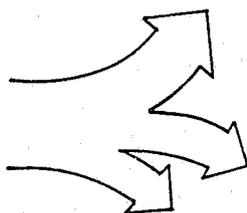
Changes in court practices, procedures or staffing which might be considered include the following:

- Provide superior court arraignment immediately after preliminary hearings in municipal court.
- Shorten the time required to develop and provide pre-sentence investigation reports (improve procedures or add staff).
- Adopt and enforce limitations on continuances granted in criminal cases.
- Establish and maintain an accelerated trial calendar for in-custody defendants.



By permission of Tom K. Ryan and Field Enterprises, Inc.

Sentencing Alternatives



Programs which would offer options other than straight jail time for sentenced offenders include these:

- Expand the use of county parole for sentenced inmates.
- Use more intensive probation supervision for individuals as an alternative to jail time or to expanded county parole. Expand probation officer staffing and assign special supervision caseloads.
- Expand the use of restitution and/or community service.
- Expand the use of weekend work projects and work furlough for sentenced individuals.
- Expand alcohol and drug programs available to individuals now sentenced to jail.
- Expand the capacity of local alcohol rehabilitation centers and shift individuals convicted of alcohol-related offenses to treatment centers rather than detention facilities.

Upgrading Jail Operations

Changes which could be considered for implementation within the jail include the following:

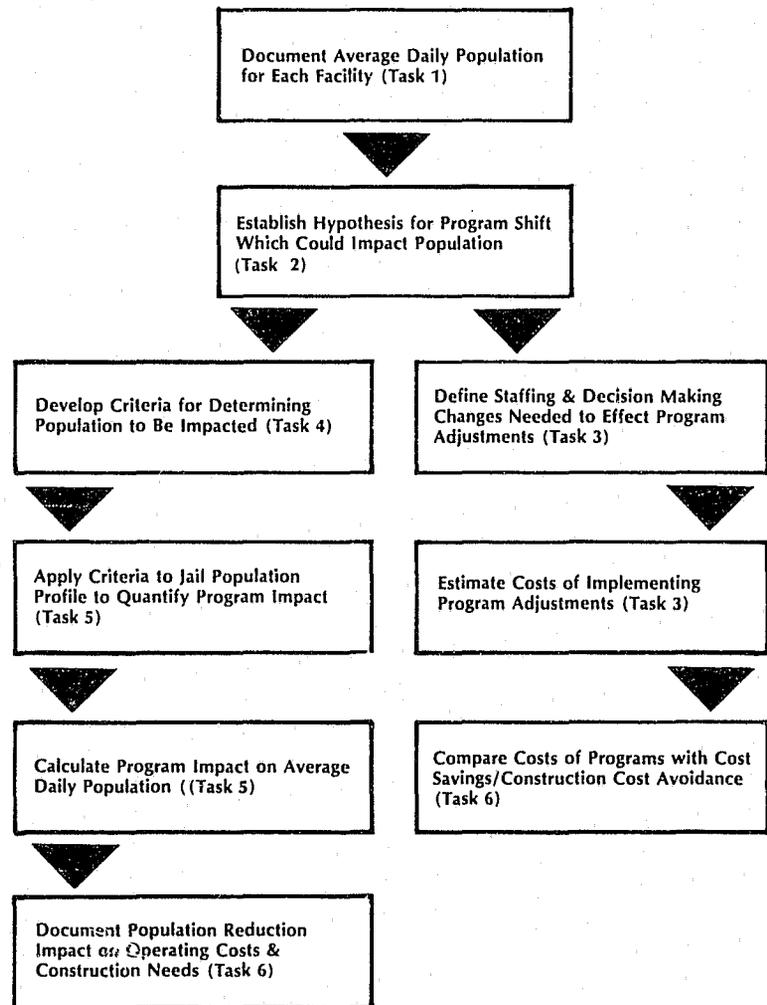
- Provide special training for jail classification staff to ensure that inmates are classified and housed consistent with realistic security requirements.
- Transfer all individuals sentenced to state prison to state authorities within 48 hours of sentencing. (This program requires the cooperation of the California Department of Corrections.)

The changes listed above present a partial menu of steps that could be taken either in lieu of expanding detention facilities or for moderating future expansion requirements. In proceeding with Step 4, develop and test the potential of some or all of these programs in your county.

Analysis of Alternative Programs: The General Approach

The same basic approach applies to the analysis of each potential project or operating adjustment, no matter which phase it affects. Figure 3.4-1, "Analyzing the Impact of Program and Processing Adjustments," provides an overview of the sequence used to evaluate alternative programs. The sequence includes six tasks.

Figure 3.4-1: Analyzing the Impact of Program and Processing Adjustments



Task 1: Gather Base Data. The first task is to establish a base upon which to calculate the impact of processing adjustments. For this purpose, **average daily population (ADP)** for each detention facility is used. To establish ADP, review detention facility records and compute average daily population for each facility for the most recent 12-month period available. To the extent possible, document the following:

- Average daily population by facility and system-wide.
- The proportion of average daily population in terms of unsentenced and sentenced inmates in each facility.
- In multi-user facilities, specific identification of male, female and juvenile inmates.

Once average daily population is documented, it is possible to assess the impact of alternative programs on reducing that population.

Task 2: Establish "Hypotheses" to Test. The next task is to establish a set of potential program changes, each of which might reduce jail population. Drawing on the results of your analysis of the criminal justice system (accomplished in Step 3; Chapter 3.3), identify specific processing or program adjustments which you think could have an impact on the jail population. Each of these program adjustments represents an hypothesis to test in terms of cost-effectiveness.

Once a set of hypotheses is developed, Tasks 3 and 4 should be completed for each one to determine its cost-effectiveness.

Task 3: Document Program Changes and Costs Required to Implement Each Hypothesis. Document the specific changes and costs required to implement the program or processing adjustment that you are testing. Implementation costs that need to be estimated include staffing costs, operating expenses, facility costs, and the like.

Task 4: Establish Criteria for Assessing Population Impact. Similarly, you need to develop specific criteria for determining which inmates would be affected if this program or processing adjustment were made. For example, if your hypothesis is the expansion of pretrial release activities, you need to specify the particular inmate characteristics which would qualify them for the expanded release program.

Task 5: Apply Criteria to Population Profile. Apply these criteria to the jail population profile developed in Step 1 (Chapter 3.1). Using the techniques in Step 1, isolate that portion of the existing jail population which fits the criteria. To quantify the number of inmates who could be involved in this alternative program, compare this population component to the total population at the time the jail profile was taken. Multiply the resulting percentage times the average daily population to yield the impact of the program if it were implemented today.

Task 6: Compare Costs and Benefits of Program Implementation. The final step in the analysis is the comparison of the cost of program implementation (to include both quantifiable and subjective costs) with its attendant cost savings or cost avoidance. "Subjective" costs involve factors such as community acceptance or resistance. Start by carefully estimating the cost of implementing the program. Be conservative in terms of estimating existing staff's ability to absorb more workload.

When estimating cost reduction or cost avoidance, consider the impact on bed space requirements in light of the county's likely need to add additional beds in the future. If the county faces capital construction for detention facilities, each bed reduced as a result of implementing the alternative program will save the cost of building that bed in the future. This impact can be quantified as follows:

- Estimate the cost of replacing that detention facility bed (see Chapter 4.5 for current estimated costs of constructing jail facilities).
- If you are comparing cost avoidance with the cost of implementing a program on an annual operating basis, compare the annual costs of program operation with the annual cost of jail beds saved. This can be done by dividing the construction cost of those beds by their useful life. The examples in Figure 3.4-2, 3.4-7, and 3.4-8 show procedures for amortizing jail bed costs.
- If the county needs to borrow money to build additional beds, evaluate the finance charges that will be incurred. Estimate their costs on an annual basis and include those in the comparison.

Impact on Operating Costs. You will also need to calculate the impact of reducing bed space or avoiding construction on decreasing facility operating costs or avoiding future increases in them. A common error is to treat the cost of each bed as if it were simply an equal part of the total cost—for instance, dividing the annual operating budget by the average daily population and assigning the resulting value as the unit cost associated with each bed.

This approach fails to recognize that facility operating costs are not necessarily responsive to small fluctuations in the population. If one bed is removed from a facility or one less inmate housed, total facility operating costs are not likely to be changed at all. The bulk of facility operating costs involve custody staff which is only influenced significantly by larger shifts in inmate population.

The impact on operating costs is more accurately estimated by per-inmate support costs and the population reduction thresholds at which staff might be saved. First, calculate the jail's actual or estimated costs to support each prisoner for each day. These costs involve food, medical service, laundry and the like. They generally run from \$3 to \$6 per day in California facilities (1980 dollars). Then, estimate the scope of population reduction necessary to eliminate one post in the detention facility. (Refer to the discussion of staffing estimates in Chapter 5.2.) Remember that it takes approximately five to six employees to staff one fixed post on a 24-hour-per-day, seven-day-per-week basis. Use this level of population reduction to estimate the impact of a reduction in bed space requirements on operating costs.

Compare Costs/Benefits. When you have completed each of these tasks, you can compare program implementation costs and savings in detention bed construction and operations, including subjective factors. In some instances, you will find that program implementation costs will exceed savings. However, the program may have subjective benefits in terms of more timely adjudication or potential rehabilitative impact on inmates.

Conversely, a potential program adjustment may be very effective in terms of avoiding measurable costs while running counter to prevailing community philosophy. These factors need to be balanced in evaluating each program alternative.

Policy Review

These, then, are the analytical steps you need to follow to calculate and evaluate each potential program's cost implications. Once developed, these potential adjustments should be reviewed in detail by the Advisory Committee and policy makers to determine which are appropriate for implementation in your county. (See the final section of this chapter for suggestions on this presentation.)

In examining the impact of alternative programs, it is important to remember that **each individual can only be released once**. That is, someone who is released under a 10% bail program would not be affected by a new own recognizance program. Thus, if you are considering more than one program, be careful not to "double count" people who might be eligible under both programs.

The sections which follow present examples of the application of the analytical steps to program alternatives related to pretrial release, court processing, and sentencing options. Each example includes two components: use of jail profile data to assess impact on capacity requirements and an evaluation of the cost impacts of the changes. You need to understand that in both instances, these analyses have been designed to illustrate the techniques and not to suggest the actual issues which must be analyzed in your county.

How to Use Snapshot Profile Data to Evaluate Pretrial Release Options

The analysis which follows shows how to use data from the snapshot profile to evaluate a change in pretrial release policy. The tables referred to here have the same format as those constructed in Step 1 (Chapter 3.1), though in each case they require focusing on separate segments of the population. The analytical questions are also different.

Analytical Issue 1: Changes in Pretrial Release Programs

Figure 3.4-2, "Example of the Analysis of the Impact of Pretrial Release Programs," demonstrates how to assess the cost and impact of policy and program changes in pretrial services. The example features a county with an overcrowded jail and a pretrial release program limited to misdemeanants. The example evaluates an expansion of OR release to include felony defendants, which entails rethinking release policies and criteria. The purpose of the analysis is to identify how many inmates might be affected by the revised criteria.

Figure 3.4-2: Example of the Analysis of the Impact of Pretrial Release Programs

<p>Task 1. Establish a Hypothesis</p>	<p>Expansion of pretrial release opportunities to selected felony defendants would substantially reduce in-custody unsentenced populations in county detention facilities.</p>
<p>Task 2. Define Changes Required to Implement the Program Adjustment</p>	<p>Required Change: Development of criteria for OR release. What criteria would be employed to qualify selected felony defendants for OR release?</p> <p>Implementation Process: Review results of visits/contacts with other counties having OR programs which release felony defendants. Identify specific selection and qualification criteria which could be employed (e.g., type of offense, residence requirements, previous conviction history, etc.).</p> <hr/> <p>Required Change: What expansion in OR interviewing at booking would accompany program adjustments? What would be the impact on booking or interview staff workload? Would additional staff be required? How many? What would expansion cost?</p> <p>Implementation Process: Analyze booking data for the last six to twelve months. Document daily felony booking volumes. Identify peak, average, and low volume periods by day of the week. Review jail records. Identify distribution of bookings by time of day. Estimate time required to conduct interviews and verify information related to considering felony defendants for OR. Multiply time requirements per booking by number of felony bookings to estimate staff time commitments required to support program expansion. Review current staff workload and determine if additional staff would be required. Estimate how many. Determine salary and fringe benefit costs necessary to support program expansion.</p>
<p>Task 3. Estimate Impact of Program Adjustment on Population</p>	<p>Using qualification criteria established in Task 2 above, select the component of existing detention facility populations which could be considered to be candidates for expanded OR releases. Select specific criteria to determine which portion of the unsentenced facility population would be affected. Review the data elements in the Snapshot Profile Data Form (Appendix A) and specify those most consistent with the criteria documented in Task 2. For illustrative purposes, assume these criteria to be: (1) unsentenced; (2) current felony charge; no wants or holds from other jurisdictions; (3) no previous failures to appear; (4) local residence; (5) some community ties. In addition, consider other factors judges might consider reflecting public safety and/or appearance risks. For illustrative purposes, assume these to be: no violent behavior, escape history, no mental, violent, or suicidal problem (in the "Custody Problem" section of the profile form); no drug addiction at time of booking (in the "Alcohol/Drug Abuse/Mental Health Problem" section of the profile form). Once these criteria have been established, select specific inmates from the jail/detention facility population profile and display that population in a table showing length of stay by current charge.</p>

Figure 3.4-2: Example of the Analysis of the Impact of Pretrial Release Programs, continued

Selected Unsented Felons Potentially Eligible for OR										
Current Charge	Length of Stay Since Booking in Days									
Felony	Booking Day	1	2	3	4	5	6	7	8+	Total
Murder	0	1	0	0	1	0	0	1	4	7
Other Violent Crimes	1	2	0	4	0	1	0	0	7	15
Violent Crime, Police Involved	0	1	0	0	1	0	1	0	3	6
Family Violence	0	0	1	0	0	0	0	0	1	2
Sex Offense	1	0	0	1	0	0	0	0	2	4
Commercial Sex Offense	0	0	0	0	0	1	0	0	0	1
Burglary	2	2	4	0	3	0	1	0	15	27
Weapons	0	1	0	2	0	0	1	1	4	9
Other Non-Violent Property Crime	2	5	2	1	1	2	3	2	18	36
Drug Use/Possession	0	1	1	0	2	0	0	1	3	8
Drug Sale	1	0	1	2	0	1	0	4	7	16
Automobile Violation	0	0	0	3	0	0	0	1	4	8
Property Violation	1	0	2	0	0	0	1	0	5	9
Miscellaneous	0	0	0	1	0	1	0	0	2	4
Total	8	13	11	14	8	6	7	10	75	152

The table shows that, on the day the jail population profile was constructed, 152 unsentenced inmates out of the total population met the selection criteria. The next step in the analysis involves translating the data displayed in the table into a realistic assessment of the impact of the program adjustment on detention population levels. However, not all of the individuals—or jail days—represented in the table could be affected by a release program.

For example, even if the program were implemented, population components shown as being in the facility on the booking day would continue to occupy some space while awaiting interview and the release decision. In addition, not all offenses can be considered as automatic candidates for release. While this decision is clearly up to the local judiciary, for illustrative purposes assume that non-violent felony offenders who meet the selection criteria can be considered as OR release candidates. From the table above, this would include individuals charged with burglary, other non-violent property crimes, drug-use/possession, automobile violations, miscellaneous, and commercial sex offenses. Using this approach, the table which follows isolates the selected population by offense class.

Felony Offense	Booking Day	1 Day	2 Days	3+ Days	Total
Commercial Sex Offense	0	0	0	1	1
Burglary	2	2	4	19	27
Other Non-violent Property Crime	2	5	2	27	36
Drug Use/Possession	0	1	1	6	8
Automobile Violation	0	0	0	8	8
Probation Violation					
Miscellaneous	0	0	0	4	4
Total	4	8	7	65	84

Figure 3.4-2: Example of the Analysis of the Impact of Pretrial Release Programs, continued

To assess impact on jail population, a further assumption needs to be made about when release would be granted. If the program was designed to identify candidates at booking and release them after telephone confirmation or in person check with a duty judge, population reduction would include all those inmates with a stay of one day or more—80 inmates in the example above. On the other hand, if the program was designed to consider candidates at arraignment, population reduction would be somewhat less. To estimate impact, you need to review the results of the court system analysis (Chapter 3.3) to estimate average elapsed time from booking to arraignment. For illustrative purposes, assume booking to arraignment requires two days. As a result, population reduction would be 65 inmates.

The last step involves comparing the effect of program expansion on the total jail population. This indicator is shown in the table below:

Population Component	Total Population on Profile Day	Population Reduction From Program Adjustments	Percent Population Reduction
Sentenced	128	0	0
Unsentenced	467	-65	-11.8%
Total	695	-65	-9.4%

These percentages will be employed to analyze and project detention bed space needs later in this example.

Task 4. Analyze the Cost Impact of Program Implementation

The final task in the analysis involves assessment of the costs to implement each program modification compared to potential cost savings resulting from implementation. For the example given, assume the following cost impact.

(1) **Cost Increases:** Your analysis indicates that OR program expansion will require more interviewing personnel. Based on workload estimates, your data suggest three jail interviewers will be required. Compute the cost.

Position	No.	Salary	Total
Jail Interviewer	3	17,500	\$52,500
Salary Cost Total			\$52,500
Fringe Benefits @ 25%			\$13,125
Total Annual Cost Increase			\$65,625

(2) **Cost Reduction/Cost Avoidance Impact:** This program reduces population by 9.4%. The equivalent of 58 beds (in a jail where the average daily population equals about 624). The cost impact is computed as follows.

If it prevents expanding the facility or building a new facility, assume cost avoidance equivalent to population reduction times the cost per bed of new facilities. For illustrative purposes, assume population reduction avoids cost of building 58 new Type II beds at a per bed cost of \$60,000. Construction cost avoidance would total \$3,480,000. To fully evaluate construction cost avoidance, you should also incorporate the cost of financing additional beds. In our example, assume 10% per year for 30 years. Estimated annual debt service is \$348,000.

The program also reduces direct inmate support costs (meals, laundry, medication). For illustrative purposes, assume \$5.75 per day per inmate. Annual cost avoidance with 58 bed reduction (5.75 X 58 beds X 365 days): \$125,028. (Note: In estimating direct cost savings associated with bed and/or population reductions, be careful to avoid the mistake of taking total facility operating costs and dividing by average daily population, then multiplying the number of beds reduced by the result to estimate cost savings. This approach fails to recognize that the bulk of any facility's operating costs involve custodial staff, and that incremental reductions in single beds could not be accompanied by comparable staffing reductions.)

To estimate staffing impact, analyze the facility's staffing pattern and estimate the impact of reducing population on the fixed post pattern in the facility. To the extent that fewer fixed posts are required, reduce staffing costs. In the example, we will assume that a reduction of 58 in average daily population would eliminate (or avoid) the need for one fixed post. This will save about 5 deputies (to staff the post 24 hours per day, 7 days per week). Cost savings would be:

Figure 3.4-2: Example of the Analysis of the Impact of Pretrial Release Programs, continued

<u>Position</u>	<u>No.</u>	<u>Salary</u>	<u>Total</u>
Deputy	5	\$20,000	\$100,000
		Salary Cost Total	\$100,000
		Fringe Benefits @ 25%	\$25,000
		Total Annual Cost Reduction	<u>\$125,000</u>

Total cost impact of implementing the program could then be displayed as follows:

Annual Operating Costs Only:

<u>Item</u>	<u>Amount</u>
Cost Increase: Add Interview Staff	<u>\$65,625</u>
Cost Decrease: Custodial staff	(\$125,000)
Prisoner Support costs	<u>(\$125,028)</u>
Annual Cost Increase (savings)	<u>(\$184,403)</u>

Annual Operating Costs Plus Construction Costs: If analysis indicates that construction will be averted, this saving should also be taken into account.

Construction cost: 58 beds X \$60,000/bed = \$3,480,000. An assumption needs to be made about how long new beds will last to develop an equivalent annual cost of constructing the additional beds. In this case, assume the new construction would have a 30 year life. Thus, the annualized cost of construction would be \$3,480,000 divided by 30 years, or \$116,000 annually. The cost impact then would be displayed as follows:

<u>Item</u>	<u>Amount</u>
Cost Increase: Add Interview Staff	<u>\$65,625</u>
Cost Decrease: Custodial Staff	(\$125,000)
Prisoner Support Costs	(\$125,025)
Amortized Construction	(\$116,000)
Construction Financing	<u>(\$348,000)</u>
Annual Cost Increase (Savings)	<u>(\$714,025)</u>

Task 5. Consider Quantitative Impact of Program Implementation

Based on contacts with other jurisdictions, estimate the impact on the failure to appear (FTA) rate which might be associated with program expansion. Concurrently, estimate the potential impact on the re-arrest rate (people who commit additional offenses and are re-arrested while on OR release).

As can be seen from Figure 3.4-2, a variety of data sources needs to be used to conduct the analysis. Much of the information will be drawn from the Step 3 documentation of current program operations. Some additional data will need to be developed through special "mini-studies." In addition, data collected for the inmate profile will quantify the impact of program adjustments on the inmate population. The analysis is demonstrated twice in the sections below, once illustrating use of data from the snapshot profile and once using data from the longitudinal profile.

Examine Length of Stay For Misdemeanants and Felons

Table Content

Document the county's existing, formalized criteria for consideration for pretrial release. Select the data elements on the tally sheet most consistent with these criteria and use these criteria to structure a table which portrays the misdemeanor and felon unsentenced population by charge and length of stay. For illustrative purposes, the table below would display the population selected from the total profile by employing the following selection criteria: no murder-related violent crime charge, no holds or felony warrants from other jurisdictions, no previous failure to appear, no current drug addiction, a local residence.

Figure 3.4-3: Length of Stay By Primary Charge

		Length of Stay Since Booking Unsentenced Inmates														
Primary Charge	Booking Day	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15+
Felony																
•																
•																
•																
Misdemeanor																
•																
•																
•																

Primary Analytical Questions

What proportion of the unsentenced population is composed of people whose characteristics fit the criteria you have established as "pretrial release qualifiers"?

Are there substantial numbers of these people in custody whose length of stay exceeds the typical time frame required to make pretrial release decisions one to five days)?

Why are these people still in custody?

Are there significant numbers of qualified misdemeanants and "less serious" felons whose length of stay exceeds one day?

Triggers for Additional Analysis

If the answer to one or all of the suggested analytical questions is "yes," this might suggest the following:

- Existing pretrial release criteria may not be uniformly applied.
- There may be opportunities to accelerate pretrial release decision-making by establishing policies for release decision-making at booking. This may require formalizing judicial policies, using a "duty" judge to review release candidates based on data collected at booking by jail or pretrial release interview staff, and the like, to accelerate application of **existing** pretrial release criteria. Elapsed time in custody would provide an estimate of the potential impact of accelerating releases or reducing length of stay, thus lowering the jail population.

To validate these tentative conclusions, some additional analyses would be required.

Examine Custody Problems of Inmates with Substance Abuse or Mental Health Problems

If the results of the above analysis indicate that substantial portions of the population might be impacted, further segment the population under analysis to identify behavior characteristics that judges might take into account when considering inmates for OR release.

Table Content

Construct a table that profiles the population (selected according to existing pretrial release criteria as above) to show which inmates with substance abuse or mental health problems displayed various custody problems.

Figure 3.4-4: Substance Abuse/Mental Health History By Custody Problem

Alcohol/Drug Abuse/Mental Health Problems					
First Custody Problem	Active Drug Addiction	Past Drug Addiction	Alcoholic	No Problem
Violent Behavior					
Suicidal					
Escape History					
.					
No Problem					

Primary Analytical Questions

If a significant number of the already selected inmates are classified as "no problem" from both perspectives, there may well be problems with existing pretrial release criteria. Conversely, if most of these inmates have other behavior or substance abuse problems, this may explain why judges have not granted pretrial releases. Even so, this could suggest a potential to expand pretrial release by providing service placement options to people who have no apparent barriers except drug or alcohol problems.

The next step in the population analysis involves conducting a more in-depth review of the unsentenced population. This review will identify potential barriers to pretrial release for lower risk misdemeanants and felons as well as provide data on opportunities to relax existing release criteria or accelerate release processes. To do this, the Planning Team should select a level of "relaxation" of pretrial release criteria and apply them to the population profile to determine what portion of the unsentenced population fits. Several examples of this type of analysis follow.

Examine the Warrant/Hold Status of Misdemeanants and Felons

Determine the impact of holds and minor warrants from local as well as other jurisdictions on providing pretrial release given **existing** pretrial release criteria.

Table Content

For illustrative purposes, it is assumed that release criteria are the same as those employed earlier in this section (no murder-related violent crime charge, no previous failures to appear, no current drug addiction, a local residence). Add the additional selection criteria of no indicators of violent behavior based on entries of violent behavior, mental problem-violent, or suicidal in terms of custody problems. Then, for the population selected based on these criteria, structure a table which portrays warrant/hold status ("wanted by other jurisdictions") on one axis of the table and the nature of the hold or warrant on the other (See Figure 3.4-5).

Figure 3.4-5: Warrant/Hold Status of Unsented Misdemeanants and Felons

Warrant/Hold Status of Unsented Inmates							
Nature of Charges in Other Jurisdictions	No Warrant or Hold	Parole Hold	Arrest Warrant Other County	Arrest Warrant State Agency	Arrest Warrant Federal Agency	Arrest Warrant Local Agency	Probation Hold
Felony							
.							
Misdemeanor							
.							
.							

Primary Analytical Questions

Are there people who fit the pretrial release criteria and have no warrants and holds and are still in custody? Why? (Refer to Figure 3.4-3 to pursue this issue in terms of length of stay and charge characteristics of these people.)

Are there people who are charged with misdemeanors or traffic offenses in other jurisdictions who are still in custody?

Do parole "holds" account for why people who otherwise meet the county's pretrial release criteria are still in custody?

Do local traffic warrants appear to be a significant reason that people who meet pretrial release criteria are still in custody?

Do probation holds appear to be a major reason people are held in pretrial custody?

Triggers for Additional Analysis

If holds by parole agencies comprise a significant proportion of the population under analysis, a program to "clear" holds could expand the pretrial release program without adjusting existing criteria, thus reducing jail population.

Do minor warrants from other or local jurisdictions comprise a significant proportion of the population? If so, could a program to clear warrants earlier expand pretrial release activities within existing criteria?

If positive answers result from any of the above questions, the Planning Team will wish to further profile the population by length of stay to accomplish two things. First, to assess whether lengths of stay for the population groups noted above exceed one day. If so, this may suggest that a hold and/or minor warrant clearing program can have some impact. Second, to quantify the impact of potential population reduction on future facility requirements.

Additional analyses of pretrial release issues would look further at the unsentenced population, portraying characteristics which suggest the risk of failure to appear and potential threats to public safety, factors which formally or informally impact pretrial release decision-making. Several illustrative tables follow.

Examine Criminal History of Misdemeanants and Felons

Determine whether the criminal history of pretrial inmates suggests that some might be considered for release.

Table Content

Use as selection criteria no previous failures to appear, no holds or felony warrants, current local residence, some family ties, no current drug addiction, no violent behavior problem, and no escape history. Portray the population which meets these criteria by current charge versus previous conviction history as shown in Figure 3.4-6.

Figure 3.4-6: Criminal History By Current Charge

Criminal History							
Current Primary Charge	More than 2 felony convictions	One felony conviction	No previous felony conviction	No misdemeanor conviction	One misdemeanor conviction	More than two misdemeanor convictions	Population Total
Felony							
Misdemeanor							

Primary Analytical Questions

Is there a significant proportion of the people in the table with limited criminal histories as measured by previous felony convictions?

What proportion of these people are charged with misdemeanor or non-assaultive felonies?

What proportion of these people have no previous convictions?

Re-examine Length of Stay for Misdemeanants and Felons

How to Use Longitudinal Profile Data to Evaluate Pretrial Release Options

Triggers for Additional Analysis

What length of stay is associated with the population noted above? If lengths of stay exceed three to five days for individuals without a serious prior conviction, relatively low risk people may have failed to qualify for pretrial release because of existing criteria or practices. The next step is to further analyze this population by length of stay, adding the additional selection criteria of conviction history.

However, remember that current charge and conviction histories apparently do not affect whether people will make court appearances. However, they are factors that many judges informally take into account when setting bail and considering people for pretrial release. As a "real world" analyst, you need to consider these issues and portray them to the Advisory Committee for practical consideration of pretrial release adjustments.

This step takes you back to the table format shown in Figure 3.4-3, this time to look at length of stay for people meeting a larger set of criteria.

Table Content

Select that portion of the jail population which fits these criteria: no previous failure to appear, no holds or felony warrants, current local residence, no current drug addiction, no violent behavior problem, no escape history, and no more than two previous felony convictions for non-violent felony offenses.

Primary Analytical Questions

Given the selection criteria, what proportion of the population has a length of stay beyond one, two or three days? Look at each threshold.) These generally represent people who did not qualify for pretrial release or could have been released earlier.

What proportion of the unsentenced population do these people represent? What proportion of the total detention population?

Triggers for Additional Analysis

Considering the cost of Type II (pretrial) detention facility beds in terms of new construction (over \$60,000 per bed), is it cost-effective to hold these people in pretrial custody?

Can the county's pretrial release program be expanded without compromising the adjudication process or endangering public safety?

An evaluation of pretrial release options comparable to that described above can be accomplished using the longitudinal profile data. The following are analyses you may want to accomplish employing the techniques shown above:

- Compare those released with those who are not released and identify differences.
- Analyze length of stay for those who receive pretrial releases compared to those who are held in custody until disposition. Note differences in criminal history, current charges, and behavior characteristics.
- Document the proportion of total pretrial bookings that are held in custody until trial is completed.
- Analyze the characteristics of individuals held in custody during the pretrial period (using criminal history and behavior characteristics) to assess potential for expanding or accelerating pretrial releases.
- Analyze the unsentenced population with warrants or holds. Identify opportunities to reduce this population by clearing warrants or holds or by accelerating transfers of selected inmates to other jurisdictions that have placed warrants.
- Document average elapsed time required to grant pretrial release. Identify potential to accelerate decision-making and estimate the impact of reduced lengths of stay on the in-custody population.
- Analyze misdemeanor citation practices by considering these as a proportion of total misdemeanor arrests. Analyze characteristics of arrestees who are not accorded pretrial releases through misdemeanor citations by the arresting

agency. Finally, determine if opportunities exist to increase use of misdemeanor citations through coordination among law enforcement agencies and better officer training.

- Identify the proportion of arrestees released as a result of the various provisions of PC 849 as follows:

PC 849(a): no complaint filed, release at court.

PC 849(b) (1): jail release because no complaint filed/decision not to file complaint.

PC 849(b) (2): release after arrest for intoxication, no complaint filed.

PC 849(b) (3): arrest for under influence of drugs, and person taken to hospital rather than complaint filed.

Determine average length of stay in custody before PC 849 releases are granted. Analyze PC 849 releases by primary arresting charge and arresting agency to determine if any local law enforcement agencies appear to carry out a higher proportion of arrests resulting in PC 849 releases.

Analyze the appearance performance of individuals who were released under the various pretrial release mechanisms. If you observe performance differentials, analyze personal characteristics of those who appeared and did not appear (offense, criminal conviction history, residence, employment, marital status, and family ties) and attempt to identify relationships.

By primary charge and conviction history, analyze the type of arrestees formally diverted during the adjudication process. Identify and analyze differences between those diverted and those formally adjudicated. Document diversion as a proportion of total dispositions for the study sample, and analyze the custody status of those diverted.

Construct a set of tables to display the progression of charges between arrest and arraignment, arraignment and preliminary hearings (for felonies), and arraignment/preliminary hearing and ultimate disposition. Display the impact of charging practices, plea bargaining, and arrest practices on overall charge and/or deterioration in charging levels from arrest until disposition. Consider implications of the results in terms of pretrial release policies.

Analytical Issue 2: Court Processing Improvements

The second major analysis issue concerns how effectively the court system (and related services) can process the individuals held in custody in the jail. Obviously, the length of time taken for each court proceeding will have a direct effect on how long a pretrial or presentenced individual spends in jail and, therefore, on the jail's required capacity.

Figure 3.4-7: Example of the Analysis of The Impact of Court Processing Improvements

Task 1. Establish a Hypothesis	By increasing staff resources available to the district attorney and public Defender, disposition time for in-custody defendants could be accelerated and jail population reduced.
Task 2. Define Changes Required to Implement the Court System Processing Improvement	<p>Required Change: How many additional deputy district attorneys and deputy public defenders would be required to accelerate disposition time?</p> <p>Implementation Process: Document current workload of district attorney and public defender staff assigned responsibility for superior court cases. Meet with managers from the district attorney's and public defender's offices. Review workload data and reach a consensus on number of additional staff required to speed disposition. Ensure staffing requirements are documented in terms of both attorney and clerical positions.</p>

Figure 3.4-7: Example of the Analysis of The Impact of Court Processing Improvements, continued

Required Change:

If staffing were increased, how much would dispositions be accelerated?

Implementation Process:

Review elapsed processing time in the criminal justice system. Analyze impact of staffing increases on caseload distribution and potential readiness of trial staff in both offices. Based on the analysis, develop (and review with managers from both offices) potential disposition acceleration as an estimated number of days.

Task 3. Estimate the Impact of Processing Improvements on Population Levels

Display the felony unsentenced population (documented in the jail profile) in a table which arrays the population by length of stay versus charge. If you have previously determined that the felony unsentenced population can be reduced through expansion of pretrial release activities, make sure that you do not include in the table those who will be released. For example, if analysis resulted in plans to expand pretrial release, the portion of the unsentenced population analyzed in this table would exclude all of population component which could qualify for expanded pretrial release. To structure a table, reverse the selection criteria used to select pretrial release candidates.

Primary Charge	Unsentenced Felons									Total
	Length of Stay Since Booking									
	0-20	21-28	29-35	36-42	43-49	50-56	57-63	64-70	71-77	
Felony										
Murder	2	1	2	0	1	1	2	1	3	3
Other violent	6	0	1	2	3	1	1	0	1	15
Violent—police officer involved	3	0	2	0	0	1	0	0	0	6
Sex Offense	1	0	0	1	1	0	1	0	0	4
Commercial Sex Offense	0	0	0	0	1	0	0	1	0	2
Weapons	4	1	0	2	1	0	3	1	4	16
Burglary	2	3	5	4	4	5	7	9	10	49
Other Property	7	1	0	2	1	0	3	1	4	19
Total	25	6	10	11	12	8	17	13	22	124

Review the data displayed in the table and attempt to assess the impact of disposition time acceleration on the unsentenced jail population. Follow these three steps.

First, determine what proportion of the population would be affected by accelerated court processing. In the example above, assume that only those inmates who have been in custody more than 21 days would be impacted. In this example, it is assumed that people in this category would have their cases in process at the superior court level, and that disposition acceleration would impact that group. From the table above, the inmates affected would total 99 (the 124 total less the 25 whose length of stay is less than three weeks).

Second, calculate the average length of stay of the population using the weighted average technique. Use the mid-point of each length of stay range for computational purposes (e.g., 29 to 35 days would be treated as 32 days: $29 + 35 = 64$ divided by $2 = 32$ days).

Total Inmates in the Category		Mid-point Length of Stay		Jail Days
6	X	24.5	=	147
10	X	32	=	320
11	X	39	=	429
12	X	46	=	552
8	X	53	=	424
1	X	60	=	1020
13	X	67	=	871
<u>22</u>	X	74	=	<u>1628</u>
<u>Total 99</u>				<u>5391</u>

Figure 3.4-7: Example of the Analysis of The Impact of Court Processing Improvements, continued

Then, divide the weighted days by the total inmates to estimate average length of stay (5391 divided by 99 = 54.5 days).

Third, calculate the impact on the in-custody sentenced population. For illustrative purposes, assume that staffing increases for the public defender and district attorney would reduce disposition time by ten calendar days. To convert that reduction to impact on in-custody population, conduct the following calculations:

Subtract the reduction from the documented average length of stay (54.5 days - 10 days = 44.5 days).

Multiply 44.5 days by the number of inmates above ($99 \times 44.5 = 4405.5$).

Divide that result by the total jail days represented by the population (5391). The calculation would be:

$4405.5 \text{ divided by } 5391 = .817$

Multiply the number of inmates by that result.

$99 \text{ inmates} \times .817 = 81$

Subtract the result from the current number of inmates to document the expected population reduction:

$99 - 81 = 17 \text{ beds}$

Divide the result by the facility population on the day the profile was taken:

Population Component	Total Facility Population on Profile Day	Population Reduction From Program Adjustment	Percent Population Reduction
Sentenced	68	0	0
Unsentenced	314	-17	-5.4
Total	382	-17	-4.4%

These percentages would subsequently be employed to analyze and project detention facility bed space needs later in this process.

Task 4. Analyze Cost Impact of Program Implementation

First, estimate the cost of implementing the adjustment. In this example, assume that achievement of disposition time reduction would require the addition of two staff attorneys to both the public defender's and district attorney's office. In addition, increase in attorney staff would require one additional clerical support position in each office.

Position	Number	Salary	Total
Deputy District Attorney	2	\$30,000	\$60,000
Deputy Public Defender	2	30,000	60,000
Clerical	2	11,000	22,000
Salary Cost Total			\$142,000
Fringe Benefits @ 25%			35,000
Total Annual Cost Increase			\$177,500

Then, following procedures comparable to those shown in Figure 3.4-6, compute capital cost and operating cost avoidance impact. For illustrative purposes, assume that average daily population is 415; and recall that this adjustment has the potential to reduce facility population by 4.4%. Thus, it reduces bed space requirements by ($415 \times 4.4\%$) 18 beds.

If this reduction avoids expanding the facility or building a new facility, estimate the construction cost of the facilities which would not need to be built. For illustrative purposes assume the acceleration of disposition eliminates the need to build 18 Type II beds at a per bed cost of \$60,000. Construction cost avoidance would total \$1,080,000. To fully evaluate construction cost avoidance, you should also incorporate the cost of financing additional beds. In the example, assume 10% per year for 30 years. Estimated annual debt service would then be \$108,000.

Figure 3.4-7: Example of the Analysis of The Impact of Court Processing Improvements, continued

In the illustration, assume that the bed space reduction is insufficient to lead to either a reduction in current custodial staffing levels to avoid the addition of new custodial staff positions in future years. Compute the reduction in direct inmate support costs (food, laundry, medicine, etc.). Estimate per day, per inmate support costs at \$5.75; total yearly savings are ($\$5.75 \times 18 \times 365 =$) \$37,777.50 per year. The total impact of program implementation is as follows.

Annual Operating Costs:

	<u>Item</u>	<u>Amount</u>
Cost Increase:	Increase District Attorney and Public Defender staff	\$177,000
Cost Decrease:	Inmate support costs	(37,777)
Annual Cost Increase (Savings):		<u>\$139,223</u>

Annual Operating Costs Plus Construction Costs:

If analysis indicates that construction will be averted, include these savings in the analysis.

	<u>Item</u>	<u>Amount</u>
Cost Increase:	Increase District Attorney and Public Defender Staff	\$177,500
Cost Decrease:	Inmate support costs	(37,777)
	Amortized Construction	(36,000)
	Construction financing	(108,000)
Annual Cost Increase (Savings):		(4,277)

Task 5. Consider the Quantitative Impacts of Program Implementation

Are there sufficient courts and judges available to accelerate processing if prosecution and defense resources are expanded? Would staffing resource increases really achieve disposition acceleration estimated, or would selected defense tactics (e.g., delay to influence deterioration of prosecution's case) offset all or a portion of the expected impact?

Figure 3.4-7 displays an analytical sequence for evaluating how court processing improvements might affect jail population levels. To conduct the analysis of potential court processing improvements, you will want to use a variety of resources, including the following:

- The jail population profile developed in Step 1 (Chapter 3.1).
- The results of the analysis of criminal justice system operations carried out in Step 3 (Chapter 3.3).
- Special studies done to resolve issues identified during the criminal justice system analysis in Step 3 (Chapter 3.3).

When using these data to evaluate the impact of court system processing improvements, investigate issues such as these:

- Profile the unsentenced population by length of stay versus adjudication status and determine the proportion of disposed cases at the various key points in the adjudication process. Analyze results to assess how much court processing backlogs contribute to the jail's unsentenced population. Identify convicted population groups that are awaiting sentence. If the elapsed time is significant, conduct further analysis to determine if probation department pre-sentence report services are backlogged and if this backlog is impacting in-custody population levels.
- Similarly, profile the unsentenced population by length of stay versus adjudication status. Identify sentenced population groups that are awaiting transfer to the state correctional system. Conduct further analysis to determine ways to accelerate transfer to reduce local facility populations and moderate future facility expansion needs.

Analytical Issue 3: Use of Sentencing and Housing Options

The final analysis issue is the potential impact of sentencing alternatives on the jail population. A closely related issue is the potential to adjust housing patterns to alter the security level used for sentenced inmates (and, therefore, to reduce the cost of facilities needed by your county, now and in the future).

Figure 3.4-8, "Example of the Analysis of Custody and Security Requirements," presents a case study of the potential impact of adjusting classification criteria to improve the cost-effectiveness of in-facility housing practices.

Figure 3.4-8: Example of the Analysis of Custody and Security Requirements

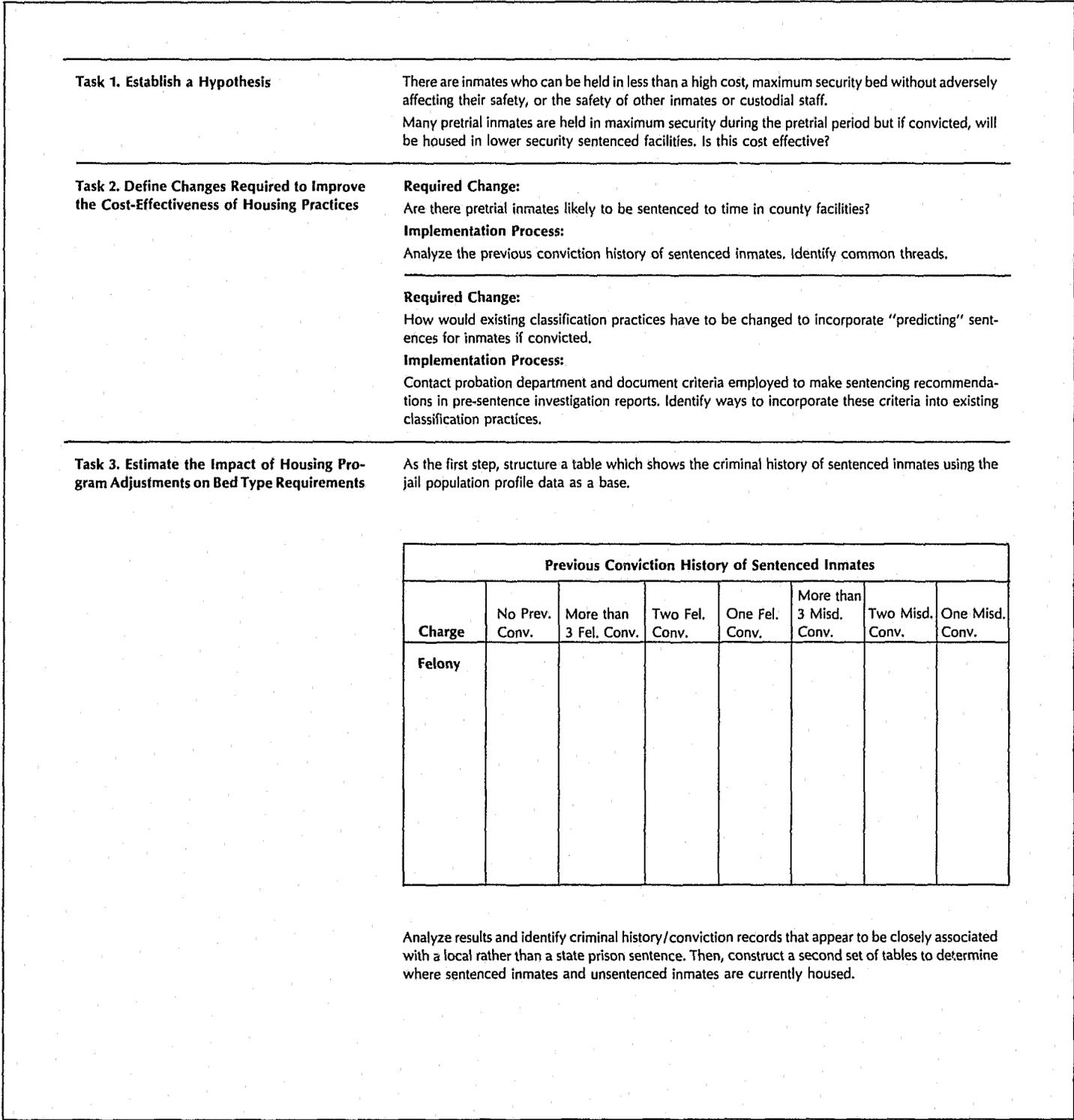


Figure 3.4-8: Example of the Analysis of Custody and Security Requirements, continued

Sentenced Inmates				Unsentenced Inmates			
Charge	Housing Assignment			Charge	Housing Assignment		
Felony	Main Jail Cell	Main Jail Dorm	Jail Farm	Felony	Main Jail Cell	Main Jail Dorm	Jail Farm

Compare the tables and see if the hypothesis that sentenced prisoners are generally held at lower security levels holds true. If so; construct a third table to determine what proportion of the unsentenced population could be considered as candidates for housing in a lower security facility.

Apply the following criteria to select the potential population component: no custody problems which would influence housing; currently housed in maximum security setting; length of stay over seven days (need to allow sufficient time to enable custodial staff to monitor behavior to ensure there are no custody problems associated with individual inmates); and other selection criteria as you deem appropriate.

Selected Unsentenced Inmates			
Charge	Housing Assignment		
Felony	Main Jail—Cell	Main Jail—Dorm	Jail Farm
Murder	7	0	0
Other Violent	4	8	0
Burglary	6	15	2
Other Property	0	8	3
Misc.	0	9	1

38

Analyze the results and identify rehousing candidates. For this example, assume all non-violent felons who meet the selection criteria can be transferred to a lower security housing situation.

The next step would involve comparing the results of program expansion or modification to total jail population (at the time the sample was taken) to develop an impact indicator. In developing this indicator, analyze the impact only on the facility where population will be reduced. Assume the maximum security main jail in this instance.

Figure 3.4-8: Example of the Analysis of Custody and Security Requirements, continued

Population	Total Main Jail Population on Profile Day	Population Reduction	Percent Population Reduction
Sentenced	38	0	0
Unsentenced	291	-38	-13.1%
Total	329	-38	-11.5%

In this example, it must be remembered that this step does not involve a population reduction, but rather a transfer within the detention system. As a result, increasing lower security facilities' population resulting from population transfer must be quantified. For illustrative purposes, assume that inmates when reclassified would be transferred to the jail farm.

Compute the average daily population of both the main jail and jail farm. Then multiply main jail average daily population by the percentage reduction noted above and add the result to the jail farm population.

Facility	Average Daily Population	X	%	=	Number
Main Jail	316		11.5		36
Jail Farm	214 + 36 = 250 Revised ADP.				

Task 4. Analyze the Cost Impact of Housing Program Changes

The cost impact of reclassification and intra-system transfer depends on the status of existing facility overcrowding. If existing facilities are not overcrowded, the transfer is unlikely to have either major operating capital cost avoidance impact.

On the other hand, if both the main jail and jail farm have populations which exceed capacities, the transfer would have impact of reducing the additional higher security beds required to be built and increasing the number of lower security beds. Analysis of the cost impact would be the differential between construction and financing costs as follows (assume 30 year financing at 10%).

Cost Component	Amount
Main Jail Expansion	
Construct 36 beds @ \$60,000	\$2,160,000
Financing costs (10% for 30 years)	6,480,000
Subtotal	\$8,640,000
Jail Farm Expansion	
Construct 36 beds @ \$25,000	\$ 900,000
Financing costs (10% for 30 years)	2,700,000
Subtotal	\$3,600,000
Cost Avoidance Differential	\$5,040,000

If the main jail is overcrowded, but the jail farm has excess capacity and could absorb the population without constructing additional beds, then the cost differential would be the total amount required to build the higher security, main jail beds.

Present Results to the Advisory Committee

Jail profile data may also help determine other potential opportunities to control facility populations by providing sentencing alternatives, using programs such as court parole, or using alternative facilities like work-furlough facilities, community-based re-entry residences or other approaches.

Summarize the results of the analysis of alternatives for the Advisory Committee and decision-makers so that policy and cost issues can be resolved. In presenting results, prepare narrative and statistical profiles which describe each alternative.

Open the discussion of each alternative with a section describing the program adjustment and how it could impact the jail population.

Provide a second section showing the requirements to implement the program including organizational changes, staffing increases, policy and procedural changes. Show the costs of implementing these changes. Where other pros and cons are identifiable, list them.

Show the impact of the program on the jail population, including a detailed description of the assumptions underlying your assessment of the impact. Support your analysis of each alternative with enough data to justify your findings, but be careful not to overwhelm the committee.

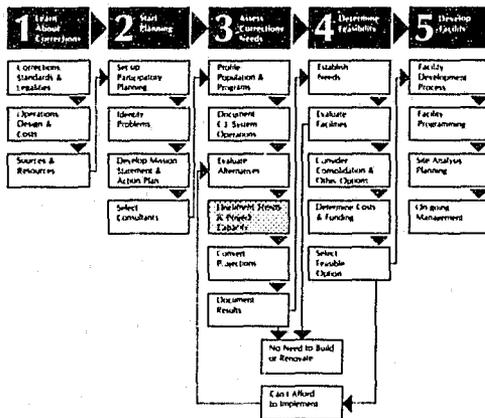
Finally, prepare a summary table comparing the cost, risk and benefit of each alternative.

Summary and Conclusion

By following the techniques outlined in this section, you can quantify the impact of specific alternative programs and processing improvements on both current jail overcrowding and likely future capital requirements. Remember, however, that you can only release each individual once and that cumulative programs or policies may show diminishing returns.

Once you have evaluated all the potential alternative programs, project future detention facility population and capacity requirements in the next steps.

3.5 Step 5: Document Trends and Project Future Volumes



Introduction

The purpose of Step 5 is to develop projections of the jail population **given current incarceration strategies** (including existing pretrial release programs and services, court processing procedures, sentencing alternatives, and jail management techniques).

While it is recognized that this is only a temporary step, the projection that results from this step assumes that **no adjustments** are made in policies or programs. Once this projection has been developed, you must examine and test the impact of alternative courses of action on adjusting the projection. This will be done by varying pretrial release policies, improving court operations, adjusting sentencing practices and the like. These adjustments produce the **final projection** and are covered in Step 6 of this handbook.

Accuracy of Projections

When projecting future population and facility needs, it is well to bear in mind that there is no "magic" approach to making projections. No one can predict the future. At best, you can make intelligent use of information on past practices, look at recent developments, make reasonable assumptions, and decide how, in the future, you will treat the factors over which you can exert some control. These principles form the basis for the methods presented here and in Step 6. But, how accurate can you expect a projection to be?

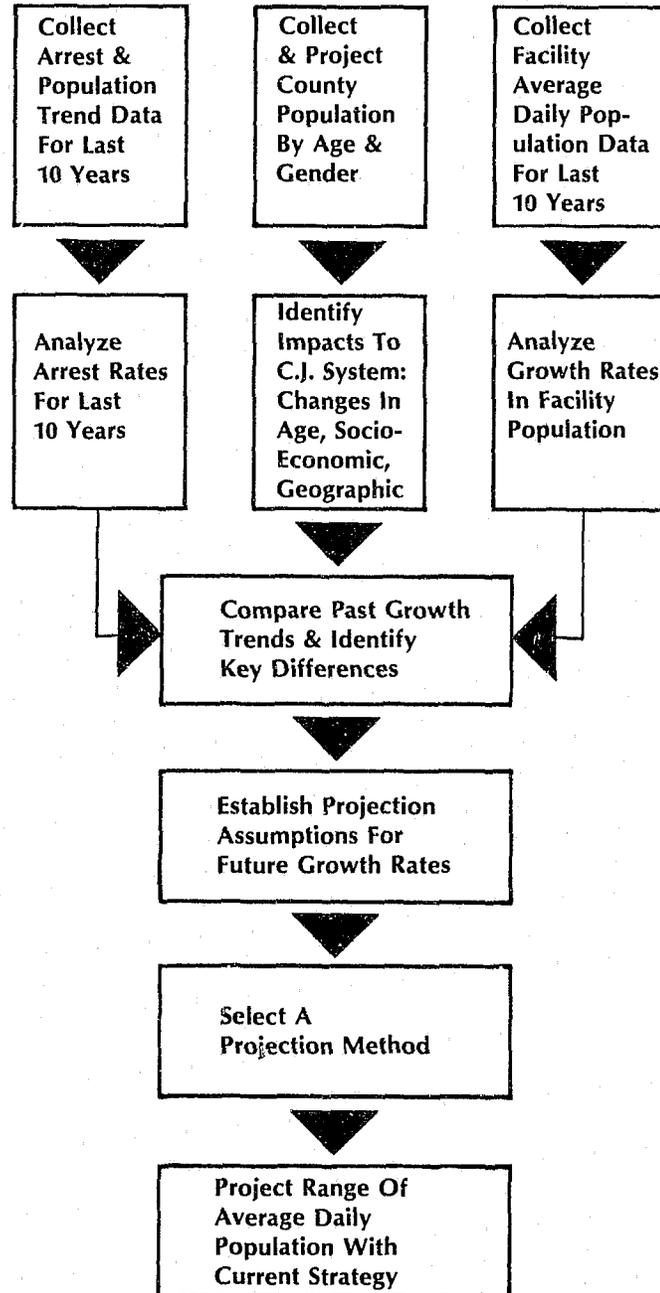
It is possible to use complex mathematical models or relatively simple projection methodologies. Perhaps surprisingly, jurisdictions using both types have experienced about the same range in accuracy. Some developed projections that closely paralleled actual needs, while others missed by substantial factors. Since so many issues can influence future jail populations, the projection method chosen may be less important than other aspects of planning, coordination among agencies and the regular updating of data and projections.

Obviously, it is more difficult to project further into the future. The 20-year projection period in these handbooks is used so that a jail system can obtain a perspective that relates to the useful life of projected construction. However, greater emphasis is placed upon the next 10 years and more detailed projections are developed for that period. In fact, once projections are developed, they should be updated annually (or even more frequently), considering and quantifying changes in the assumptions upon which the initial projections were based.

Overview of the Projection Process

No matter how complex the projection methodology, the same basic steps are required. Figure 3.5-1 provides a graphic illustration of the main steps in the projection sequence. The paragraphs which follow introduce you to the overall projections sequence and provide two alternative methodologies that you can use to project likely detention population levels in your county.

Figure 3.5-1: Projecting Detention System Needs



Obtain and Analyze Background Data

Any projection approach requires you to review and analyze key trends in your county over the last five (or preferably ten) years in both the general county population and the criminal justice system. Four important types of available historical and future projection information include the following:

- **Historical arrest data** for your county for at least the last ten years.
- **Average daily population data** and bookings (by facility) for the last ten years.
- **Historical county population data** for the past ten to 20 years.
- **County population projections** which cover the 20-year planning period.

Historical Arrest Data

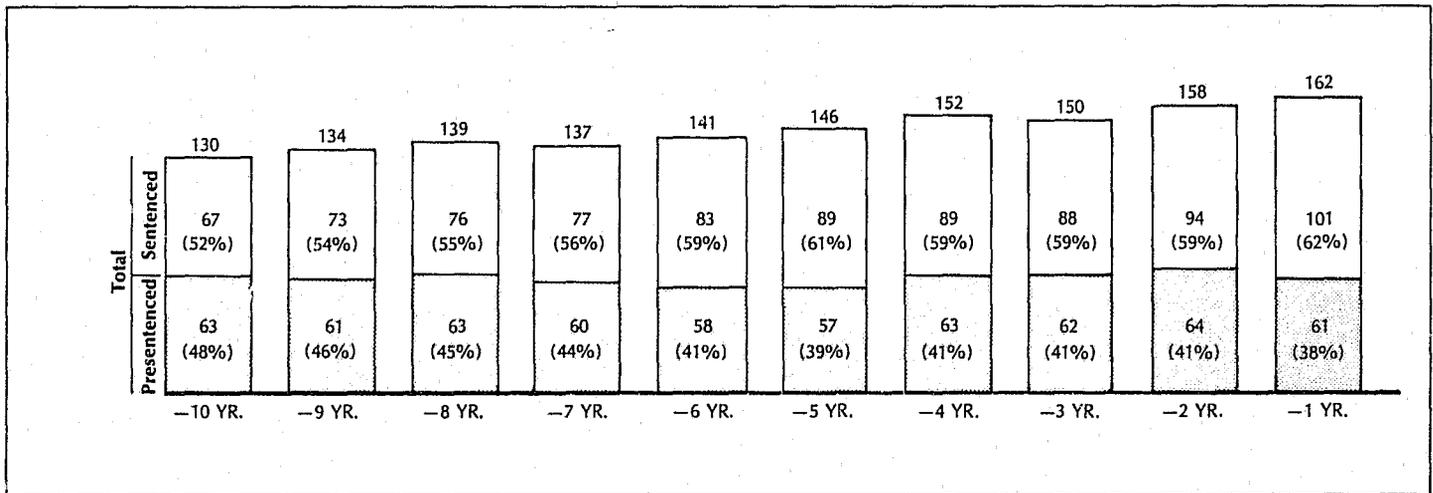
Obtain the most recent available copy of your county's annual **Criminal Justice Profile**, published by the Bureau of Criminal Statistics and Special Services of the California Department of Justice. Extract your county's adult felony and adult misdemeanor arrest data for the last ten years. Array these data on a chart (or set of charts) depicting volume of arrests by offense class for each year over the ten-year period. (Use caution in interpreting these data, however, since the Bureau's reporting base has changed within the last ten years.)

Then, compute the average annual percentage changes for total adult misdemeanor arrests and total felony arrests, and then by specific offenses within those categories. Do this separately for male and females.

Average Daily Population Data

Review jail records and extract average daily population data for the last ten years. Compute average daily population for each year over the ten-year period and, to the extent possible, determine what proportion was comprised of sentenced and unsentenced individuals. If your county has more than one detention facility, collect and display these data for the whole system and for each facility. Where appropriate, break down average daily population data into males and females. At the same time, collect annual booking data for the same period.

Figure 3.5-2: Example of Historical Population Data



Historical County Population Data

Obtain historical county population data for the same period. Your county planning department should be able to provide you with relatively detailed population data based on the 1960, 1970 and 1980 United States Censuses. Array these data on a second chart and show annual percent increases in total county population and for males and females.

County Population Projections

Collect and evaluate all available projections of future county population. Sources that you may wish to investigate include the Population Research Unit of California Department of Finance; your county's general plan; and multi-jurisdictional agencies including school districts, metropolitan transportation commissions, associations of government, and the like. Many of these institutions develop and maintain up-to-date population projections as part of their planning services. Local sources can also identify key planning assumptions which need to be incorporated in your projections.

Select a Population Projection. Once you have collected available population projections, review them in detail and select the one that will be most useful in corrections planning. Thus, select the forecast that appears to be most consistent with existing and likely future political trends in the county—including assumptions about land use, in-migration, and the like.

Rely on the projection which takes into account the most recently documented and validated trends in county historical population. The 1980 U.S. Census will change many older population projections.

Identify High Impact Population Groups. Once you have selected a population projection, analyze it thoroughly to identify county population components which are likely to have special impact on the nature and scope of criminal justice system growth. Consider such questions as location of the growth and probable composition by age and socio-economic characteristics.

- Where in the county is growth expected to occur? What implications does this have for future facility location?
- What do projections say about the expected age composition of the overall county population? Are the age groups generally associated with high levels of criminal activity (18 to 30 years old) expected to grow at rates faster, slower or the same as general county population? If this age group grows at a rate different than overall county population, criminal justice system trends could be expected to grow at differing rates too.
- What do projections say about the general socio-economic composition of the population? Are unemployment rates projected to increase or decrease? What implications do shifts in socio-economic trends have for the criminal justice system?

Once you have completed an analysis of expected trends, the next step is to review information about the past to determine relationships between trends in general population, detention population, and general justice system volume.

Compare Various Growth Trends and Identify Key Differences

Conduct a comparative analysis of past trends in felony and misdemeanor arrests, general county population and average detention facility population for the last ten years. As you review these data, compare general population growth and increases in arrest volume. Have arrests grown faster, at the same rate, or slower than general county population?

In conducting this analysis, you will find it useful to convert total arrests into the "arrest rate" or number of arrests per hundred thousand population for each year under analysis. Using annual changes in arrest rates for each of the offense categories, you can compare change in criminal justice system activity to change in overall county population.

In analyzing arrests, you will need to look beyond changes in overall arrests or arrest rates. Analyze changes for each class of offense and note differences between patterns of change in total arrests and changes in specific types of arrest. If you observe different rates of change by offense class, ask the following questions:

- Which offenses seem to be growing at a faster rate? Are these high growth rates uniform over the entire ten-year period? Have they been growing at a faster rate in more recent years? Or, was higher growth registered at the beginning of the ten-year period?
- What specific factors can you relate to observed changes in rates of growth or decline for the various offense classes? For example, if the data indicate that felony drug arrests have generally declined or grown slowly over the ten-year period, consider the following issue. In many areas, decriminalization of certain substance abuse offenses in the early and mid-1970s resulted in significant declines in arrest rates for these offenses. To a great extent, this decline has leveled out in recent years. Given this pattern, can a future decline be expected?

Compare trends in general county population (and its composition) with trends in arrest rates over the past ten years. Attempt to identify relationships between shifts in county population composition and trends in arrests and arrest rates.

Review trends in average daily population in county detention facilities (both for total and for unsentenced and sentenced components) and compare them to trends in both general county population and overall arrests and arrest rates. Again, attempt to identify relationships. Ask such questions as:

- Have detention populations grown at approximately the same rate that arrests have grown during the ten-year period?
- Is there consistency between general population growth, arrest growth and growth in average daily detention population? If not, are there proportional differences between these factors?

Once you have completed these comparative analyses, identify past growth trends which appear to relate directly to growth and detention facility population. In addition, identify key factors in recent trends in overall growth in adult arrests. Specifically, draw conclusions about the following issues:

- Is there a direct relationship between detention system population and criminal justice system volume? Has that relationship generally held over the last ten years?
- What relationships can be found between arrest volume, average daily population, length of stay, and growth in general county population? Have these relationships held constant over the past ten years?
- Are there recent changes that are likely to affect these relationships? Are local political decisions or law enforcement emphases likely to adjust these trends in coming years? How?
- Therefore, what recent trends can be observed which you can use in projecting future detention populations?

Once you have answered these questions, you are ready to define some specific assumptions which will form a basis for projecting future growth rates.

Formulate Projection Assumptions

The analysis of trends in general population and criminal justice system indicators culminates in defining specific projection assumptions that should incorporate the following:

- Whether you expect criminal justice system activity in the county to grow at a rate faster than, equal to, or less than general county population.
- Whether you expect arrests for all types of offenses to grow at comparable rates. Are rates of growth for arrests that generally result in detention likely to grow faster or more slowly than more minor offenses?

Whether projected shifts in the age composition of the population are likely to have major impact on the growth of criminal justice system volume and future detention populations? If so, how?

Once your projection assumptions have been formulated, write them down, review them with the Advisory Committee, revise them as appropriate, and proceed with the selection of a specific projection technique.

Select the Projection Methodology and Project Average Daily Population Given Current Incarceration Strategies

As noted earlier in this section, you can use a variety of accepted techniques to project facility population. All involve studying changes in average daily detention population, general county population and arrest volume to determine future detention facility needs. Two methods are provided in this handbook.

Method One is preferred if adequate data and staff time are available. It is preferred because it involves thorough analysis of the trends and performance factors which impact jail population. Additionally, it requires you to develop planning assumptions incorporating local law enforcement policies, political developments, external influences such as state legislative trends, and shifts in population composition. Method Two, which is described in Appendix I, is a simpler approach which relies primarily on available historical data. Principal components of the two methods are described below.

Method One: Projection Based on Arrests and Pretrial Release Practices

Method One is a more involved approach based upon arrest data and specific assumptions about growth rates which reflect analysis of a variety of community and population characteristics that are likely to influence future changes.

Future projected arrest volumes are converted into inmate populations by studying the average length of stay in terms of current pretrial release and disposition practices. These include the current proportion of booked inmates who are released on bail, released on OR, held in custody until disposition, and the like.

Method Two: Projection Based on Average Daily Population

Method Two involves projecting detention populations based on observed trends in average daily population and length of stay. It primarily involves reviewing historical trends, identifying relationships between these factors, and projecting the relationships into future years. Differing projection assumptions can be employed to forecast ranges of populations. While Method Two may be somewhat less reliable than Method One, it is worthwhile using it as a crosscheck.

Making the Projections

Both methods include suggested procedures to break down gross population projections into sentenced and unsentenced components of the population. The two methods also project both male and female population components. This means that, if possible, arrest, average daily population and, preferably, county population data all need to be recorded separately for males and females.

In applying either method, the techniques that can be used to project the trend include simpler "straight line" techniques or more sophisticated mathematical techniques such as linear regression analysis.

Thoroughly document each step in the projection exercise. It will be important in subsequent steps to be able to defend and explain potentially controversial points. Likewise, as you formulate projection assumptions, review them with the Advisory Committee to ensure that these critical foundations to your work reflect a consensus.

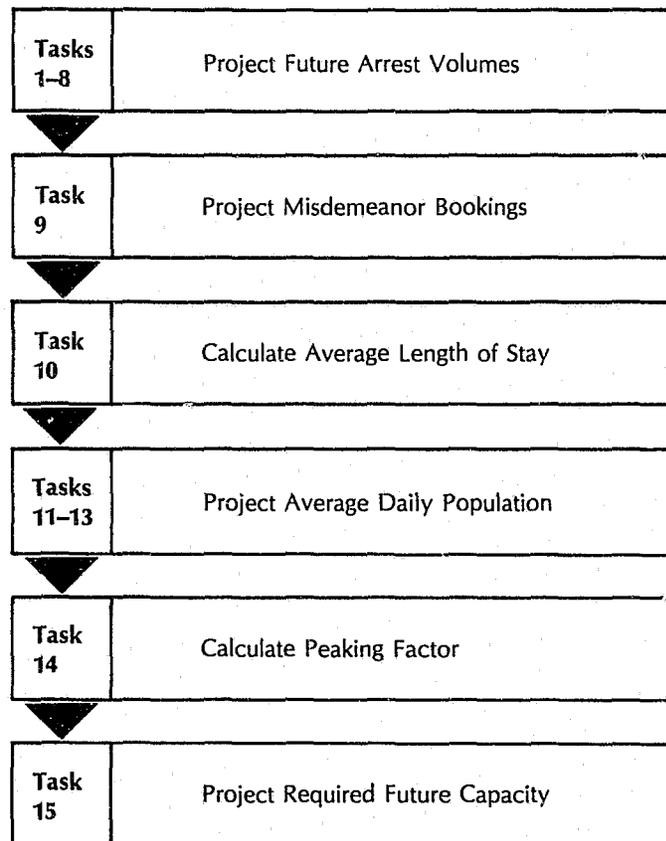
With either method, the next chapter (3.6) will show how to adjust the projections for future changes in incarceration strategy—a crucial step in preventing the error of simple projection of current practices into the future.

The section which follows presents illustrative examples of Method One's application along with blank forms to use in developing your county's projections. Appendix I describes Method Two and provides similar illustrative examples and blank forms.

Method One: Projection Based on Assumed Shifts in Criminal Justice System Activity and Trends in Average Length of Stay

Method One involves several basic steps, divided into 15 specific tasks. Figure 3.5-3, "Tasks in Projecting Future Capacity Requirements," shows the relationship between the basic steps and the specific tasks.

Figure 3.5-3:
Tasks in Projecting Future Capacity Requirements



Task 1: Document Historical Arrest Trends

Document historical trends in the volume of annual felony and misdemeanor arrests for males and females over the past ten years. Review trend data by specific offense class and compute average annual increases for both felony and misdemeanor arrests. Use the Bureau of Criminal Statistics' **County Criminal Justice Profiles** as your source for the data. Then, calculate the trends in arrest data as displayed in the following example.

Figure 3.5-4: Example of Historical Trends in Arrest Volumes

Offense Category	Annual Rate of Change Last 10 Years	Annual Rate of Change Last 5 Years
Felony Arrests		
Crimes Against Persons	2.4%	3.1%
Crimes Against Property	1.8%	2.9%
Drug Violations	2.8%	1.3%
All Other	1.5%	1.6%
TOTAL FELONIES	2.6%	1.5%
Misdemeanor Arrests		
Assault and Battery	1.2%	2.6%
Property	1.4%	1.3%
Drug Law Violations	1.9%	3.4%
Sex Offenses	.8%	.9%
Prostitution	.6%	1.8%
Public Drunk	1.9%	.7%
Drunk Driving	2.8%	3.9%
Other Auto	1.6%	2.8%
All Other	3.6%	2.1%
TOTAL MISDEMEANORS	2.9%	3.6%

Figure 3.5-4a: Your Computation of Historic Arrest Trends

Offense Category	Annual Rate of Change Last 10 Years	Annual Rate of Change Last 5 Years
Felony Arrests		
Crimes Against Persons		
Crimes Against Property		
Drug Violations		
All Other		
TOTAL FELONIES		
Misdemeanor Arrests		
Assault and Battery		
Property		
Drug Law Violations		
Sex Offenses		
Prostitution		
Public Drunk		
Drunk Driving		
Other Auto		
All Other		
TOTAL MISDEMEANORS		

Once you have computed rates of change by offense class and displayed them in the format shown above, compare growth rates for the entire ten year period and for the last five years for each offense class. Identify which offenses appear to be growing at faster rates and slower rates over the last five years than over the entire decade. Then, identify factors contributing to recent trends and determine whether or not these are likely to continue in future years.

Given the data you have developed, consider the following questions:

- To what extent do local enforcement strategies (anti-drunk driving campaigns; clearing the streets of public drunks; anti-prostitution campaigns and others) contribute to acceleration of arrests in certain categories? Are they likely to be maintained in future years?
- Can changes in legislative mandates that affect arrests and sentences (such as decriminalization of drug offenses) be identified with shifting trends? Are they likely to be maintained in future years?

Task 2: Compute Arrest Rates

Document population growth trends over the same period. Compute felony and misdemeanor arrest rates per 100,000 population for the period. Convert arrests to arrest rates by offense class by arraying arrest and population data for each year over the last 10 years.

- Divide population by 100,000 to get the percentage factor. In the example (for 1976), the population of 250,748, divided by 100,000 results in a factor of 2.51.
- Divide total arrests in each category by the factor to obtain the rate per 100,000 population. For example, in 1976, the 751 felony crimes against rates yields a rate per 100,000 population of 299.2.

The illustration below shows the calculation for a two-year period. You will need to make this calculation for each year included in your analysis.

Figure 3.5-5: Example of Computation of Arrest Rates

1976					
Offense Category	Number of Arrests	÷	County Population (000,000)	=	Arrest Rate Per 100,000
Felony					
Crimes Against Persons	751	÷	2.51	=	299.2
Crimes Against Property	1,268	÷	2.51	=	505.2
Drug Violations	598	÷	2.51	=	238.2
All Other	486	÷	2.51	=	193.6
TOTAL FELONIES	3,103	÷	2.51	=	1,230.2
Misdemeanor					
Assault and Battery	1,380	÷	2.51	=	549.8
Property	1,428	÷	2.51	=	568.9
Drug Law Violation	1,850	÷	2.51	=	737.1
Sex Offense	628	÷	2.51	=	251.2
Prostitution	751	÷	2.51	=	299.2
Public Drunk	4,821	÷	2.51	=	1,920.7
Drunk Driving	3,968	÷	2.51	=	1,580.9
Other Auto	2,175	÷	2.51	=	866.5
All Other	1,182	÷	2.51	=	470.9
TOTAL MISDEMEANORS	18,183	÷	2.51	=	7,244.2

1977					
Offense Category	Number of Arrests	÷	County Population (000,000)	=	Arrest Rate Per 100,000
Felony					
Crimes Against Persons	805	÷	2.53	=	318.2
Crimes Against Property	1,398	÷	2.53	=	552.6
Drug Violations	478	÷	2.53	=	188.9
All Other	504	÷	2.53	=	199.2
TOTAL FELONIES	3,185	÷	2.53	=	1,258.9
Misdemeanor					
Assault and Battery	1,396	÷	2.53	=	551.8
Property	1,301	÷	2.53	=	593.3
Drug Law Violation	1,728	÷	2.53	=	683.0
Sex Offense	711	÷	2.53	=	281.0
Prostitution	1,186	÷	2.53	=	468.8
Public Drunk	4,810	÷	2.53	=	1,901.2
Drunk Driving	4,264	÷	2.53	=	1,685.4
Other Auto	1,813	÷	2.53	=	716.6
All Other	1,204	÷	2.53	=	475.9
TOTAL MISDEMEANORS	18,613	÷	2.53	=	7,356.9

Figure 3.5-5a: Your Computation of Arrest Rates

Year _____					
Offense Category	Number of Arrests	÷	County Population (000,000)	=	Arrest Rate Per 100,000
Felony					
Crimes Against Persons		÷		=	
Crimes Against Property		÷		=	
Drug Violations		÷		=	
All Other		÷		=	
TOTAL FELONIES		÷		=	
Misdemeanor					
Assault and Battery		÷		=	
Property		÷		=	
Drug Violation		÷		=	
Sex Offense		÷		=	
Prostitution		÷		=	
Public Drunk		÷		=	
Drunk Driving		÷		=	
Other Auto		÷		=	
All Other		÷		=	
TOTAL MISDEMEANORS		÷		=	

(Repeat for each year.)

Task 3: Compute Rate of Change in Arrest Rates

Compute the annual percent change in arrest rates per 100,000 population by the same offense classes used above.

Figure 3.5-6: Example of Rate of Change in Arrest Rates

Offense Category	Arrest Rate		Change	
	1976	1977	Number	%
Felony				
Crimes Against Persons	299.2	318.2	19.0	6.3%
Crimes Against Property	505.2	552.6	47.4	9.4%
Drug Violations	238.2	188.9	-49.3	-20.7%
All Other	193.6	199.2	5.6	2.9%
TOTAL FELONIES	1,226.2	1,258.9	22.7	1.8%
Misdemeanor				
Assault and Battery	549.8	551.8	2.0	.4%
Property	568.9	593.3	24.4	4.3%
Drug Law Violation	737.1	683.0	-54.1	-7.3%
Sex Offense	251.2	281.0	29.8	11.9%
Prostitution	299.2	468.8	169.6	56.7%
Public Drunk	1,920.7	1,901.2	-19.5	-1.0%
Drunk Driving	1,580.9	1,685.4	104.5	6.6%
Other Auto	866.5	716.6	-149.9	-17.3%
Other Misdemeanors	470.9	478.9	5.0	1.1%
TOTAL MISDEMEANORS	7,244.2	7,356.9	112.7	1.6%

Figure 3.5-6a: Your Computation of Rate of Change in Arrest Rates

Offense Category	Arrest Rate		Change	
	19	19	Number	%
Felony				
Crimes Against Persons				
Crimes Against Property				
Drug Violations				
All Other				
TOTAL FELONIES				
Misdemeanor				
Assault and Battery				
Property				
Drug Law Violation				
Sex Offenses				
Prostitution				
Public Drunk				
Drunk Driving				
Other Auto				
Other Misdemeanors				
TOTAL MISDEMEANORS				

(Repeat the calculation for each year over the last ten years.)

Task 4: Calculate Average Annual Changes in Arrest Rates and Analyze Results

Once you have calculated annual percent changes in rates for each offense category, calculate averages for the last 10 years and the last five years. The example shows one offense category, felony crimes against persons.

Figure 3.5-7:
Example of Average Annual Change in Arrest Rates

Offense Category: Felony Crimes Against Persons		
Period	Percent Change	Cumulative Total % Change
1971-72	1.2	1.2
1972-73	(1.5)	(.3)
1973-74	3.8	3.5
1974-75	4.2	7.7
1975-76	(.5)	7.2
1976-77	6.3	13.5
1977-78	(1.7)	11.8
1978-79	(1.3)	10.5
1979-80	.3	10.8

Average annual change last 10 years (1971-80): $10.8 \div 9 = 1.2\%$
 Average annual change last 5 years (1976-80): $3.6 \div 4 = .9\%$

Repeat the calculation shown above for each offense category. If your county's results are erratic or exhibit sudden changes over the past few years, try to determine the cause of these changes.

Figure 3.5-7a: Your Calculation of Average Annual Change in Arrest Rates

Offense Category		
Period	Percent Change	Cumulative Total % Change
19 to 19		

Average annual change last 10 years _____ $\div 9 =$ _____ %
 Average annual change last 5 years _____ $\div 4 =$ _____ %
 Array the results of your calculation in a table like the following:

Figure 3.5-8: Summary Table of Average Changes In Arrest Rates

Offense Category	Average Annual % Change Last 10 Years	Average Annual % Change Last 5 Years
Felonies		
Crimes Against Persons		
Crimes Against Property		
Drug Violations		
All Other		
TOTAL FELONIES		
Misdemeanors		
Assault and Battery		
Property		
Drug Law Violation		
Sex Offenses		
Prostitution		
Public Drunk		
Drunk Driving		
Other Auto		
All Other		
TOTAL MISDEMEANORS		

Analyze the contents of the table and identify differing growth rates among and with in offense categories for both the total ten year period and the most recent five years.

Task 5: Make Projection Assumptions

Review population forecasts and identify projected growth rates for the 20-year planning period. Analyze trends in terms of absolute growth, age distribution of the population, and economic composition. Isolate those factors which are likely to affect criminal justice system volume.

Figure 3.5-9: Example of Assumptions

Population Growth. Data indicate that annual population growth in the county is projected to be about one percent for the next 10 years, slowing to .5 percent for the remaining 10 years of the planning period. This, in part, reflects the political assumption that land use policies limiting growth to current urban areas will be maintained.

Age Distribution. Moderate aging in population, with limited growth in the crime-prone 18-to-30-year-old age group. Projections indicate that this group should grow at half the rate of the overall population.

Economic Composition. Projections suggest an increase in the lower income population resulting from immigration.

Summary Conclusions. Growth in lower income groups may cancel out the benefits of the age shift. Assume that recent trends (last 5 years) in arrest rate increases may be experienced over the planning period in some offense categories.

Figure 3.5-9a: Your Assumptions

Population Growth
Age Distribution
Economic Composition
Summary Conclusion

Task 6: Convert Assumptions to Estimated Annual Arrest Rate Changes for Each Offense Category

Combine your analysis of future population trends with your analysis of arrest rate trends completed in Task 5. Make specific estimates of the impact of your assumptions in terms of their magnitude. Project changes in arrest rates by offense category over the planning period. Analyze potential changes on an offense-by-offense basis and select rates of change for arrest rates that could be expected to be maintained over the planning period. Use statistical techniques or intuition to make growth assumptions.

Figure 3.5-10: Example of Assumed Changes in Arrest Rates

Offense Class	Annual Change In Rate Per 100,000		Planning Assumption	Projected Change in Arrest Rate
	5 Years	10 Years		
Felony Crimes Against Persons	1.2%	.9%	Shift in age distribution of population indicates accelerating growth unlikely to be maintained. Assume will still increase at faster rate than population but only at half the recent rate.	+6%
Drug Violations	-0.7	1.1	Recent decrease over last five years reflects decriminalization of some drug offenses. Impact largely felt, and decrease in rate unlikely to be maintained. Will grow with population.	no change
Misdemeanor Drunk Driving	1.9	.8	Enforcement emphasis last five years has accelerated growth rate. Public pressure suggests increase faster than population will be maintained.	+1.9%

(Complete assumptions for each offense on the list.)

Figure 3.5-11: Example of Overall List of Assumed Changes in Arrest Rates

Offense Category	Assumed Annual Change
Felony	
Crimes Against Persons	.6%
Crimes Against Property	.5%
Drug Violations	NC
All Other	NC
<hr/>	
TOTAL FELONIES	
Misdemeanor	
Assault and Battery	.6%
Property	1.0%
Drug Law Violation	NC
Sex Offense	NC
Prostitution	NC
Drunk Driving	.8%
Other Auto	NC
Other Misdemeanors	.5%
<hr/>	
TOTAL MISDEMEANORS	

Figure 3.5-11a: Your Listing of Overall Assumed Changes in Arrest Rates

Offense Category	Assumed Annual Change
Felony	
Crimes Against Persons	
Crimes Against Property	
Drug Violations	
All Other	
<hr/>	
TOTAL FELONIES	
Misdemeanor	
Assault and Battery	
Property	
Drug Law Violation	
Sex Offenses	
Prostitution	
Drunk Driving	
Other Auto	
All Other	
<hr/>	
TOTAL MISDEMEANORS	

Task 7: Project Future Arrest Rates

Use your county's most recent 12 months of data to convert arrest rate growth into anticipated future arrest rates (Task 7.1) and annual rates of increase in arrest rates (Task 7.2). These factors will be used in Task 8 to project the arrest rates and volumes expected for the 20 year planning period.

Task 7.1 Convert Arrest Rate Change Assumptions Into Projection Factors for Future Arrest Rates

Convert arrest rate change assumptions to revised arrest rates for felonies and misdemeanors by using the last twelve months' arrest rate data calculated from BCS County Criminal Justice Profile reports in Step 2 to develop weighted average factors.

Figure 3.5-12: Example of Revised Arrest Rates

Offense Category	Projected * Growth Rate From Task 6	×	Arrest Rate Last 12 months	=	Revised Arrest Rate
Felony					
Crimes Agait Persons	1.006	×	319.1	=	321.0
Crimes Against Property	1.005	×	560.6	=	563.4
Drug Violations	1.000	×	182.5	=	182.5
All Other	1.000	×	204.3	=	204.3
TOTAL FELONIES			1,266.5		1,271.2
Misdemeanor					
Assault and Battery	1.006	×	563.9	=	567.3
Property	1.010	×	590.1	=	596.0
Drug Law Violation	1.000	×	685.0	=	685.0
Sex Offense	1.000	×	283.4	=	283.4
Prostitution	1.000	×	470.1	=	470.1
Public Drunk	1.000	×	1,904.5	=	1,904.5
Drunk Driving	1.008	×	1,686.3	=	1,699.8
Other Auto	1.000	×	720.4	=	720.4
All Other	1.005	×	478.6	=	481.0
TOTAL MISDEMEANORS			7,382.3		7,407.5

(* Add 1.0 to percent growth estimates for calculation purposes. Note that rates can also decline, in which case the factor would be less than 1.0.)

Figure 3.5-12a: Your Computation of Revised Arrest Rates

Offense Category	Projected Growth Rate From Task 6	×	Arrest Rate Last 12 Months	=	Revised Arrest Rate
Felony					
Crimes Against Persons		×		=	
Crimes Against Property		×		=	
Drug Violations		×		=	
All Other		×		=	
TOTAL FELONIES					
Misdemeanor					
Assault and Battery		×		=	
Property		×		=	
Drug Law Violation		×		=	
Sex Offense		×		=	
Prostitution		×		=	
Public Drunk		×		=	
Drunk Driving		×		=	
Other Auto		×		=	
Other Misdemeanor		×		=	
TOTAL MISDEMEANORS					

Task 8: Project Arrest Rates and Volumes

Project arrest volume for the 20-year planning period by using the annual weighted average arrest rate increase to project felony and misdemeanor arrest rates. Use the felony and misdemeanor arrest rates for the last 12 months as the projection base and expand by year for 10 years and then at five-year intervals for the 20-year planning period.

Figure 3.5-14: Example of Arrest Rate Projections

Factor and Operation	Felony Arrest Rate	Misdemeanor Arrest Rate
Last 12 Months' Base Rate	1,266.5	7,382.3
×	×	×
Annual Projected Change	1.004	1.002
=	=	=
1st Projection Year Arrest Rate	1,272	7,397
×	×	×
Annual Projected Change	1.004	1.002
=	=	=
2nd Projection Year Arrest Rate	1,277	7,411
•		
•		
•		
(Continue calculation process for 20-year planning period.)		

Figure 3.5-14a: Your Projection of Arrest Rates

Factor and Operation	Felony Arrest Rate	Misdemeanor Arrest Rate
Last 12 Months Base Rate		
×		
Annual Projected Change		
=		
1st Year Projected Arrest Rate		
×		
Annual Projected Change		
=		
2nd Year Projected Arrest Rate		
(Continue for 20-Year Planning Period.)		

Convert the arrest rate projections into estimated arrest volume by multiplying the arrest rate calculated above by total county population projections (converted by dividing each year's population projection by 100,000 and multiplying the result times the projected felony and misdemeanor arrest rate for the year) to project total annual arrest volume. The examples which follow show calculations for projecting felony arrests. Use the same techniques to project felony and misdemeanor arrests.

Figure 3.5-15: Example of Projected Felony Arrests

Year	Projected Population	÷	100,000	=	Factor	×	Arrest Rate	=	Projected Arrests
1st Year	256,182	÷	100,000	=	2.56	×	1,272	=	3,256
2nd Year	258,744	÷	100,000	=	2.59	×	1,277	=	3,307
3rd Year	261,331	÷	100,000	=	2.61	×	1,282	=	3,346
	•								
	•								
	•								
(etc.)									

Figure 3.5-15a: Your Projection of Felony Arrests

Year	Projected Population	÷	100,000	=	Factor	×	Arrest Rate	=	Projected Arrests
1st Year		÷	100,000	=		×		=	
2nd Year		÷	100,000	=		×		=	
3rd Year		÷	100,000	=		×		=	
4th Year		÷	100,000	=		×		=	
5th Year		÷	100,000	=		×		=	
6th Year		÷	100,000	=		×		=	
7th Year		÷	100,000	=		×		=	
8th Year		÷	100,000	=		×		=	
9th Year		÷	100,000	=		×		=	
10th Year		÷	100,000	=		×		=	
15th Year		÷	100,000	=		×		=	
20th Year		÷	100,000	=		×		=	

Task 9: Convert Projected Misdemeanor Arrest Volumes to Projected Misdemeanor Bookings

Convert projected misdemeanor arrest volumes into projected misdemeanor bookings for the 20-year planning period. A two-stage analysis is required to accomplish this task. The first is to develop an indicator of the proportion of misdemeanor arrests actually result in bookings at the jail. Second, projected misdemeanor arrests are adjusted by this factor to estimate future bookings. Once misdemeanor bookings are projected, they will be used in combination with projected lengths of stay to estimate the average daily presentenced population.

To accomplish Task 9, review the results of Step 3 (Chapter 3.3) and document the proportion of misdemeanor arrests cited and field-released by law enforcement agencies. If these data are unavailable from your local law enforcement agencies, an alternative way to develop estimates of field citation volume includes the following:

- Extract misdemeanor arrest data from Bureau of Criminal Statistics **County Criminal Justice Profiles**
- For each year over the last five years, compare pretrial misdemeanor bookings at the jail to total, reported misdemeanor arrests and calculate the difference (bookings should be lower than arrests).
- Then, for each year divide the result by total misdemeanor arrests. The calculated percentage will approximate misdemeanor pre-booking releases.

- Finally, add up the results and develop an average for the period analyzed. Deduct these arrests from the total arrest volume projected in Task 8.

In using the alternative method, considerable care should be taken because the Criminal Justice Profiles may under-report arrests. This would lead to an erroneously high estimate of bookings. Therefore, if the alternative method is used, attempt to verify the data with local law enforcement agencies. The data should not be accepted unless they seem reasonable and consistent.

Figure 3.5-16: Converting Misdemeanor Arrests to Bookings

Results of Step 3 (Chapter 3.3) indicate that 14.8 percent of misdemeanor arrests are cited in the field. Subtract this factor from 1.00 ($1.00 - .148 = .852$) to calculate the percentage of misdemeanor arrests that are booked. Then multiply projected misdemeanor arrests by this factor to calculate misdemeanor bookings.

Year	Total Projected Misdemeanor Arrests	×	Cite Release Adjustment Factor	=	Misdemeanor Bookings
1st Year	18,936	×	.852	=	16,133
2nd Year	19,194	×	.852	=	16,354
•					
•					
•					
(etc.)					

Figure 3.5-16a: Your Projection of Misdemeanor Bookings

Year	Total Projected Misdemeanor Arrests	×	Cite Release Adjustment Factor	=	Misdemeanor Bookings
1st Year		×		=	
2nd Year		×		=	
3rd Year		×		=	
4th Year		×		=	
5th Year		×		=	
6th Year		×		=	
7th Year		×		=	
8th Year		×		=	
9th Year		×		=	
10th Year		×		=	
15th Year		×		=	
20th Year		×		=	

The next step in the projections sequence is to establish the past average length of presentenced stay. This is first recorded by offense (Task 10.1) and then consolidated for all misdemeanants and all felons using weighted averages (Tasks 10.2 and 10.3).

Task 10.1: Compute Current Average Length of Presentenced Stay By Offense

Compute current average length of presentenced stay for arrestees in each offense category. Use data from the jail profile (snapshot release analysis or longitudinal profile from Chapter 3.1) for this computation.

Figure 3.5-17: Example of Average Length of Presentenced Stay by Offense

Offense Category	Average Length of Stay (days)
Felony	
Crimes Against Persons	18.1
Crimes Against Property	7.6
Drug Violations	9.4
All Other	8.3
TOTAL FELONIES	
Misdemeanor	
Assault and Battery	1.7
Property	1.8
Drug Law Violation	1.3
Sex Offense	4.8
Prostitution	1.2
Public Drunk	2.8
Drunk Driving	.5
Other Auto	.2
All Other	.8
TOTAL MISDEMEANORS	

Figure 3.5-17a: Your Computation of Average Length of Presentenced Stay by Offense

Offense Category	Average Length of Stay (days)
Felony	
Crimes Against Persons	
Crimes Against Property	
Drug Violations	
All Other	
TOTAL FELONIES	
Misdemeanor	
Assault and Battery	
Property	
Drug Law Violation	
Sex Offenses	
Prostitution	
Public Drunk	
Drunk Driving	
Other Auto	
All Other	
TOTAL MISDEMEANORS	

Task 10.2: Calculate "Weighted" Length of Presentenced Stay By Offense

Calculate the "weighted" length of presentenced stay (ALS) factor for each category of misdemeanor and felony offense. This is done by multiplying the average length of stay related to a given offense (from Task 10.1) by the past twelve months' volume of arrests for that offense.

Figure 3.5-18: Example of Weighted Length of Presentenced Stay by Offense

Offense Category	Average Length of Stay	X	Last 12 Months Volume	=	Total Weighted Factor
Felony					
Crimes Against Persons	18.1	X	807	=	14,607
Crimes Against Property	7.6	X	1,418	=	10,777
Drug Violations	9.4	X	462	=	4,343
All Other	8.3	X	517	=	4,291
TOTAL FELONIES			3,204	=	34,018
Misdemeanor					
Assault and Battery	1.7	X	1,427	=	2,426
Property	1.8	X	1,493	=	2,687
Drug Law Violation	1.3	X	1,733	=	2,253
Sex Offense	4.8	X	717	=	3,442
Prostitution	1.2	X	1,189	=	1,427
Public Drunk	2.8	X	4,818	=	13,490
Drunk Driving	.5	X	4,266	=	2,133
Other Auto	.2	X	1,823	=	365
Other Misdemeanor	.8	X	1,211	=	969
TOTAL MISDEMEANORS			18,677	=	29,192

Figure 3.5-18a: Your Calculation of Weighted Length of Presentenced Stay by Offense

Offense Category	Average Length of Stay	X	Last 12 Months Volume	=	Total Weighted Factor
Felony					
Crimes Against Persons		X		=	
Crimes Against Property		X		=	
Drug Violations		X		=	
All Other		X		=	
TOTAL FELONIES				=	
Misdemeanor					
Assault and Battery		X		=	
Property		X		=	
Drug Law Violation		X		=	
Sex Offense		X		=	
Prostitution		X		=	
Public Drunk		X		=	
Drunk Driving		X		=	
Other Auto		X		=	
Other Misdemeanor		X		=	
TOTAL MISDEMEANORS		X		=	

Task 10.3: Calculate Consolidated Average Length of Presentenced Stay for Misdemeanants and Felons

For both misdemeanants and felons, divide the total weighted factor by the sum of the last 12 months' arrests to develop the consolidated average length of stay for these two major offense categories.

Figure 3.5-19: Example of Consolidated Average Length of Stay

Felony Arrest Average Length of Stay				
Total Weighting Factor	÷	Total Last 12 Months' Arrests	=	Weighted Average Length of Stay
34,018	÷	3,204	=	10.6 days

Misdemeanor Arrest Average Length of Stay				
Total Weighting Factor	÷	Total Last 12 Months' Arrests	=	Weighted Average Length of Stay
29,192	÷	18,677	=	1.6 days

Figure 3.5-19a: Your Computation of Consolidated Average Length of Stay

Felony Arrest Average Length of Stay				
Total Weighting Factor	÷	Total Last 12 months' Arrests	=	Weighted Average Length of Stay
	÷		=	days

Misdemeanor Arrest Average Length of Stay				
Total Weighting Factor	÷	Total Last 12 Months' Arrests	=	Weighted Average Length of Stay
	÷		=	days

Note that adjustments to average length of stay due to program or processing improvements (which can have considerable impact on the jail population) are taken into account in Step 6 (Chapter 3.6). Projection Method Two (in Appendix 1) builds part of this adjustment into its calculation of length of stay (Method Two, Task 8) and, if desired, a similar adjustment could be incorporated here.

Task 11: Project Average Daily Presentenced Population

Convert projected arrest volumes into average daily unsentenced population by multiplying the consolidated average length of stay calculated in Task 10.2 by projected and adjusted arrest volumes, and dividing the results for each year by 365.

Figure 3.5-20:
Example of Average Daily Presentenced Population

Year		Projected Arrests	×	Avg. LOS	÷	365	=	ADP	
1st Year	Misdemeanors	16,133	×	1.6	÷	365	=	71	
	Felonies	1,272	×	10.6	÷	365	=	95	
								1st Year Total Presentenced ADP	= 166
2nd Year	Misdemeanors	16,354	×	1.6	÷	365	=	72	
	Felonies	3,307	×	10.6	÷	365	=	96	
								2nd Year Total Presentenced ADP	= 168
•									
•									
•									
(Continue for each year of the 20-year planning period.)									

Figure 3.5-20a: Your Computation of Average Daily Presentenced Population

Year		Projected Arrests	×	Avg. LOS	÷	365	=	ADP	
1st Year	Misdemeanors		×		÷	365	=		
	Felonies		×		÷	365	=		
								1st Year Total Presentenced ADP	=
2nd Year	Misdemeanors		×		÷	365	=		
	Felonies		×		÷	365	=		
								2nd Year Total Presentenced ADP	=
•									
•									
•									
(Continue for each year of the 20-year planning period.)									

Task 12: Project Sentenced Population

There are two approaches to estimating sentenced population for the planning period. Each is described and illustrated below.

Method 12.1: Base Sentenced Population Projection on Proportionate Relationship with Unsentenced Population. Review historical population data and document the percentages of sentenced and unsentenced inmates in the average daily population. If proportions are relatively constant, use them to extrapolate the projected unsentenced population to the total average daily population.

Method 12.2: Base Sentenced Population Projections on Average Length of Stay of Sentenced Inmates. This information comes from from the jail profile and processing performance data (Chapter 3.1). Tasks required to complete this method involve:

- For the last several years, document the number of individuals sentenced to county jail time (12.2a).
- Calculate the number of sentenced individuals as a percentage of felony and misdemeanor arrests (adjusted with citation releases removed) for the period analyzed (12.2a).
- Analyze the sentenced component of the jail population profile to calculate average sentence, using weighted average techniques described earlier in this handbook (12.2b).
- Multiply the average sentence length by the number of sentences each year and divide by 365 to estimate average daily population for each year over the planning period (12.2c).

Method 12.1: Base Sentenced Population Projection on Proportionate Relationship with Unsented Population

Figure 3.5-21: Calculation of Percent of Population Unsented

Year	Average Daily Unsented Population	÷	Total ADP	=	Percent Unsented
1976	136	÷	211	=	64.4
1977	142	÷	214	=	66.3
1978	145	÷	220	=	65.9
1979	139	÷	221	=	62.9
1980	148	÷	215	=	68.8
TOTAL					328.3

Then, divide the total percentage by 5 to develop 5-year average:
 $328.3 \div 5 = 65.7\%$ Unsented.

Figure 3.5-21a: Your Computation of Percent of Population Unsented

Year	Average Daily Unsented Population	÷	Total ADP	=	Percent Unsented
5 Yrs Ago		÷		=	
4 Yrs Ago		÷		=	
3 Yrs Ago		÷		=	
2 Yrs Ago		÷		=	
1 Yr Ago		÷		=	
TOTAL:					

Total _____ ÷ 5 = _____% Unsented.

For each year of the projection period, divide projected unsented population by the percentage computed above to calculate total, projected average daily population.

$$\frac{\text{Total Projected Average Daily Population}}{\text{Percent Unsented Population}} = \frac{\text{Projected Unsented Population}}{\text{Percent Unsented Population}}$$

Figure 3.5-22: Example of Projected Average Daily Population

(This example uses 65.7% Unsented.)

Year	Projected Unsented	÷	% Unsented	=	Projected ADP
1st Year	166	÷	.657	=	253
2nd Year	168	÷	.657	=	256
•		÷		=	
•		÷		=	
•		÷		=	
(etc.)		÷		=	

Figure 3.5-22a:
Your Projection of Average Daily Population

Year	Projected Unsentenced	÷	% Unsentenced	=	Projected ADP
1st Year		÷		=	
2nd Year		÷		=	
3rd Year		÷		=	
4th Year		÷		=	
5th Year		÷		=	
6th Year		÷		=	
7th Year		÷		=	
8th Year		÷		=	
9th Year		÷		=	
10th Year		÷		=	
15th Year		÷		=	
20th Year		÷		=	

Method 12.2: Base Sentenced Population Projections on Average Length of Stay of Sentenced Inmates

Use the jail profile completed in Step 1 (Chapter 3.1) to calculate average length of sentence **actually** served. Then, review criminal justice system data collected in Step 3 (Chapter 3.3) to document how many people were sentenced to local time over the last full calendar year. Calculate this number as a percent of total felony and misdemeanor arrests reported in the Bureau of Criminal Statistics **County Criminal Justice Profile** and apply this percentage to projected arrests to calculate total sentenced population by year. Then, for each year, multiply by the average length of stay data and divide by 365 to calculate average sentenced daily population.

Sub-task 12.2a: Estimate Proportion of Arrests Resulting in Local Sentences

$$\frac{\text{Last 12 Months' Felony and Misdemeanor Arrests}}{\text{Number Sentenced to Local Time Last 12 Months}} = \frac{\text{Sentenced Population}}{\text{Factor}}$$

Figure 3.5-23:
Computation of Sentenced Population Factor

$$\frac{1,045}{19,458} = .054$$

Figure 3.5-23a:
Your Computation of Sentenced Population Factor

$$\text{---} = \text{---}$$

Sub-task 12.2b: Project Sentenced Population

Multiply the projected felony and misdemeanor arrests calculated in Task 9 to calculate projected sentenced people per year.

$$\begin{matrix} \text{Total Projected} \\ \text{Felony and} \\ \text{Misdemeanor} \\ \text{Arrests} \end{matrix} \times \begin{matrix} \text{Sentenced} \\ \text{Population} \\ \text{Factor} \end{matrix} = \begin{matrix} \text{Total} \\ \text{Sentenced} \\ \text{People} \end{matrix}$$

Figure 3.5-24: Example of Total Sentenced People

Projection Year	Total Projected Felony & Misdemeanor Arrests	×	Sentenced Population Factor	=	Total Sentenced People
1st Year	18,936	×	.054	=	1,022
2nd Year	19,194	×	.054	=	1,036
•					
•					
•					

(Continue calculation through the 20-year planning period.)

Figure 3.5-24a: Your Computation of Total Sentenced People

Projection Year	Total Projected Felony & Misdemeanor Arrests	×	Sentenced Population Factor	=	Total Sentenced People
1st Year		×		=	
2nd Year		×		=	
3rd Year		×		=	
4th Year		×		=	
5th Year		×		=	
6th Year		×		=	
7th Year		×		=	
8th Year		×		=	
9th Year		×		=	
10th Year		×		=	
15th Year		×		=	
20th Year		×		=	

Sub-task 12.2c: Calculate Projected Average Daily Sentenced Population

Multiply the total sentenced population calculated above by average length of sentenced stay and divide by 365 for each year over the planning period to calculate projected average daily sentenced population.

$$\begin{matrix} \text{Total} \\ \text{Sentenced} \\ \text{Population} \end{matrix} \times \begin{matrix} \text{Average} \\ \text{Length of} \\ \text{Stay} \end{matrix} \div 365 = \begin{matrix} \text{Average Daily} \\ \text{Sentenced} \\ \text{Population} \end{matrix}$$

Figure 3.5-25: Computation of Average Daily Sentenced Population

Projection Year	Total Sentenced Population	×	Average Length of Stay	÷	365 days	=	Avg. Daily Sentenced Population
1st Year	1,022	×	30.4	÷	365	=	85
2nd Year	1,036	×	30.4	÷	365	=	86
•							
•							
•							

(Continue calculation through the 20-year planning period.)

Figure 3.5-25a: Your Computation of Average Daily Sentenced Population

Projection Year	Total Sentenced Population	×	Average Length of Stay	÷	365 days	=	Avg. Daily Sentenced Population
1st Year		×		÷	365	=	
2nd Year		×		÷	365	=	
3rd Year		×		÷	365	=	
4th Year		×		÷	365	=	
5th Year		×		÷	365	=	
6th Year		×		÷	365	=	
7th Year		×		÷	365	=	
8th Year		×		÷	365	=	
9th Year		×		÷	365	=	
10th Year		×		÷	365	=	
15th Year		×		÷	365	=	
20th Year		×		÷	365	=	

Task 13: Combine Unsented and Sentenced Projections

This step involves combining unsentenced and sentenced population projections.

Figure 3.5-26: Projecting Total Average Daily Population

Projection Year	(From Task 11) Projected Unsented Population	+	(From Task 12.2c) Projected Sentenced Population	=	Total Projected Avg. Daily Population
1st Year	166	+	85	=	251
2nd Year	168	+	86	=	254

(Continue calculations through the 20-year planning period.)

Figure 3.5-26a: Your Projection of Total Average Daily Population

Projection Year	(From Task 11) Projected Unsented Population	+	(From Task 12.2c) Projected Sentenced Population	=	Total Projected Avg. Daily Population
1st Year		+		=	
2nd Year		+		=	
3rd Year		+		=	
4th Year		+		=	
5th Year		+		=	
6th Year		+		=	
7th Year		+		=	
8th Year		+		=	
9th Year		+		=	
10th Year		+		=	
15th Year		+		=	
20th Year		+		=	

Task 14: Calculate Factor for Adjusting Projections to Accommodate Periodic Peaks

This step involves adjusting the projections to reflect periodic peaks above average daily population.

Review daily population data for the last six to twelve months. Compute "average" high or peak population by noting high or peak population each month and dividing by the number of months included. To calculate the adjustment factor, compare to the average daily population for the same period and divide by the number of months analyzed.

Figure 3.5-27: Example of Peak Population Factor

Figure 3.5-27a: Your Computation of Peak Population Factor

Month	Average Daily Population	Monthly High
Dec.	243	258
Jan.	241	260
Feb.	240	258
Mar.	236	249
Apr.	242	258
May	240	253
TOTAL:	1,442	1,536
AVERAGE:	240	256

Then, compute the peak adjustment factor as follows:

Six month average high population =	256
Less average daily population =	-240
Difference =	16

Difference 16	Peak
Average Daily Population 240	= Adjustment Factor .067

Month	Average Daily Population	Monthly High
One		
Two		
Three		
Four		
Five		
Six		
TOTAL:		
AVERAGE:		

Compute the peak adjustment factor:

Six-month average high population =	()
Less average daily population =	-()
Difference =	()

Difference ()	Peak
Average Daily Population ()	= Adjustment Factor ()

Task 15: Adjust Population Projections to Account for Peak Periods

Use the adjustment factor calculated in Task 14 to increase the population projections developed in Task 13. The resulting figure represents future capacity needs including population fluctuations.

Figure 3.5-28: Computation of Capacity Needs

Projection Year	Unsentenced				Sentenced				Total Peak Pop.
	ADP	×	Peak Factor	= Total Unsent.	ADP	×	Peak Factor	= Total Sent.	
1st Year	166	×	1.067	= 177	85	×	1.067	= 91	268
2nd Year	168	×	1.067	= 179	86	×	1.067	= 92	271
•									
•									
•									

(Continue calculations through the 20-year planning period.)

Figure 3.5-23a: Your Computation of Capacity Needs

Projection Year	Unsentenced				Sentenced				Total Peak Pop.
	ADP	×	Peak Factor	= Total Unsent.	ADP	×	Peak Factor	= Total Sent.	
1st Year		×		=		×		=	
2nd Year		×		=		×		=	
3rd Year		×		=		×		=	
4th Year		×		=		×		=	
5th Year		×		=		×		=	
6th Year		×		=		×		=	
7th Year		×		=		×		=	
8th Year		×		=		×		=	
9th Year		×		=		×		=	
10th Year		×		=		×		=	
15th Year		×		=		×		=	
20th Year		×		=		×		=	

Update Projections Periodically

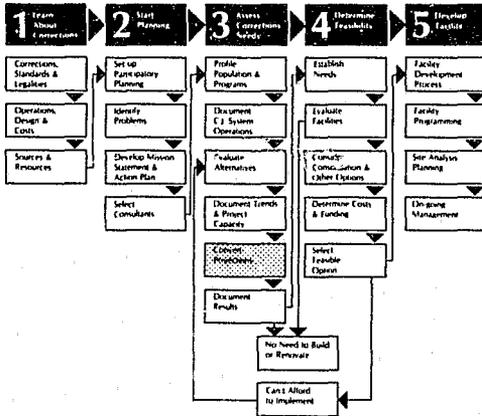
Regardless of the projection method you used, the validity of your projections rests upon the validity of the data and assumptions developed in making the projections. As time passes, conditions will change and new data will be available to test your projections against. Therefore, it is critical to the continued success of your planning effort that you periodically (at least annually) review projections and assess the extent to which changing local conditions require adjustment of your assumptions. If your projections need to be modified to reflect changing conditions, adjust your assumptions and make the related changes in your projections.

Summary and Conclusion

Completion of Step 5 provides projections of capacity requirements for the next 20 years. However, remember that these projections reflect **existing release, court processing and sentencing practices**. They do not yet take into account the potential reduction in bed space needs which can be realized through the use of alternative programs or processing improvements.

The next step in the analysis will be to convert these general projections into specific facility requirements and to examine the potential moderating influence of alternative programs and processing improvements. Step 6 carries the projection exercise to its conclusion.

3.6 Step 6: Forecast Capacity and Program Needs



Introduction

Three major tasks are necessary to complete the projections of needed capacity and programs:

- Convert the general population projections completed at the end of Step 5 (Chapter 3.5) into **bed space needs by security level**.
- Calculate the potential impact of alternative programs and court processing improvements on the **reduction of projected jail capacity needs**.
- Assess the impact of alternative programs and processing improvements on **costs of future jail construction and operations**.

The sections which follow demonstrate the tasks required to develop information in each of these areas.

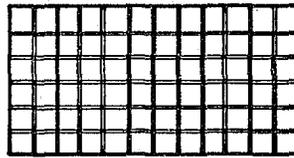
Convert Population Projections to Bed Space Needs by Security Level

Completion of Step 5 provides a forecast of the general detention population for the 20-year planning period. Before costs can be calculated or facilities planned, these general projections need to be broken down by security levels so that facility types as well as total bed space needs can be specified. This section provides a task-by-task process for the conversion. The population will be divided into the following components:

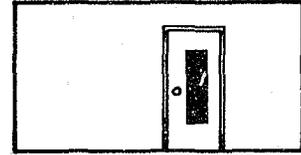
- The proportion of the sentenced and unsentenced population requiring housing in a high-security facility.
- The proportion of the sentenced population that can be housed in a lower security facility.
- The proportion of the sentenced population that could be housed in a work furlough facility.
- The proportion of the population with special service needs that could be housed in a correctional medical facility, mental health facility, or the like, if one were available.

While this breakdown of the population will allow more accurate cost and facility projections, it will be necessary to study this further as detailed facility planning progresses. At that time, questions of living unit size and staffing will be considered and flexibility for classification taken into account.

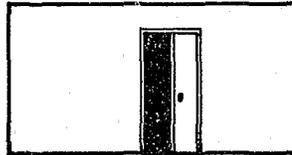
Refining general facility population forecasts into more detailed projections of likely bed space needs by security level will require you to accomplish three main tasks. Each task, including an illustrative example and forms you may use to accomplish your analysis, is described in the sections which follow. Complete the task sequence separately for male and female inmates.



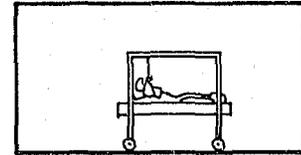
High Security Facility



Lower Security Facility



Work Furlough Facility



Medical Facility

Task 1: Document Requirements for Various Security Levels

Analyze the results of the jail profile to develop estimates of the numbers of each type of bed required to meet current and projected needs. Use the same techniques as those in Step 1 (Chapter 3.1) to define criteria for which sentenced and unsentenced inmates will require varying levels of security. These security levels are generalized here as high security, lower security, work furlough and special use facilities. Selection criteria could include:

- **Unsentenced, high security:** Violent felony offense, behavior problems, escape history, gang member, enemies.
- **Unsentenced, lower security:** Non-violent felony or misdemeanor, no behavior problems, no escape history, no characteristics requiring segregation (not a gang member, no enemies, and so forth).
- **Sentenced, high security:** Any behavior problems or problems requiring segregation.
- **Sentenced, lower security:** No behavior problems or problems requiring segregation.
- **Work furlough:** People on work furlough, or people who could qualify for housing in a work furlough facility if one were available.
- **Special service needs:** Mental health problems—inmates requiring individual housing, and/or those who could function in group housing with service/treatment. Medical problems—inmates requiring housing in a medical unit within a detention facility.

A further refinement that your county may wish to consider is the separate classification of short stay inmates. For individuals who are released in less than 24 hours, a waiting room may be more appropriate (and less expensive) than a cell. Some jurisdictions also provide a separate intake unit for initial screening and classification. These approaches can be built into the following calculations.

Use your county's selection criteria and the table-producing techniques described in Step 1 (Chapter 3.1) to analyze the jail population profile. Produce a table comparable to Figure 3.6-1.

Figure 3.6-1: Security Level by Sentence Status

Security Level	Unsentenced	Sentenced	Total
High	312	87	399
Lower	149	291	440
Work Furlough	0	86	86
Medical	8	9	17
Mental Health	7	7	14
TOTAL	476	480	956

Figure 3.6-1a: Your Listing of Security Level by Sentence Status

Security Level	Unsentenced	Sentenced	Total
High			
Lower			
Work Furlough			
Medical			
Mental Health			
TOTAL			

Use the data contained in the table to calculate the percent of the total population that each component represents. Transfer your calculations to a table like Figure 3.6-2.

Figure 3.6-2: Percent of Population by Housing Need

Component	Number	% of Jail Profile
Meet Unsentenced High Security Criteria	312	32.6%
Meet Unsentenced Lower Security Criteria	149	15.6
Meet Sentenced High Security Criteria	87	9.1
Meet Sentenced Lower Security Criteria	291	30.4
Meet Sentenced Work Furlough Criteria	86	9.0
Mental Health Problem—Segregation Required	17	1.8
Medical Problem—Medical Housing Required	14	1.5
JAIL PROFILE TOTAL	956	100.0

Figure 3.6-2a: Your Listing of Percent of Population by Housing Need

Component	Number	% of Jail Profile
Meet Unsentenced High Security Criteria		
Meet Unsentenced Lower Security Criteria		
Meet Sentenced High Security Criteria		
Meet Sentenced Lower Security Criteria		
Meet Sentenced Work Furlough Criteria		
Mental Health Problem—Segregation Required		
Medical Problem—Medical Housing Required		
JAIL PROFILE TOTAL		

Task 2: Calculate Type of Beds Required Over the Planning Period

Apply the percentages developed above to projections of the peak inmate population developed in Step 5 (Chapter 3.5, Task 14) to refine estimates of bed needs by facility type over the planning period. For illustrative purposes, only two years are shown in the example.

Figure 3.6-3: Number of Beds Needed by Bed Type

Year	1981		1982		(Etc.)
Bed Type	Projected Average Peak Population	Bed Space Needs	Projected Average Peak Population	Bed Space Needs	
Description	% of Jail Profile				
High Security, Unsented	32.6	1,039	339	1,119	365
High Security, Sented	9.1	1,039	94	1,119	102
Lower Security, Unsented	15.6	1,039	162	1,119	175
Lower Security, Sented	30.4	1,039	316	1,119	339
Work Furlough	9.0	1,039	93	1,119	101
Medical	1.8	1,039	19	1,119	20
Mental Health	1.5	1,039	16	1,119	17
TOTAL			1,039		1,119

Figure 3.6-3a: Your Computation of Number of Beds Needed by Bed Type

Year	1st Year		2nd Year		(Etc.)
Bed Type	Projected Average Peak Population	Bed Space Needs	Projected Average Peak Population	Bed Space Needs	
Description	% of Jail Profile				
High Security, Unsented					
High Security, Sented					
Lower Security, Unsented					
Lower Security, Sented					
Work Furlough					
Medical					
Mental Health					
TOTAL					

(Calculate bed space needs for each year of the planning period.)

Task 3: Identify Bed Space Deficiencies Over the Planning Period

Develop a chart that compares projected facility needs with available resources. When displaying the capacity of existing facilities, use Board of Corrections rated capacities adjusted to reflect any potential reduction in capacity that might result from remodeling or changes in use.

Figure 3.6-4: Example of Bed Space Deficiency Computation

Facility Type	Planning Year					(Etc.)
	1981	1982	1983	1984	1985	
High Security						
Available	450	450	450	450	450	
Required	433	467	504	543	584	
Excess (Deficiency)	17	(17)	(54)	(93)	(134)	
Lower Security						
Available	575	575	575	575	575	
Required	478	514	553	596	643	
Excess (Deficiency)	97	61	22	(21)	(68)	
Work Furlough						
Available	100	100	100	100	100	
Required	93	101	110	121	132	
Excess (Deficiency)	7	(1)	(10)	(21)	(32)	
Mental Health Beds						
Available	5	5	5	5	5	
Required	16	17	19	20	21	
Excess (Deficiency)	(11)	(12)	(14)	(15)	(16)	
Medical Beds						
Available	15	15	15	15	15	
Required	19	20	22	23	24	
Excess (Deficiency)	(4)	(5)	(7)	(8)	(9)	

Figure 3.6-4a: Your Computation of Bed Space Deficiencies

Facility Type	Planning Year					(Etc.)
	1st	2nd	3rd	4th	5th	
High Security						
Available						
Required						
Excess (Deficiency)						
Lower Security						
Available						
Required						
Excess (Deficiency)						
Work Furlough						
Available						
Required						
Excess (Deficiency)						
Mental Health Beds						
Available						
Required						
Excess (Deficiency)						
Medical Beds						
Available						
Required						
Excess (Deficiency)						

Assess the Impact of Alternative Programs and Processing Improvements on Projected Capacity Requirements

Task 1: Estimate the Impact of Program Alternatives on Forecasted Space Needs

Task 1.1: Array Population Projections

Figure 3.6-5: Example of Projected Unsentenced Population

Upon completion of Task 3, you will have detailed information indicating facility deficiencies by year and by type of facility for the 20-year period. The results will indicate the county's facility expansion requirements if existing incarceration and system processing strategies are followed.

Projections developed to this point are still based on the assumption that no changes will be made in existing county pretrial release policies, court processing performance, or use of sentencing alternatives. These projections display facility requirements if your county continues "business as usual." For policy makers and the Advisory Committee to make informed planning decisions, the potential impacts of alternative programs and processes need to be clearly displayed.

The following sections demonstrate how to assess the potential impact of program adjustments on moderating future facility requirements. For illustrative purposes, two potential program adjustments are shown: expansion of pretrial release and acceleration of court processing of in-custody cases. The discussion includes general instructions on how to complete each task and an example of its application. While these examples result in shorter lengths of stay—and therefore reductions in required capacity—other changes which could result in **longer** stays for sentenced or unsentenced inmates should also be taken into account.

General Instructions

As the first step, array population projections and facility requirements for the 20-year planning period. Display population projections and facility requirements by type of facility.

Review the results of your analysis in Chapter 3.4, and select those program alternatives and processing improvements which analysis has indicated may have major impacts on detention population levels and future facility requirements. Apply the percentage reductions in population computed in Step 4 to the detention system population projections developed in Step 5. Follow the analytical sequence outlined in the following pages.

When applying the potential population reduction impact of various alternative programs, certain cautions need to be observed. First be sure that population reductions are applied to the proper type of detention population. For example, if previous analysis has suggested that expansion of pretrial release programs could substantially reduce the inmate populations, reduce **unsentenced** populations only.

Second, if you are estimating the impact of more than one alternative program, do not "double count" potential impacts of each one. For example, if your initial program involves expanding OR to include low-risk felons held in pretrial custody, compute this population reduction impact first. Then, if you are considering the potential impact of other programs that affect pretrial population, apply these percentage reductions to the **reduced population** computed after the potential impact of the expanded pretrial service program has been considered.

No matter what mix of programs you are considering, examine them in priority order and isolate specific components of the jail population that are likely to be affected by each one. Eliminate overlaps as you compute potential population reductions.

Record the population projections from Task 1 as divided into facility types noted earlier in this chapter.

Projected Unsentenced Population	Year			(etc.)
	1981	1982	1983	
High Security	339	365	393	
Lower Security	162	175	187	
TOTAL PROJECTED UNSENTENCED POPULATION	501	540	580	

Figure 3.6-5a: Your Projection of Unsentenced Population

Projected Unsentenced Population	Year			
	1981	1982	1983	(etc.)
High Security				
Lower Security				
TOTAL PROJECTED UNSENTENCED POPULATION				

Task 1.2: Develop Factors for Assessing Impact of Program and Processing Adjustments on Population Projections

Statement of Program Improvement Changes

From the Step 4 analysis (Chapter 3.4), you have determined that expansion of the pretrial release program to include unsentenced, low risk felony defendants could reduce the unsentenced population by 15.2 percent. The impact factor for calculation purposes will be 0.152.

In addition, increasing prosecution and defense services could accelerate disposition for in-custody defendants whose cases are dealt with in superior court. Accelerated disposition was estimated to have the potential of reducing unsentenced population by 5.4 percent. The impact factor for calculation purposes will be 0.054.

Figure 3.6-6: Example of Impact of Program Adjustments

Program Adjustment	Population Reduction Impact		
	Component Impacted	Reduction Impact	Calculation Factor
1. Modify pretrial release program	Unsentenced	15.2%	0.152
2. Accelerate disposition of in-custody defendants	Unsentenced	5.4%	0.054

Figure 3.6-6a: Your Computation of Impact of Program Adjustments

Program Adjustment	Population Reduction Impact		
	Component Impacted	Reduction Impact	Calculation Factor
1.			
2.			
(Etc.)			

Task 1.3: Apply Impact Factors to Population and Space Projections

Apply the estimates developed in Task 1.2 to the population and space projections to determine their impact on capacity needs. Do not "double count" reductions when more than one program is being considered.

For example, if pretrial release program activities are expanded, some of the inmates whose lengths of stays might be reduced if court processing were accelerated would be released on OR. To apply both programs' population reduction potential to the total unsentenced population would overstate their impact. As a result, consider the impact of alternatives you are considering and apply them sequentially.

Figure 3.6-7: Example of Reduction of Population Projections

	Year			
	1981	1982	1983	(Etc.)
Projected Unsented Population (times)	501 x	540 x	580 x	
Population Reduction Factor for Expanding Pretrial Release (equals)	.152	.152	.152	
Resulting Reduction	76	82	88	
Revised Population Projection (times)	425 x	458 x	492 x	
Population Reduction Factor for Accelerated Disposition (equals)	.054	.054	.054	
Resulting Reduction	23	25	27	
Net Population	402	433	465	

Figure 3.6-7a: Your Reduction of Population Projections

	Year			
	1st Yr.	2nd Yr.	3rd Yr.	(Etc.)
Projected Unsented Population (times)	x	x	x	
Population Reduction Factor for Expanding Pretrial Release (equals)				
Resulting Reduction				
Revised Population Projection (times)	x	x	x	
Population Reduction Factor for Accelerated Disposition (equals)				
Resulting Reduction				
Net Population				

Task 1.4: Divide Total Adjusted Unsented Population Among Facility Types

After program impact has been calculated, convert the total adjusted population to population by security type. Two steps will be required:

- First, review projections developed in Step 5 (Chapter 3.5) and calculate the proportion of the relevant population component by security level before program impact has been considered.
- Second, use the resulting percentages to divide your adjusted population by security level. In dividing the adjusted population, be aware that certain reductions may affect one security level more or less than the other. While the division is shown as proportional here, you may wish to weight the reductions toward higher or lower security beds.

Figure 3.6-8: Example of Division of Unsented Population

Population Component	1st Year Projection from Step 5	Percentage
High Security, Unsented	339	67.7
Lower Security, Unsented	162	32.3
TOTAL	501	100.0

Figure 3.6-8a: Your Division of Unsented Population

Population Component	1st Year Projection from Step 5	Percentage
High Security, Unsented		
Lower Security, Unsented		
TOTAL		

Then, apply these percentages to the adjusted population calculated in Figure 3.6-7a above for each year over the planning period.

Figure 3.6-9: Example of Projection Considering Program Impact

Population Component	Allocation Percentage	1981		1982		Etc.
		Projected Total	Division by Security Level	Projected Total	Division by Security Level	
High Security, Unsented	.677	402	272	433	293	
Lower Security, Unsented	.323	402	130	433	140	

Figure 3.6-9a: Your Computation of Projection Considering Program Impact

Population Component	Allocation Percentage	1981		1982		Etc.
		Projected Total	Division by Security Level	Projected Total	Division by Security Level	

Task 2: Compare Projected Bed Space Needs Under Current Incarceration Strategies to Requirements When Program Adjustments Are Considered

General Instructions

Array future facility needs in terms of total beds required by facility type compared to total beds available by facility type **without consideration of the impact of potential programs**. Show bed space deficiencies by year over the planning period under this option. Then, develop a similar projection of bed space requirements by facility type **incorporating the bed space reduction potential of alternative programs** and processing improvements.

Once you have arrayed both options, compare bed space requirements. Clearly identify bed space differentials by year and by facility type.

Figure 3.6-10: Comparison of Facility Needs With and Without Adjustments

Projected Needs Without Program Adjustments

Facility Type	1981	1982	1983	1984	1985	(Etc.)
High Security Beds						
Available	450	450	450	450	450	
Required	433	467	504	543	584	
Excess (Deficiency)	17	(17)	(54)	(93)	(134)	
Lower Security Beds						
Available	575	575	575	575	575	
Required	478	514	553	596	643	
Excess (Deficiency)	97	61	22	(21)	(68)	
Work Furlough Beds						
Available	100	100	100	100	100	
Required	93	101	110	121	133	
Excess (Deficiency)	7	(1)	(10)	(21)	(33)	

Projected Needs With Program Adjustments

Facility Type	1981	1982	1983	1984	1985	(Etc.)
High Security Beds						
Available	450	450	450	450	450	
Required	366	395	425	457	492	
Excess (Deficiency)	84	55	25	(7)	(42)	
Lower Security Beds						
Available	575	575	575	575	575	
Required	446	477	511	546	585	
Excess (Deficiency)	129	98	64	29	(10)	
Work Furlough						
Available	100	100	100	100	100	
Required	93	101	110	121	133	
Excess (Deficiency)	7	(1)	(10)	(21)	(33)	

Figure 3.6-10a: Your Comparison of Facility Needs With and Without Adjustments

Projected Needs Without Program Adjustments						
Facility Type	1st Year	2nd Year	3rd Year	4th Year	5th Year	(Etc.)
High Security Beds						
Available						
Required						
Excess (Deficiency)						
Lower Security Beds						
Available						
Required						
Excess (Deficiency)						
Work Furlough						
Available						
Required						
Excess (Deficiency)						
Projected Needs With Program Adjustments						
Facility Type	1st Year	2nd Year	3rd Year	4th Year	5th Year	(Etc.)
High Security Beds						
Available						
Required						
Excess (Deficiency)						
Lower Security Beds						
Available						
Required						
Excess (Deficiency)						
Work Furlough						
Available						
Required						
Excess (Deficiency)						

Task 3: Analyze the Cost Impact of Alternative Strategies

Once bed space differentials have been identified, develop cost estimates for both potential courses of action. Assess the incremental cost to your county of pursuing existing incarceration strategies. This involves developing estimates for construction to expand facilities for projected population requirements, incremental prisoner support costs related to increased populations, and costs related to expansion of custodial staff to deal with more inmates. A number of relevant factors need to be considered in your cost analysis.

Staffing. Since staffing is critical to the operation and cost of a jail, it is important to estimate the impact of changes in programs, capacity and operations on staff requirements. For a new or renovated facility, all three of these factors can be expected to change in relation to current staffing levels—often dramatically. Chapter 5.2 and Appendix J provide methods for estimating future staffing requirements under various facility population assumptions.

In using the staffing estimation techniques, you will have to make a number of assumptions. An important one concerns estimating the number of continuously staffed posts for custody and control functions. The number needed depends on philosophy (desired level of staff-inmate contact), operations, design and economics. The most direct reflection of this complex decision is the number of beds per staff station. This may range from a low of 12 or 18 to a high of around 100. Clearly, the cost and level of services provided at these extremes are very different. Your county must begin to determine how it will approach staffing in order to make an initial estimate that has some degree of validity.

Construction Costs. Estimate construction costs for facility expansion. You may use the present day costs shown in this chapter's examples, or develop more detail using the techniques explained in Chapter 4.5. In any case, figures shown in the Handbooks must be adjusted for inflation and conditions in your area.

Operating Costs. Similarly, estimate direct inmate support costs including staffing costs associated with population growth in detention facilities.

Program Cost Comparison. Portray the costs to the county of implementing program adjustments and processing improvements over the same 20-year planning period.

Total the 20-year costs under both alternatives and compare them. In addition, discuss other potential subjective advantages or disadvantages related to implementing alternative programs and operating adjustments.

Figure 3.6-11: Example of Cost Differential Calculations

This example compares construction of 235 beds with construction of 185 beds along with implementation of certain programs. The beds that are saved include both high and lower security facilities and result in saving about a million dollars per year. While certain assumptions are made here, you will have to make your own assumptions or calculations concerning staffing and costs (using the chapters cited above). In this example, average staff costs are taken at \$25,000 per year. It is assumed that one staff post will be required for each 30 inmates (or fraction thereof) and that each post will need five persons to staff it.

For illustrative purposes, the analysis shown covers only a five year period. As you prepare your plan, expand comparative cost analysis to the full 20-year planning period.

Costs Associated With Existing Strategies (235 beds)

Cost Element	Average Per Year	Total for Five-Year Period
Construct 135 High Security Beds @ \$60,000/bed	-	\$8,040,000
Construct 68 Lower Security Beds @ \$40,000/bed	-	2,720,000
Construct 33 Work Furlough Beds @ \$25,000/bed	-	825,000
Inmate Care Costs @ \$5.75/day (x 365 days/yr)	\$477,000	2,385,000
Plant Maintenance and Utility Costs @ \$9.50/day (x 365 days)	\$815,000	4,075,000
Security staff costs (for 8 posts or 40 staff)	\$1,000,000	5,000,000
TOTAL		\$23,045,000

Costs if Alternative Strategies Are Implemented (180 beds)		
Cost Element	Per Year	Total for Five-Year Period
Construct 97 High Security Beds @ \$60,000/bed	-	\$5,820,000
Construct 50 Lower Security Beds @ \$40,000/bed	-	2,000,000
Construct 33 Work Furlough Beds @ \$25,000/bed	-	825,000
Inmate Care Costs @ \$5.75/day (x 365 days/yr)	\$377,775	1,888,875
Plant Maintenance and Utility Costs @ \$9.50/day (x 365 days)	\$624,150	3,120,750
Security staff costs (for 6 posts or 30 staff)	\$750,000	3,750,000
Expand pretrial interview staff	\$38,300	191,500
Expand District Attorney and Public Defender Staff	\$88,500	442,500
TOTAL		\$18,038,625

Figure 3.6-11a Your Computation of Cost Differentials

Costs Associated With Existing Strategies (_____ beds)		
Cost Element	Average Per Year	Total for Five-Year Period
Construct () High Security Beds @ \$()/bed	-	
Construct () Lower Security Beds @ \$()/bed	-	
Construct () Work Furlough Beds @ \$()/bed	-	
Inmate Care Costs @ \$()/day (x 365 days/yr)		
Plant Maintenance and Utility Costs @ \$()/day (x 365 days)		
Security staff costs (for () posts or () staff)		
TOTAL		

Costs if Alternative Strategies Are Implemented (_____ beds)		
Cost Element	Average Per Year	Total for Five-Year Period
Construct () High Security Beds @ \$()/bed	-	
Construct () Lower Security Beds @ \$()/bed	-	
Construct () Work Furlough Beds @ \$()/bed	-	
Inmate Care Costs @ \$()/day (x 365 days/yr)		
Plant Maintenance and Utility Costs @ \$()/day (x 365 days)		
Security staff costs (for () posts or () staff)		
Expand program staff		
Expand District Attorney and Public Defender Staff		
TOTAL		

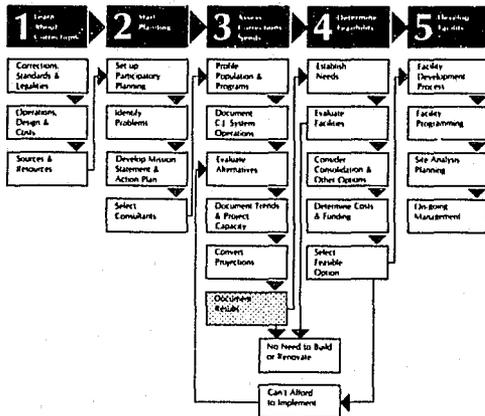
Summary and Conclusion

By following the techniques outlined in this chapter, you will have quantified the cost impact of following existing incarceration strategies in future years as well as the potential to reduce future capital and operations costs by implementing alternative programs and/or system operating improvements.

Once these differentials have been quantified, you should review them in detail with the Advisory Committee to develop recommendations covering program and facility strategies for your county's decision makers.

The next, and final, chapter in this handbook outlines the content, organization, and presentation of the results of your entire analysis of corrections needs.

3.7 Step 7: Document Corrections Needs in a Final Report



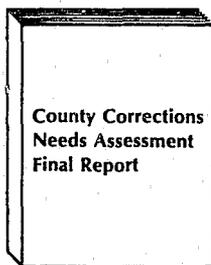
Introduction

The product of Handbook Three is a report to the Advisory Committee and policy makers regarding the choices that must be made before county detention facility plans can be finalized. The report identifies directions for the corrections system for years to come. Thus, it needs the review and approval of the corrections system, the Advisory Committee and the Board of Supervisors.

In organizing this report, lead readers through the six major steps which you took to determine facility needs and impacts of alternative programs. To make your report easier to understand, include graphic or tabular representations of major trends, needs and options. You may wish to organize the chapters to answer a series of questions as suggested in the following topical outline.

Contents of the Report

Executive Summary



Start the report with an executive summary focusing on major findings and policy decisions. Include the "mission statement" developed by the Advisory Committee (see Chapter 2.3) and one or two paragraphs on each of the six main steps.

Chapter 1: How Have County Population and the Corrections System Been Changing?

In the first chapter of the report, describe the results of your analysis of county and corrections system trends and characteristics which have influenced planning assumptions about future change. Trace these trends over the preceding ten years. Include the following information:

- General county population growth over the past ten years.

- Observed changes in population composition and trends that could relate to increases or decreases in criminal activity.
- Major trends in felony and misdemeanor arrests over the past ten years. Show changes in the pattern of offenses that might affect projections of either criminal activity or detention facility requirements.
- Trends in average daily population in each county detention facility and overall.
- Indicators of shifts in the composition of the inmate population. These could include comparisons of sentenced to unsentenced inmates as proportions of the total inmate population, comparative increases in male or female inmates, changes in length of stay, and the like.

Chapter 2: Who Is Incarcerated?

Provide a detailed description of individuals who are currently incarcerated in the county. Draw on the results of the jail profile to portray these characteristics. Include the following:

- Offense characteristics, sentence status, length of stay, use of release mechanisms and the like.
- A perspective on inmates' criminal sophistication in terms of current charges as well as previous conviction and incarceration history.
- Special service needs of the inmates, as drawn from both the jail profile and the inmate survey.

In describing the inmate population, focus on those elements that are directly related to potential alternative programs and processing improvements that you are going to ask policy makers and the Advisory Committee to consider.

Chapter 3: How Extensively Are Programs Used to Limit Jail Population?

Review county performance in using programs which can reduce detention facility requirements. At a minimum, discuss the extent to which misdemeanor citation policies have been implemented on a uniform basis in the county and the specific steps taken to implement pretrial release programs including bail, 10 percent bail, OR release, supervised release, and diversion.

Trace the performance of pretrial release programs in the recent past. Show the extent to which county policies have expanded or restricted in response to changes in number of arrests or types of offense.

Provide indicators of current performance in court processing and sentencing alternatives in light of the analysis completed in Step 4 (Chapter 3.4).

Conclude this chapter with a review of findings about overall county response to growth in both population and criminal activity. Answer such questions as these:

- Have pretrial release programs expanded at a pace consistent with, greater than, or less than changes in arrests and bookings?
- As volume has increased, have court processes kept pace with demand for timely adjudication of individuals in custody?
- As criminal justice system volume has grown, have sentencing alternatives been available to provide adequate alternatives to incarceration for selected convicted offenders?

Chapter 4: If the County Continues Current Policies, How Can We Expect the Inmate Population to Grow?

Present the inmate population projections that were based on the assumption that existing incarceration strategies would continue. Provide information on the following:

- Major assumptions underlying the projections.
- Methodology employed in the projections.
- Projected inmate populations during the planning period.

Convert those population projections into specific requirements by type of facility, compare them to available facility resources, and note deficiencies over the planning period.

Chapter 5: How Will the Inmate Population Grow If the County Changes Certain Practices?

Portray in some detail the potential impact of alternative programs and processing improvements on the inmate population expansion faced by the county. Include the following:

- The potential impact of each alternative program on facility requirements, operating costs, and capital improvement cost-saving opportunities.
- The costs, both quantitative and subjective, related to instituting each potential program or operating improvement.

In presenting your analysis, follow the same steps you covered in Chapter 3.6 and point out the potential benefits and drawbacks of implementing various programs.

Chapter 6: What Are the Planning Issues Which Need To Be Resolved?

In the final section of your report, list the key planning issues which policy makers and the Advisory Committee need to consider. In general, the following issues should be included:

- Resolving trade-offs between facilities and programs.
- Settling on a specific set of facility projections for the planning period—either accepting or rejecting the program adjustments and operating improvements that you have evaluated.
- Setting up a continuing mechanism to insure implementation and monitoring of chosen program changes (such as a permanent Advisory Committee).

Appendices

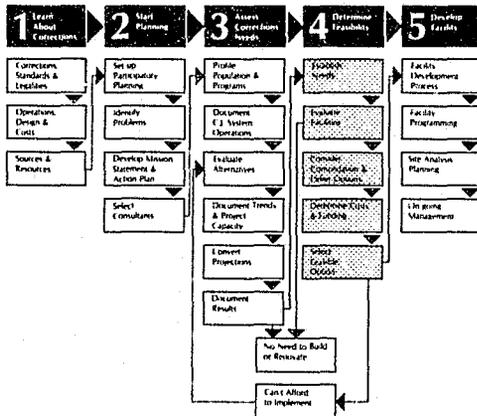
Include a selection of the back-up data which support the conclusions you have drawn. To keep the reader from bogging down, put most of this material in appendices.

Summary and Conclusion

This major portion of the needs assessment process concludes with reporting on the results of—and making decisions about—your analysis, projections and consideration of alternatives.

The next steps, presented in Handbook Four, involve assessing the feasibility of facility development and finding the best facility option for your county to pursue.

4.0 Introduction to Handbook Four



Who Will Use Handbook Four

Primary Users

Project Manager
Planning Team
Task Forces

Secondary Users

Advisory Committee
Board of Supervisors

Handbook Four will help to determine whether or not it is feasible for your county to build the facilities it needs. Now that you have examined the operation of your county's corrections system, studied the impacts of justice system programs, and projected needed capacity in light of possible alternatives, it is time to figure out how and where to accommodate identified needs.

Handbook Four will help to:

- **Establish how much space is required** in a new or renovated facility (Chapter 4.1).
- **Evaluate existing facilities** to determine whether they are adequate for continued use or capable of being remodeled or expanded (Chapter 4.2).
- **Consider the options** that may be available for correctional facilities (Chapter 4.3).
- **Determine whether a consolidated (or regional) correctional facility** would make sense (Chapter 4.4).
- **Calculate the costs** of building and operating a correctional facility (Chapter 4.5).
- **Explore the sources of funding** that may be available and develop a strategy for obtaining both money and community support for the project (Chapter 4.6).
- **Select the most feasible option** for accommodating corrections needs, whether that entails a new, expanded or renovated facility (Chapter 4.7).

This handbook will help you to structure your analysis of the options available for accommodating corrections needs in effective and affordable facilities.

These options include:

- No major changes required.
- Renovation of an existing facility.

- Addition to an existing facility.
- Construction on a new site.
- Construction of a consolidated or regional facility.

An early step in the feasibility study will be to develop an estimate of how much space will be needed in detention facilities in the near and longer term future. This will be a preliminary estimate for the purpose of exploring various options and will be refined greatly during the facility programming phase (see Chapter 5.2).

Once space needs are established, the next step will be to evaluate existing county jail facilities in terms of their physical condition and capabilities. This effort will benefit from some expertise in construction, engineering and/or architecture. Help may be obtained from the county's public works or building department, a building inspector, the fire marshal, and/or a consultant.

Another aspect of the evaluation of your jail is its ability to satisfy state and national standards as well as the county's goals. Here, it is important to be familiar with standards and trends in correctional practices and designs (refer to Chapters 1.2 and 1.3). Help in determining how your jail does—or could, if renovated—perform in terms of standards and goals can be obtained from the Board of Corrections' jail inspectors (or the National Sheriffs' Association audit system or ACA Commission on Accreditation's evaluation process; see Chapter 1.2).

Arrange to visit other jails which have been recently built or renovated, if you haven't already done so as part of your exploration of advanced practices. These may stimulate ideas about what can be done. (See Chapter 1.3 for recommendations of jails to visit, or ask the Board of Corrections).

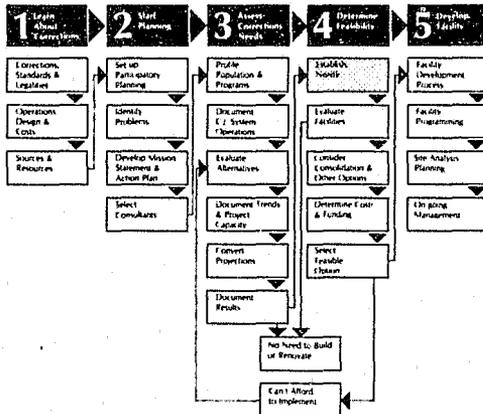
If your early assessment of the possibility of consolidated (regional) operations and facilities between your county and another city or county was positive or promising, a special task force should study this option. Help with legal and organizational issues will come from the county legal counsel and administrator, with advice on intergovernmental relations available from intergovernmental bodies such as a council of governments (COG) or local agency formation council (LAFCO).

To properly evaluate options, it is necessary to assess their immediate and long-term costs. For construction costs, seek help from the public works department and a construction contractor or architect who is familiar with current correctional facility costs as well as local conditions. For operating costs, assistance will be available from the county administrative office or budget analyst, working in coordination with the jail administrator.

A Finance Task Force may be required to explore avenues of funding. Again, county administrators, budget analysts and legal counsel can be of help. Since the acceptability of certain options may depend on official and public support, the Board of Supervisors as well as members of the Advisory Committee should be involved. You may wish to form a Community Relations Task Force, as mentioned in Chapter 2.1 to handle media relations and develop community support.

The final result of the work done in this handbook will be an evaluation of the feasibility of your project. This will be done by the Planning Team and presented to the Advisory Committee for deliberation. Their recommendation will be passed to the Board of Supervisors for a final determination.

4.1 Step 1: Establish the Need for Facilities



Who Will Use This Chapter

Primary Users

Project Manager
 Planning Team
 Task Force (?)
 Corrections Staff
 Planning Consultant (?)

Introduction

To select an effective and feasible option for facility development, the county must have a clear, if preliminary, picture of its needs and the demands it will place on the facility. This entails the development of a **preliminary program statement**, which is a "first pass" at the programming process detailed in Chapter 5.2.

The preliminary program should briefly cover the following topics:

- Review of goals and objectives.
- Capacity projections (by facility type) over the planning period.
- List of programs and services the jail runs or wishes to run.
- Preliminary estimate of space needs for each function (based on the rules of thumb presented in this chapter).

If the county is considering including related justice or administrative facilities, such as courts, law enforcement, district attorney's offices or the like, their needs must be accounted for, too.

Review of Goals and Objectives

This is one of the times when the **mission statement**, developed in Chapter 2.3, should be reviewed. From the mission statement and list of correctional goals, review those which relate to operations and conditions in the jail. If little was said about these factors, use the techniques presented in that chapter (along with a review of standards and legal requirements from Chapter 1.2) to develop a concise statement of the major goals and objectives for the jail. These will form a basis for evaluating the existing facility and for planning any needed new facilities.

List the goals and objectives in the following spaces in order of priority with the most important first.

Figure 4.1-1: List of Major Goals and Objectives

1.
2.
3.
4.
5.
6.
7.
8.
9.
10.
(Etc.)

Review Capacity Projectings

Capacity projections for the planning period (as modified by the use of alternative programs) were one of the products of Chapter 3.6. Those projections, broken down by facility type, should be recorded here.

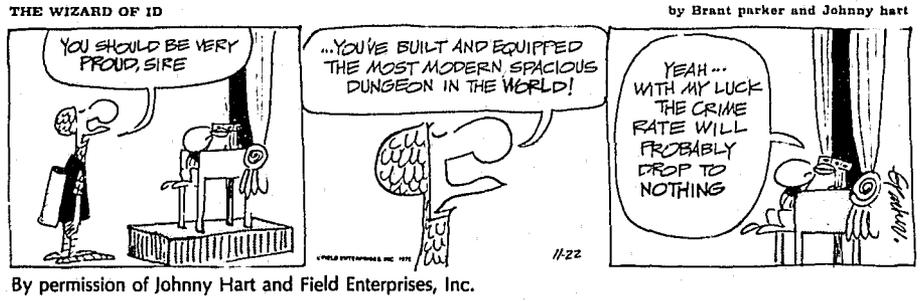


Figure 4.1-2: Jail Capacity Projections

Facility Type	Bed Space Needs by Year				
	1st	2nd	3rd	4th	(Etc.)
High Security					
Lower Security					
Work Furlough					
Medical Service					
Mental Health					
TOTAL					

List Jail Programs and Services

Programs and services to be offered in the jail will have considerable impact on the space that must be provided. Refer to Chapter 3.2 which discussed programs and services and review California minimum standards and other national standards for programs to consider. In addition, consider the list of possible programs presented in Chapter 5.2.

List on the following chart those programs which will probably be offered in the jail during the period covered by this planning project.

Figure 4.1-3: List of Jail Programs and Services

1.
2.
3.
3.
4.
5.
6.
7.
8.
9.
10.
(Etc.)

Estimate Space Needs

This section offers rules of thumb for preparing preliminary space needs estimates. The rules of thumb are based upon state and national standards together with studies of a number of recently constructed facilities. Ranges of space provision are presented and guidance provided in choosing where in the range your future facility may fit. This will allow you to develop a reasonable picture of space needs for functions to be accommodated in the jail.

Your estimate of jail space needs will provide you with a means to test how usable existing facilities and sites are, and also to establish budgets or identify potential areas for cost savings.

If you are considering renovating your jail, some spaces may have to be compromised to smaller areas than standards require or than are really workable. While variances may be requested in relation to standards, loss of operational efficiency or effectiveness can be one of the drawbacks of jail renovation. However, do not start by compromising. Develop a picture of needed space and compare the possibilities offered by renovation (see Chapter 4.2 for facility evaluation methods).

Before presenting the space needs calculations, concepts of "net" and "gross" area and space "efficiency" are explained.

Net and Gross Area

Area calculations start in "net"—or usable—square feet. Net area includes that space actually available inside of the walls. People who use various spaces in a building perceive their usable area. A calculation of net area, however, makes no allowance for general circulation space, wall thicknesses or mechanical rooms, all of which need to be included when estimating the actual area required. That total is called "gross" square footage and represents the actual area to be constructed.

Efficiency Factors

The ratio (or percentage) of net area divided by gross area is called the "efficiency" of the building. The higher the number, the more efficient the building. If the building were 100 percent usable, which is, of course, impossible, the net and gross areas would be equal and the efficiency factor would be 1.0. Even well-designed jails are not "efficient" compared to other buildings because of jails' generous corridors, special surveillance spaces, thick walls, special mechanical areas and so forth.

While your jail building's actual proportion of usable and gross area depends on its design (and cannot be determined until that stage), a reasonable goal to aim for is efficiency in the range of 60 percent (or a factor of .60). Actual efficiency may vary from 55 to 65 percent, with the higher number more efficient. To obtain the gross area which represents 60 percent efficiency, the net area is divided by .60 (or multiplied by 1.67, the figure used in the space needs calculations which follow).

As you will see in the calculations, the range of net areas runs from a minimum of 148 to a maximum of 328 net square feet, depending on what is included. When these figures are translated into gross area, the range runs from 247 to 548 square feet. (This range is broader than occurs in real life, since no jails have either the minimum or the maximum provision of all types of space. More realistic ranges run from 350 to 450 gross square feet per bed.)

Preliminary Estimates

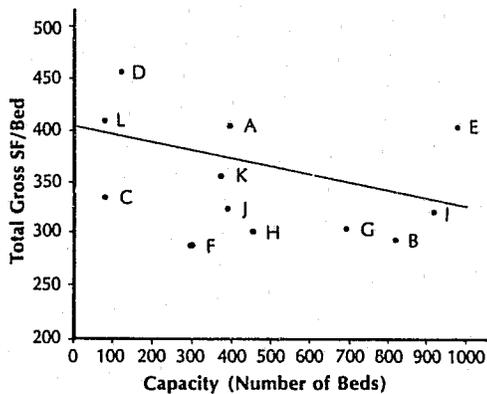
The figures provided here are for preliminary estimates only. Final space needs cannot be determined until a detailed program is completed (see "Facility Programming", Chapter 5.2).

The rules of thumb are based upon **square feet per bed (SF/bed)** in the facility. The footnotes provided for each of the types of space explain the basis of the ranges of square feet per bed and allow you to choose a figure or range responding to conditions faced at your facility. You may not need to provide certain types of space if those functions are already housed or can be accommodated elsewhere. For example, if administrative offices are in the sheriff's office, little space need be planned here.

Note that there are economies of scale for some types of spaces but not for others. That is to say, some areas are not directly dependent on capacity while others are proportional to capacity. For instance, while each inmate will require the same space for sleeping and dayroom activities, laundry or food service may need to grow by only one-third or one-half for a jail capacity of 200 compared to one with 100. Generally, there appears to be a moderately clear relationship between a jail's capacity and its total area per bed, as illustrated in the accompanying diagram.

Use Figure 4.1-5, "Space Needs: Preliminary Calculations," to obtain a rough idea of how much area will be needed in the jail. For each type of space, there is a range of "area per bed"; this is the number of net square feet (SF) for each inmate that your facility will be designed to accommodate. Before you fill in the part of the chart for each type of space, read the corresponding footnotes. These explain what the ranges are based on. In cases where the footnote indicates that the space per bed is more or less for certain types or sizes of facilities, you should use a narrower range than the one in the columns. In determining ranges of space provision, be certain to involve representatives of the various operations accommodated within the jail.

Figure 4.1-4: Relationship Between Capacity and Space per Bed*



Each Letter Represents a Surveyed Facility Program
 *From Surveyed Facility Programs

Figure 4.1-5: Space Needs: Preliminary Calculations

(Note that the "number of beds" for each kind of residential sleeping room will, when added together, equal the total number of beds in the facility. The total will then apply to all types of spaces other than sleeping rooms.)

TYPE OF SPACE	NET SF/BED (notes)	NO. OF BEDS	RANGE OF SF From-To
Sleeping Rooms:			
Single Occupancy Cells:	60-80 (1)		-
Beds in Multi-Occup. Cells:	35-60 (2)		-
Beds in Multi-Occup. Rooms:	50-60 (3)		-
Day Rooms:	35-70 (4)		-
Intake/Release/Processing:	8-30 (5)		-
Central Control:	.8- 3 (6)		-
Administration:	3-10 (7)		-
Staff Stations:	.7- 2 (8)		-
Visiting/Lobby:	6-12 (9)		-
Program Space:	16-50 (10)		-
Indoor Recreation:	3-10 (11)		-
Medical Services:	5-12 (12)		-
Kitchen/Food Service:	6-22 (13)		-
Laundry:	1.5- 8 (14)		-
Receiving/Storage/Maint.:	8-19 (15)		-
TOTAL NET SQUARE FEET:			
For facility with all single cells:	153-328 (16)		-
For facility with 50% single cells, 50% mult. rms.:	148-318 (16)		-

* Notes following Figure 4.1-5 clarify the basis for the net sf/bed ranges.

Multiply total net square feet times "efficiency factor":

All Single Cells

Low Range: _____ X 1.67 = _____
 net square ft. efficiency factor gross square ft.

High Range: _____ X 1.67 = _____
 net square ft. efficiency factor gross square ft.

50% Single Cells

Low Range: _____ X 1.67 = _____
 net square ft. efficiency factor gross square ft.

High Range: _____ X 1.67 = _____
 net square ft. efficiency factor gross square ft.

RANGE OF TOTAL GROSS SQUARE FEET:

From _____ To _____

Notes for Figure 4.1-5

(1) The California "Minimum Standards for Local Detention Facilities" (referred to as "CA Min." below) mandates a minimum of 60 SF in Type I facilities (pre-arraignment, safekeeping, inmate workers) and minimum of 70 SF for Types II & III (post-arraignment, during trial, serving sentence). The Commission on Accreditation for Corrections (referred to as "CAC") recommends a minimum of 80 SF when confinement exceeds 10 hours per day.

Figure 4.1-5: Space Needs:
Preliminary Calculations, continued

- (2) CA Min. mandates a minimum of 35 SF per person and no more than 8 people per cell. CAC recommends 50 SF per person but allows multiple occupancy only in existing facilities.
- (3) CA Min. allows rooms to accommodate up to 16 sentenced inmates with at least 50 SF each.
- (4) Ca Min. requires dayrooms in all Type II & III facilities with at least 35 SF per person; this may be part of cells or rooms. American Public Health Association (APHA) calls for at least 39 SF per person for dining and dayroom activities. Many recent facilities have more generous dayrooms (some of which accommodate other activities) which may have as much as 100 SF per person.
- (5) SF standards do not exist. Most facilities surveyed have between 13 and 30 SF per jail bed, with no clear relationship between total capacity and amount of intake area per bed. The variation may be due to the number of holding cells, related services or amount of storage provided at that location.
- (6) Based on surveyed facilities, there is no apparent correlation with capacity. Variation can be due to number of functions handled at central control versus unit or floor control rooms.
- (7) Surveyed facilities and Washington State Jail Commission (WSJC) standards suggest that more administrative space per bed is needed for small jails (10 SF/bed for capacity of 25) than large jails (2.9 SF/bed for capacity of 1200). This can also vary depending on whether the jail shares administrative space with the rest of the sheriff's department.
- (8) Most surveyed facilities have 48 to 96 beds per staff station.
- (9) Surveyed facilities and WSJC standards suggest more visiting space per bed for smaller jails (10 SF/bed for capacity of 25) than larger jails (6.1 SF/bed for capacity of 25). Variation can be due to provision of contact visiting space or scheduling of visiting hours (more hours of operation, fewer spaces needed to provide same number of visits).
- (10) Most surveyed facilities have 16 to 25 SF/bed; one has 54 SF/bed. These are rather highly programmed facilities. The list of programs created earlier in this chapter should be reviewed to determine how much space is needed to accommodate them.
- (11) This range is for indoor recreation and is based on only a few facilities. How much indoor recreation space is needed for your county depends upon climatic conditions, outdoor provisions, and the number of post-arraignment inmates. CAC recommends at least 1500 SF for outdoor recreation with more for jails with a capacity greater than 120 inmates.
- (12) Surveyed facilities and WSJC standards recommend more space for smaller facilities (10 SF/bed for capacity of 25) than larger facilities (6.43 SF/bed for 1200 capacity). CA Min. mandates provision of an infirmary and a medical exam room with at least 100 net SF.
- (13) Most surveyed facilities are at the lower end of the range, less than 13 SF/bed. Smaller jails tend to have more food service space per bed. The American Public Health Association recommends 7 to 9 SF/bed. The National Sheriffs' Association recommends 10 SF/bed for small jails, less for large jails. This will vary considerably depending on local conditions, with possibilities for the jail either to be serviced from another 24-hour, 7-day-per-week-kitchen (which would eliminate much of the space requirement) or to serve other institutions (which would require more space).
- (14) Surveyed facilities range from 1.4 to 7.6, with most in the middle of the range. WSJC standards recommend a range from 7 SF/bed for capacity of 25 to 1.66 SF/bed for capacity of 1200. As for food service, this depends on the possibility of shared services.
- (15) CA Min. mandates 80 cubic feet of storage space per inmate (excluding receiving and maintenance). Actual provision depends on supply logistics and reserve stocks to be held.
- (16) These ranges are very wide since no facility has the minimum or maximum area/bed for all or even most types of space. A more realistic net SF range is from 210 to 270, with gross SF ranging from 350 to 450 SF per bed.

Preliminary Estimate of Parking Needs

Numerous factors will determine how many parking spaces your facility will need. These are detailed in Chapter 5.2. While there are no formulas for deriving a preliminary estimate of the required number of spaces, the following vehicles or users should be anticipated:

- Number of staff on the two largest consecutive shifts.
- Number of visitors anticipated at one time (depends on number of inmates and extent of visiting hours).
- Access to and adequacy of public transportation.
- Other departments housed on the site.
- Provision for service vehicles (law enforcement, trash, delivery, court transport).

Summary and Conclusion

Having completed the tasks in this chapter, you have developed a preliminary description of county needs for jail facilities. The next chapter allows you to assess the ability of existing facilities to meet these needs, with or without renovation.

References

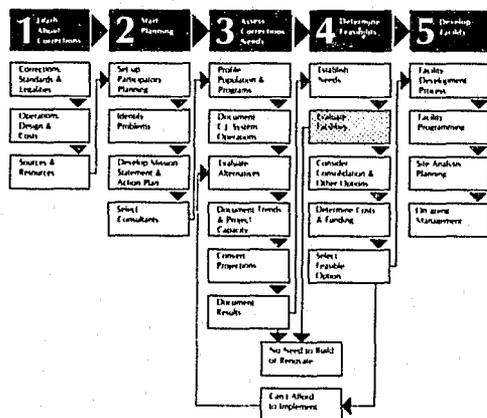
See the references in Chapter 1.2 for sources on standards and those in Chapter 5.2 for sources on facility programming.

Kaplan/McLaughlin, Architects. **Area Comparisons of Seven Detention Facilities**, (mimeo) San Francisco, CA, no date. A survey of seven recently constructed jails.

Naramore, Bain, Brady and Johanson, Architects. **Architectural Programming Study for Local Correction and Detention Facilities**, Seattle, WA, 1979. Report to the Washington State Jail Commission.

Naramore, Bain, Brady and Johanson, Architects. **Final Report: King County Jail/Correctional Facilities**, Seattle, WA, 1979. Reviews space provisions in a number of recent facilities.

4.2 Step 2: Evaluate Existing Facilities for Continued Use, Remodeling and Expansion



Who Will Use This Chapter

Introduction

Purpose of the Evaluation

Primary Users

Project Manager
 Planning Team and/or
 Evaluation Task Force

There are several options your county can consider for use of its existing jail:

- Use the facility as is.
- Make minor or major renovations.
- Build minor or major additions.
- Use it along with another existing or new building.

Although your county may believe it cannot continue to use its detention and correctional facility, an evaluation of the facility may prove otherwise, particularly if justice system changes developed in Handbook Three limit or change the detention population.

This chapter takes your county through the building evaluation process. First, it spells out the purpose of an evaluation and describes which people should do the evaluating and what general and focal issues they should address. Then, it spells out evaluation methods: taking charge, reviewing other evaluations, determining criteria, reaching agreement and prioritizing needs, estimating costs, and reporting back to the project manager. A "Facility Problem and Solution Checklist" is provided to use in the evaluation.

The primary purpose of evaluating your existing detention and correctional facility is to determine whether or not it has potential for some level of continued use. This potential depends on whether or not it can satisfy correctional standards and legal requirements (Chapter 1.2), your county's goals (Chapter 2.3), and your county's program objectives and needs (Chapter 4.1).

Although your county may have a good idea of what it will learn from the evaluation, there can be surprises which may help you decide whether to renovate, construct additions, or replace the facility. Therefore, the evaluation must be objective and comprehensive.

The Evaluators

To evaluate your facility, your county has three choices. You can charge the **Planning Team** with this task, commission **consultants** with expertise in engineering, architecture and corrections, or form an **Evaluation Task Force**. Factors to consider in deciding who should conduct the evaluation include how thorough an evaluation you want, the availability of appropriate personnel, financial resources and time.

Regardless of which group conducts the evaluation, select its members carefully. Choose people with expertise in different areas, including day-to-day operation of the jail, construction, architecture, engineering, life safety, and cost analysis. The group should be small enough to function as a working team but large enough to include at least one person who is well informed about each prime area.

The evaluators might be chosen from among the following: correctional officer and administrator (who work in the facility), budget analyst, planner, public works official, county health or sanitation official, local fire marshal, engineer, architect, an interested citizen or community leader, and, if possible, an inmate or former inmate. Additionally, your county may request assistance from a Board of Corrections field representative.

If the Planning Team will conduct the evaluation, it may choose to invite some of the people listed to help. Or, you may choose to hire a consultant, either to perform all or part of the evaluation (such as investigating the structural and mechanical systems). Alternatively, the consultant could develop the evaluation instruments, the county could collect the data, and then the consultant could analyze and interpret the data.

General Issues for Evaluation

While some evaluation issues will be of special concern to your county, others should be addressed by every county. Every evaluation should address compliance with state laws and respond to capacity projections, goals, objectives, and future needs. Each of these topics is discussed below.

Standards and Legal Requirements

Your county must comply with state standards and laws that prescribe practices, conditions, types and amounts of space. For instance, although there may be enough beds for all projected inmates, the renovated facility may have too little space per person to meet minimum legal requirements. Or, while your county may not view as a problem extremely low light levels in residential areas, the law prescribes minimum light levels. (See Chapter 1.2.)

Capacity Projections

Can the existing facility house the projected number of inmates of each type (for example, presentenced adult females)? If the answer is no, the task force should attempt to determine what combination of renovation and new construction would meet projections.

Goals and Objectives

Goals and objectives, including those identified in the mission statement, should be reviewed to determine which ones the facility currently accommodates and which ones could be satisfied by renovations or additions.

For instance, one goal may be to provide surveillance from a single control point. To assess the facility's current performance, determine whether all the cells in the existing facility are visible from a guard post. If not, would surveillance be possible with renovations to an existing post or by relocating a post within the existing structure?

Or, while total square feet and number of beds indicate enough space per person, sleeping areas for sentenced offenders may house more than one person. If the county wishes to follow the recommendations of many criminologists, it will look to see whether or not the existing facility could be made to provide single cells for all inmates.

Future Needs

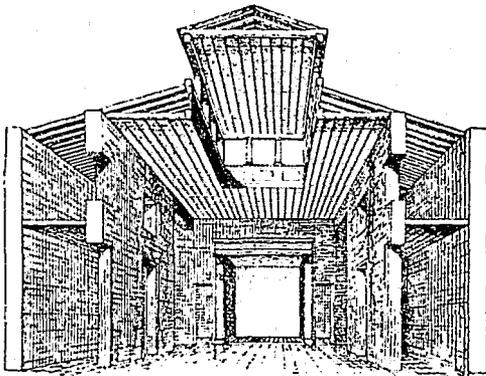
Future needs and flexibility must be considered since a renovation or addition can add many years to the life of the facility. Correctional programs and populations, laws, and judicial practices are likely to change considerably. Hence, the facility should accommodate desired programs and projected populations for a defined period after present changes are made. If the investment is to be large, the facility should serve as more than an interim solution.

In considering future needs, many variables must be examined. Can the existing facility grow or change? Although multi-person cells are permissible now, they may not be in the future. Could the facility adapt to such a change? Are site, orientation, and building configuration compatible with conversion to passive or active solar energy systems? Could air conditioning be added by using the existing duct system or would major construction work and expense be necessary? Could you add to intake, visiting, or residential spaces?

Focus of the Evaluation

In addition to the general issues described above, the evaluation should concentrate on nine focal areas. These are derived from state laws and national standards together with functional and design issues which are likely to reflect your county's concerns. You may wish to add other focal areas that respond to the local situation.

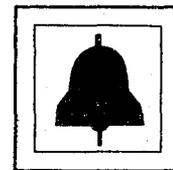
Building Soundness and Adaptability



Consider how adequate, safe and sound are the facility's structural, mechanical, electrical, and plumbing (sewage and water supply) systems. Which walls are load bearing and which are partitions that could be more easily moved? Can appropriately sized spaces be created within existing physical constraints (for example, load bearing walls)? Is the facility adequately braced to withstand earthquakes? Is there easy access to critical parts of the plumbing system? Can the electrical system be added to so that it can support future equipment requirements? Engineers and architects should have chief responsibility for answering these questions.

Fire and Life Safety

Are all building materials and furnishings in inmate areas fire resistant? Does the facility meet codes concerning the number and locations of points of egress, fire extinguishers, alarms, and smoke removal systems? If not, what is necessary to meet the codes? For example, are there at least two means of egress from all occupied areas? Could secure exits be added? The local fire marshal should help explore these fire and safety questions.



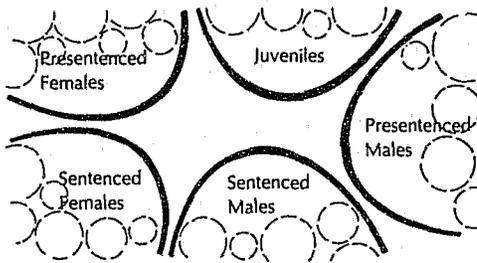
Security and Safety



Access for the Handicapped

To what extent does the building facilitate order and control; prevent escapes, break ins (to break inmates out) and mass riots; and minimize attacks on inmates and staff? Is there now or is the building amenable to incorporating an adequate communications system, an electronic surveillance system, and a mechanical locking system for residential areas? Can "problem" inmates, such as those prone to violence, suicide or escape be kept in separate, more secure areas? Are all intake, residential, activity and circulation areas secure and easily observable? Is there a secure perimeter around all inmate areas? Are there provisions for physically handicapped inmates and visitors? What changes would have to be made to satisfy these concerns? Architects, security staff, electrical engineers, and criminologists can make these safety and security determinations.

Separation



Does or can the facility enable a classification plan to be carried out? Can different population types—males, females, juveniles, adults, presentenced and sentenced inmates—be kept separated? Can special classes of inmates, such as those being disciplined or the mentally disturbed, be separated? Is the facility flexible enough to accommodate increases and decreases of each of these population types?

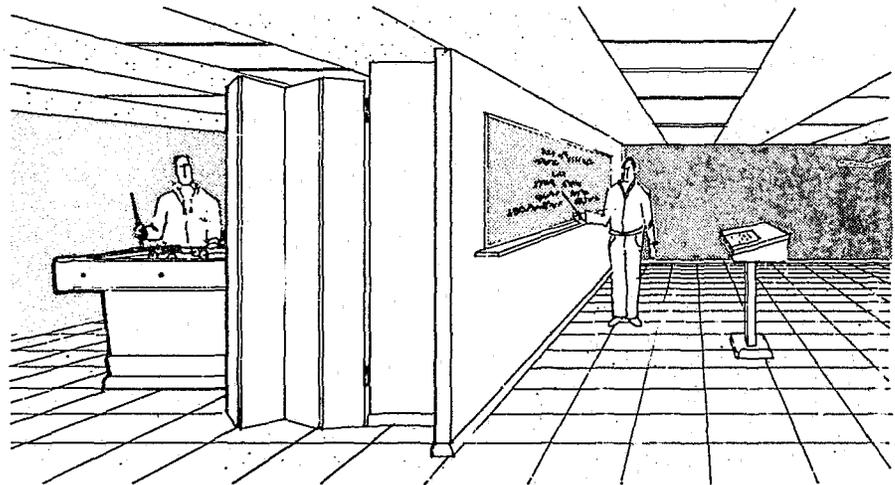
How many inmates share each sleeping, dining, living and bathing area? How many residential units are there? Can "small" units (of eight to twenty-four) be accommodated within the existing facility? Are physical and acoustical separations between areas adequate to facilitate management and control as well as to limit interaction between residential units in case of a disturbance? Jail staff, administrators, and classification officers, along with architects, should study these separation issues.

Comfort and Humane Conditions

How adequate is the heating, air conditioning, and ventilation (air flow, fresh air, air quality)? How is the artificial lighting—is there a minimum of glare and are light levels appropriate for work, sleep, or surveillance? Is there natural lighting in all residential areas? Is there too much noise in staff work areas, residential areas, and program areas? How much space is there per inmate for sleeping and living (dining, TV) in each type of cell, room, or dorm? Is there enough space to accommodate activities, programs, and recreation? What are the conditions of the materials and furnishings of the spaces used by inmates? Is there adequate separation between eating and toilet areas? These issues should be evaluated by engineers, architects, and jail staff, with input from other staff and inmates.

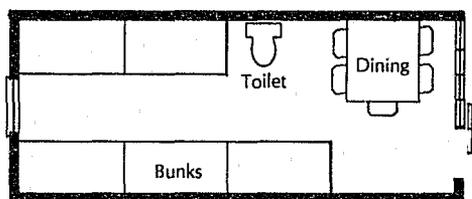
Appropriate Spaces for Programs and Services

Is there adequate space for jail functions (intake, booking, holding, administration, food service, laundry, storage, sleeping, activities, and programs)? If the facility must increase the residential area to accommodate more inmates, will other areas be adequate in size? Are the spaces appropriate, or can they be remodeled so that they are suitable for and supportive of their functions? (For instance, there may be adequate square footage in dayrooms, but if they are very long and narrow, they will not be conducive to socializing and shared activities.) Can acoustical privacy be obtained in spaces used for interview or counseling? Do the residential areas allow for a degree of privacy? Jail staff and architects should respond to these questions.



From National Clearinghouse for Criminal Justice and Architecture, **Harris County Corrections Plan**.

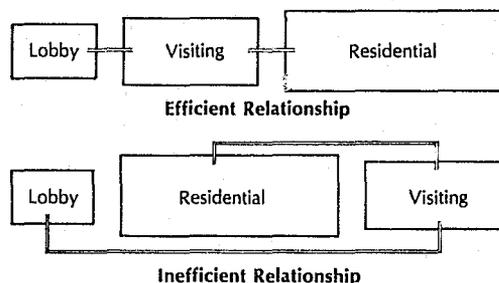
Sanitation



Configuration Not Conducive to Sanitation

Are there adequate provisions for staff and inmate toilets in residential, intake, program, activity, and recreation areas? What provisions are there for bathing in intake and residential areas? Can inmates obtain privacy for hygiene? Can residential, intake, dining, food service and preparation areas be thoroughly cleaned? Can vermin be prevented from infiltrating residential, intake, food preparation, storage and dining areas? The evaluators should consult inmates and appropriate jail staff about these sanitation concerns.

Efficiency



Are the relationships and circulation paths between areas logical and efficient (for example, lobby near visiting, dayrooms near cells)? Are the most frequently traveled routes relatively short? Could the facility make do with fewer staff if the layout were more efficient? Jail staff, administrators and architects should help answer these questions.

Scale

Is the scale of the residential areas oppressive and institutional? If so, could large areas be subdivided to better accommodate individuals and small groups? Can different areas reflect different security levels by using a variety of building materials or configurations? (See the section on "Normalized Environment" in Chapter 1.3.) An architect can help with these questions of scale.

Other Issues

If there are other issues and concerns that have been identified during the planning process that are not covered above, you may wish to ask questions about them in your facility evaluation.

Method

Choose a Leader

To begin, the evaluators should select a leader—perhaps the project manager—who will ensure that an evaluation plan and timetable are established and followed.

Review Previous Evaluations

Before conducting your county's evaluation, the evaluators should review previous audits and evaluations to learn of problems that have already been identified. These records may consist of Board of Corrections jail inspection reports, grand jury reports, and those from the state or county fire marshal and county building inspector. If your county has gone through an evaluation using the National Sheriff's Association (NSA) audit system or if the Commission on Accreditation for Corrections has conducted an accreditation visit, study these, too. If not already used, audit system materials may be ordered from NSA (see Chapter 1.5).

Evaluate Your Facility

Your facility should be examined to determine how well it responds to relevant laws, capacity projections, goals, objectives, standards, and future needs, as described above. While you are only compelled to deal with issues and concerns mandated by law, you will undoubtedly identify additional functional objectives and concerns to evaluate.

Questions should be developed for evaluating each area of the facility. The questions can be of two types.

- Does the area presently support desired functions? For example, does the recreation area facilitate exercise and serve as an outlet for tension? Is it secure and easy to supervise?
- If not, could the area be effective if modified?

The "Facility Problem and Solution Checklist" (Figure 4.2-1) may be used as the basis for your evaluation. You may use it as is, or modify it to correspond better to the issues at your facility, or you may develop your own form. In any case, all evaluators should use the same form so that all will be clear on what to look for. However, since some evaluators will not be able to answer some questions, the evaluation leader should assign sections of the form to evaluators (including consultants, if necessary) who can answer them. For example, engineers should be assigned questions about structure but not necessarily about convenience. Advice from appropriate resources should also be obtained. For example, in evaluating the kitchen, the cook should be questioned.

Each area should be independently evaluated by more than one person and, when possible, by people with different perspectives to ensure that questions are answered fairly. For example, the adequacy of dayrooms for specific activities could be studied by a correctional officer, an architect, and an ex-offender.

Going from one part of the facility to another with the checklist, the evaluators should independently consider each problem, identifying its presence, describing it, noting potential solutions and ranking its priority on a scale from "1" to "5," follows:

- 1 = lowest priority: not necessary to alleviate.
- 2 = low priority: would like to solve, after others.
- 3 = medium priority: try to solve.
- 4 = high priority: make considerable effort to solve.
- 5 = highest priority: vital to solve this problem.

Reach Agreement, Establish Priorities and Summarize Needs

After the individual evaluations are done, the entire task force should discuss and agree upon the presence and relative importance of the problems. To accomplish this for each area and concern, add together all rankings, then divide by the number of raters. List the problems in descending order, with the most important first. Then, the evaluators should discuss possible solutions to these most important problems, reach a consensus, and develop a statement of the identified problems and needs, dividing them into priority groupings. Depending on the nature of the solutions, some may be implemented immediately. More extensive remedies should have their costs assessed and be held for consideration along with other potential solutions that go beyond the existing facility (these are discussed in Chapter 4.3).

Estimate Costs

If after the evaluation continued use of the facility appears at least somewhat feasible, roughly estimate costs. If several different approaches are possible, such as a major renovation or a minor renovation plus additions, each of their costs should be figured and compared with other options. More thorough and accurate cost estimates can be conducted later (see Chapter 4.5).

Prepare and Submit Report

The major problems with the existing facility, their possible solutions, and the rough estimate of their construction costs should be briefly discussed. Submit the report to the Advisory Committee and the Board of Supervisors.

Figure 4.2-1: Facility Problem and Solution Checklist

If your county has more than one type of any area (such as two differently configured inmate sleeping areas), make extra copies of this form so that each area can be evaluated.

AREA & ISSUE	Yes?	EXISTING PROBLEMS		POTENTIAL SOLUTIONS Description
		Rank	Description	
INMATE SLEEPING AREAS				
Enough beds	[]	[]	_____	_____
Size, potential for relocating walls	[]	[]	_____	_____
Access to plumbing chases	[]	[]	_____	_____
Fire resistant materials	[]	[]	_____	_____
Fire resistant furnishings	[]	[]	_____	_____
Fire escapes	[]	[]	_____	_____
Smoke alarms	[]	[]	_____	_____
Smoke removal	[]	[]	_____	_____
Control over entry	[]	[]	_____	_____
Secure from other inmates	[]	[]	_____	_____
Handicapped provisions	[]	[]	_____	_____
Heating, ventilation	[]	[]	_____	_____
Lighting				
-quantity	[]	[]	_____	_____
-quality (glare, etc.)	[]	[]	_____	_____
Natural light (sun)	[]	[]	_____	_____
Noise	[]	[]	_____	_____
Toilets	[]	[]	_____	_____
-enough	[]	[]	_____	_____
-condition	[]	[]	_____	_____
-privacy	[]	[]	_____	_____
-furniture	[]	[]	_____	_____
-equipment	[]	[]	_____	_____
SHARED INMATE AREAS				
Dayrooms				
-existence	[]	[]	_____	_____
-no. shared by each	[]	[]	_____	_____
-size (per person)	[]	[]	_____	_____
-fire safety	[]	[]	_____	_____
-adequate for dining	[]	[]	_____	_____
-adequate for activities	[]	[]	_____	_____
-light	[]	[]	_____	_____
-noise	[]	[]	_____	_____
-heating, ventilation	[]	[]	_____	_____
-proximity to cells	[]	[]	_____	_____
-furniture	[]	[]	_____	_____
Sallyport				
-ample size	[]	[]	_____	_____
-secure	[]	[]	_____	_____
-surveillance	[]	[]	_____	_____
STAFF AREAS				
Surveillance of:				
-cells	[]	[]	_____	_____
-dayrooms	[]	[]	_____	_____
-corridors	[]	[]	_____	_____
-program areas	[]	[]	_____	_____

Figure 4.2-1 Facility Problem and Solution Checklist, continued

AREA & ISSUE	EXISTING PROBLEMS		POTENTIAL SOLUTIONS Description
	Yes?	Rank	
Control of:			
-cells	[]	[]	_____
-dayrooms	[]	[]	_____
-corridors	[]	[]	_____
-fire escapes	[]	[]	_____
-outside spaces	[]	[]	_____
Secure control areas	[]	[]	_____
Provisions for:			
-breaks	[]	[]	_____
-meals	[]	[]	_____
-training	[]	[]	_____
Restroom	[]	[]	_____
Lockers	[]	[]	_____
ADMINISTRATIVE AREAS			
Sufficient office space	[]	[]	_____
Appropriate spaces	[]	[]	_____
Security	[]	[]	_____
Staff training	[]	[]	_____
Access (public lobby, etc.)	[]	[]	_____
SUPPORT AREAS			
Food Service			
-fire safety provisions	[]	[]	_____
-surveillance of inmate workers	[]	[]	_____
-ventilation	[]	[]	_____
-cold and dry storage	[]	[]	_____
-cleanliness	[]	[]	_____
-vermin control	[]	[]	_____
-convenience to dining	[]	[]	_____
Showers			
-quantity	[]	[]	_____
-privacy	[]	[]	_____
-condition	[]	[]	_____
-location	[]	[]	_____
Residential units			
-no. inmates in each	[]	[]	_____
-no. of units	[]	[]	_____
-provisions for separating population types	[]	[]	_____
PROGRAM AREAS			
Recreation			
-indoor provisions, for what activities	[]	[]	_____
-outdoor provisions, for what activities	[]	[]	_____
Activity areas for:			
-counseling	[]	[]	_____
-group programs	[]	[]	_____
-classes	[]	[]	_____
-library	[]	[]	_____
-vocational/crafts	[]	[]	_____

Figure 4.2-1 Facility Problem and Solution Checklist, continued

AREA & ISSUE	Yes?	EXISTING PROBLEMS		POTENTIAL SOLUTIONS Description
		Rank	Description	
VISITING AREAS				
Non-contact visits	[]	[]	_____	_____
Contact visits	[]	[]	_____	_____
Lawyer visits	[]	[]	_____	_____
Public parking	[]	[]	_____	_____
Public reception	[]	[]	_____	_____
Public waiting	[]	[]	_____	_____
INTAKE AREA				
Adequacy for:				
-search	[]	[]	_____	_____
-booking	[]	[]	_____	_____
-holding	[]	[]	_____	_____
-processing (fingerprint, photo, shower, clothing issue)	[]	[]	_____	_____
-storing	[]	[]	_____	_____
-surveillance	[]	[]	_____	_____
-alcohol recovery	[]	[]	_____	_____
-OR program	[]	[]	_____	_____
-interviewing	[]	[]	_____	_____
-court assembly	[]	[]	_____	_____
Medical Service				
-outpatient provisions	[]	[]	_____	_____
-inpatient provisions	[]	[]	_____	_____
Laundry				
-adequate space	[]	[]	_____	_____
-ventilation	[]	[]	_____	_____
Trash Disposal				
	[]	[]	_____	_____
FACILITY-WIDE CONCERNS				
Circulation				
-efficiency	[]	[]	_____	_____
-security of routes	[]	[]	_____	_____
-convenience	[]	[]	_____	_____
-adjacencies among areas	[]	[]	_____	_____
Structural soundness	[]	[]	_____	_____
Adequacy of plumbing	[]	[]	_____	_____
Electrical system				
-safety	[]	[]	_____	_____
-adequacy	[]	[]	_____	_____
Fire safety				
-materials	[]	[]	_____	_____
-exits, egress	[]	[]	_____	_____
-alarms	[]	[]	_____	_____
-smoke removal	[]	[]	_____	_____
Security				
-from within	[]	[]	_____	_____
-from outside	[]	[]	_____	_____
-communications	[]	[]	_____	_____
-provisions for violent inmates	[]	[]	_____	_____

Figure 4.2-1 Facility Problem and Solution Checklist, continued

AREA & ISSUE	Yes?	EXISTING PROBLEMS		POTENTIAL SOLUTIONS
		Rank	Description	
Handicapped provisions	[]	[]	_____	_____
Scale	[]	[]	_____	_____
On-site storage	[]	[]	_____	_____
Housekeeping provisions	[]	[]	_____	_____
OTHER AREAS AND CONCERNS				
_____	[]	[]	_____	_____
_____	[]	[]	_____	_____
_____	[]	[]	_____	_____
_____	[]	[]	_____	_____
_____	[]	[]	_____	_____
_____	[]	[]	_____	_____
_____	[]	[]	_____	_____
_____	[]	[]	_____	_____
_____	[]	[]	_____	_____
(Etc.)	[]	[]	_____	_____

References

American Institute of Architects, Committee on Architecture for Justice. **Design Resource File: Planning Justice Facilities, 1978**, Washington, D.C.: AIA, 1978. Includes an evaluation checklist for law enforcement facilities.

Farbstein, Jay; Wener, Richard and Gomez, Patricia. **Evaluation of Correctional Environments: Instrument Development Report**, San Luis Obispo, CA: Farbstein/Williams & Associates, 1980. Describes the development of a set of instruments which measure the impact of the jail environment on inmates and staff.

Miceli, Charles and Golden, Alton, Jr. **Fire Behind Bars: An Administrator's Guide for Prevention and Control**, Durham, New Hampshire: The New England Coordinating Council, Inc., 1979. Provides a yardstick for measuring the fire safety status of a correctional facility.

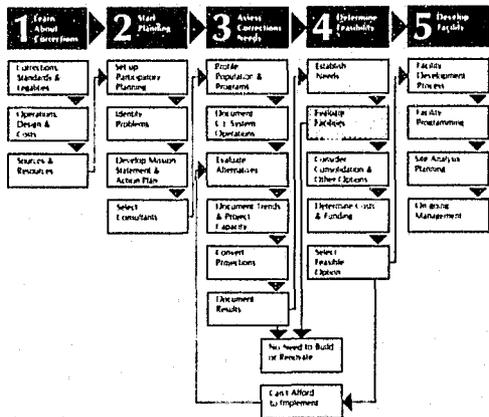
National Clearinghouse for Criminal Justice Planning and Architecture. **Clearinghouse Transfer: Cellhouse Renovation Potentials**, No. 8. Urbana, Illinois: University of Illinois, August, 1976. This describes and illustrates several possible jail renovations.

National Clearinghouse for Criminal Justice Planning and Architecture. **El Paso County Corrections Plan**, Urbana, IL: University of Illinois, 1975. This plan and the two that follow include analyses of the corrections systems, inmate characteristics, future needs, and recommendations.

National Clearinghouse for Criminal Justice Planning and Architecture. **Harris County Corrections Plan**, Urbana, IL: University of Illinois, (no date).

National Clearinghouse for Criminal Justice Planning and Architecture. **Hennepin County Corrections Plan**, Urbana, IL: University of Illinois, 1977.

4.3 Step 3: Develop and Consider Facility Options



Who Will Use This Chapter

Primary Users
 Project Manager
 Planning Team and/or
 Evaluation Task Force

Secondary Users
 Advisory Committee
 Board of Supervisors

Introduction

Once the Evaluation Task Force has evaluated your existing facilities, your county will want to look at many building-related options. Some of these involve continued use of the existing facility (as is, with renovations and/or additions, or with another facility) while others involve replacing the existing facility with a new one.

Criteria for Evaluating Options

The criteria for evaluating the options are the same as those used for the existing facility (refer to "General Issues For Evaluation" in Chapter 4.2). These criteria include compliance with laws and standards, ability to accommodate your county's capacity projections, goals and objectives, and flexibility for possible future change.

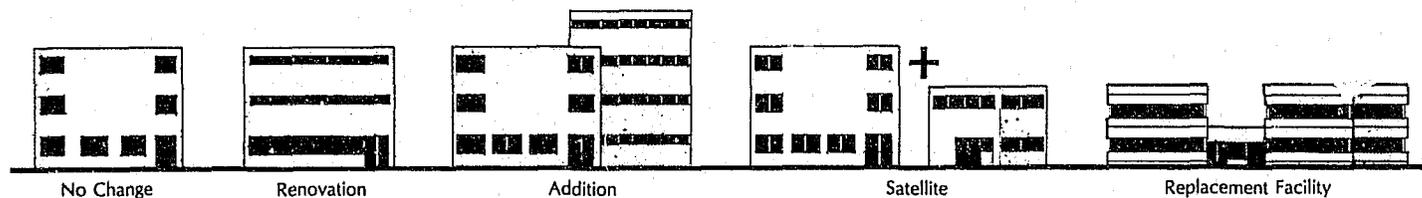
In addition to the criteria previously discussed, consider the initial and life cycle costs of each alternative (see Chapter 4.5 on costs). The team will use cost comparisons to help choose among options. To make these estimates, they may seek help from people with expertise in cost estimation, construction, and design of correctional facilities.

The Options

There are a number of building-related options to consider at least briefly before concentrating on the ones which appear promising. The options include:

- No construction.
- Minor renovation.
- Major renovation.
- Minor addition.
- Major addition.
- Re-using another existing building.
- Constructing a satellite facility.
- Constructing a new (replacement) facility.

Of course, there are many combinations and permutations of these options which may deserve consideration. Some may provide interim solutions while longer range plans are being developed. Each generic option is discussed below.



No Construction

It is assumed that if you are reading this chapter, your county has some need for construction or renovation.

Minor Renovation

If your facility evaluation indicates a close but not perfect fit between the existing building and county needs, consider minor renovation. This entails relatively inexpensive changes that can be implemented with a minimum of disruption. Included are such alterations as covering "hard" surfaces (metal, concrete) in minimum security residential areas with "soft" materials (carpet, acoustical tile, treated wood), adding fire exits, and subdividing a large space into several small spaces.

Major Renovation

If the findings from your evaluation disclose that much of your facility is sufficient, but rather considerable changes are needed to meet present criteria, then your county should consider a major renovation. This involves substantial (and often expensive) alterations, such as inserting windows in load-bearing walls, constructing fire stairs within an existing space, tearing out steel "cage" cells, or installing a new plumbing system.

If there is a need for more space and the correctional facility is within a building that houses other functions, your county could consider moving the other departments and expanding the jail into that space. Existing attics and basements may also be renovated to accommodate certain functions.

Minor Addition

If your correctional facility is adequate except for some relatively small areas that cannot fit within the existing building, your county may want to consider one or more minor additions. Examples of minor additions are adding fire stairs next to existing residential areas and expanding the lobby.

Major Addition

If your building as a whole is adequate even though one or more of its areas needs more space to accommodate specific functions, your county should consider major additions. For instance, this may involve adding a wing of residential units or a program area.

Another criterion must be considered for additions: how much room is there for expansion where you need it on the site? When looking at the possibility of major additions, currently occupied land should be considered as well as open space. Demolition and reconstruction may be cost-effective.

Furthermore, many government buildings are constructed to support future additional levels. Study the building's plans and structure to determine whether this is a possibility.

Re-using Another Existing Building

Explore the possibility of moving some functions that currently take place within the correctional facility to another existing building. Necessary adjacencies must be considered since it is not wise to separate such functions as residential, programs, recreation, and visiting. However, other functions can operate relatively independently; for instance, intake services (in a large system), long-term storage or work furlough might be relocated to other buildings. This would free space for remaining functions to expand. For example, the residential area may take over the work furlough area, or the kitchen may use the long-term storage area.

Sometimes, there are other advantages of relocating a function. For example, moving work furlough to a separate facility can reduce the possibility of contraband being brought to the general population. Furthermore, living in a more "normal" environment can facilitate adjustment to living in society after release.

Constructing Satellite Facilities

Another option is to continue using the existing jail and add one or more additional buildings. Satellites generally work best if they are designed for inmate sub-groups who should be housed separately, such as pre-sentenced men, women, the mentally ill or work releasees. Satellite buildings may be located on the same site, on an adjacent site, or in a more remote location.

For more populous counties, a side benefit of using satellite buildings for residential purposes is that these smaller facilities help keep down institution size, thus reducing the possibility of the jail becoming unmanageable, impersonal, overwhelming, or dehumanizing. Furthermore, for minimum security and work furlough satellite units, construction costs can be considerably lower than for maximum security housing. On the other hand, operational costs of staffing, food service and so on must be evaluated as some of these costs may be greater when operating more than one facility.

Transportation costs should be studied before deciding to construct satellite facilities, particularly on outlying sites, since moving inmates between facilities can be expensive. Because of transportation costs between detention and court, it may make more sense for outlying satellites to accommodate sentenced offenders.

Constructing New Facilities

The most obvious option may be completely replacing the existing facility. This also may be the best choice if other options are unfeasible. For example, a new facility may be preferred if there is not enough space for necessary additions, if renovation costs exceed new construction costs—or would not be worth the relative savings in terms of quality.

When considering a new facility, your county should look at two options: building on the same site (with or without demolition of the existing facility) or building on a different site. The direct and indirect costs of building on a different site should be weighed, including transportation between the courts and the new facility as well as ease of access for visitors and staff.

If you may be building on the same site, study interim housing arrangements to accommodate the affected jail population. These include the use of portable buildings, temporarily housing inmates in other jurisdictions, or building in stages.

Combinations of Options

Besides considering each of the options on its own, your county should review combinations of options. Workable combinations include a minor renovation with a major addition, and a major renovation plus constructing a satellite facility.

Interim Solutions

Your county may find that it needs to make some changes in its present facility before a new facility is completed. Or, what is needed may be too costly or politically unfeasible at the present time. If any of these are the case, reconsider renovations, minor additions, and using existing facilities as temporary solutions. Then, when the necessary political and financial support is available, a new facility can be built.

Interim solutions should concentrate on remedying the worst physical aspects of the most highly used areas such as overcrowded living spaces. Obviously, since these solutions are intended to be temporary, they should be either as inexpensive as possible or include elements that can be used in the eventual new facility. An example of a relatively inexpensive remedy is taking out added beds from single cells and making up for the diminished capacity by leasing an existing apartment house for work furlough or pre-release programs. An example of moveable elements is buying dayroom furniture that can also be used in an eventual new facility.

When exploring an interim solution, recognize that many planned "short-range" renovations last much longer than intended. Therefore, find temporary solutions that the county can live with.

Examine the Implications of Renovations or Additions

Ramifications of Changes

If it appears that your current facility can meet basic criteria if it is renovated, consider the following additional factors.

Be careful that the solution to one problem does not create others. View prospective changes individually and as a whole to insure that they do not negatively affect other areas of the facility. For instance, surveillance may be compromised by creating smaller, shared activity spaces. Or, the ideal place to add a program area may be the same limited space in which you need to add a residential unit.

Expense of Changes

Besides the "usual" costs of construction, maintenance and staffing, consider two other factors which impact costs.

First, construction may disrupt the operation of a facility. It may create noise, debris and confusion, which can increase staff and inmate tension. Inmates must be shuffled around, possibly to other facilities. Costs incurred by paying another jurisdiction to keep inmates, extra staffing, and transportation between the courts and remote, temporary facilities can be extensive.

Permanence is the second factor that should be considered. Your county should estimate how long the renovated facility will serve compared to a new facility. If the renovations and additions are relatively inexpensive, then a short new life for the facility may be acceptable. If a new facility costs more but its anticipated life is much longer, then a new facility may be the more cost-effective option in the long run.

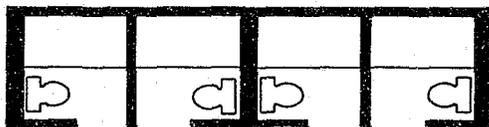
Generate and Evaluate Options

To ascertain which of the previously discussed options are more feasible for your county, briefly review each one. For those that seem most practical, a more careful study should be conducted.

Figure 4.3-1: "Facility Options Checklist" can be used to summarize the positive and negative attributes of each option. This should help screen out the options that are less appropriate. Then, a more thorough evaluation of the "surviving" options should be undertaken. This will include an analysis of costs (See Chapter 4.5) and the selection of the most feasible option (See Chapter 4.7).

Renovation and Addition Possibilities in Typical Jail Layouts

Single Cells Too Small



Before



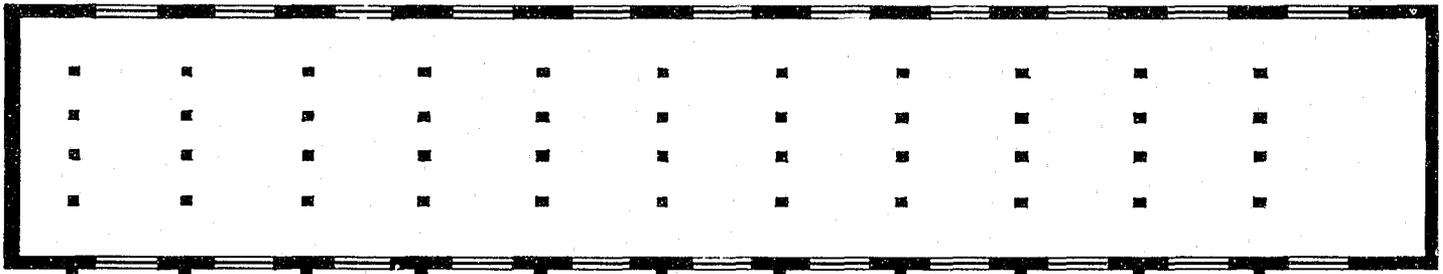
After

Here are some solutions to typical problems in jails. They may or may not be realistic given conditions in your facility but are offered to show some possibilities.

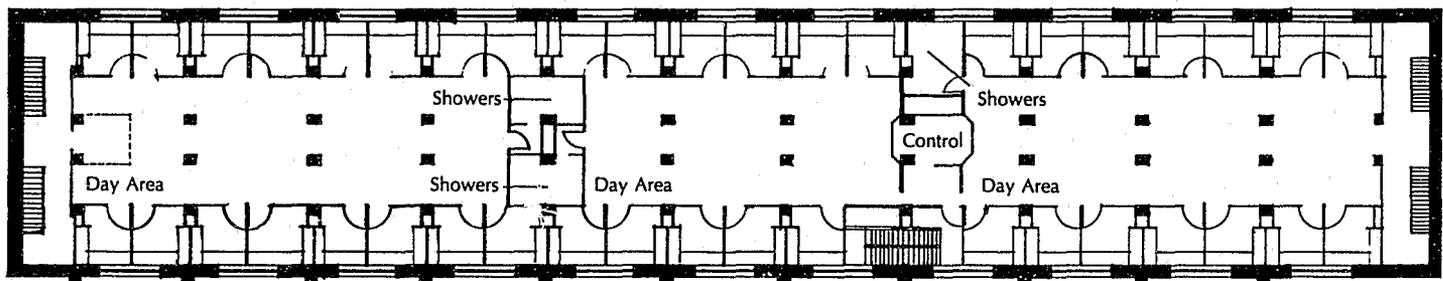
If your facility has single cells that do not provide adequate space and do not meet minimum standards, you may wish to consider several possible solutions. If cells run along a corridor with an outside wall, build a new corridor beyond the wall and add space from the old corridor to each cell. Or, walls between each pair of cells can be removed, providing the walls are not structural. More extensively, the interior of the residential area can be gutted and fewer, larger cells constructed.

Housing in Large Dormitories

To meet national standards and to facilitate inmate control, eliminate large dormitories. You could construct walls and create units comprised of single cells and a shared dayroom. Alternatively, you could change dormitories into a medical unit, program space or offices. Or, with minor renovation, a dormitory could support other functions that are suitable for large spaces, such as recreation or dining.



Before

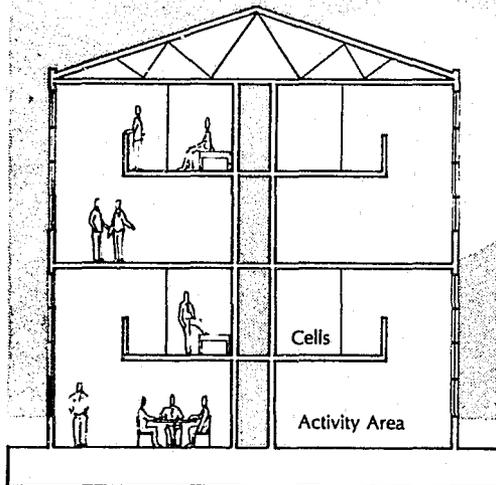


After

Adapted from National Clearinghouse for Criminal Justice Planning and Architecture, **Clearinghouse Transfer: Cellhouse Renovation Potentials.**

Residential Units Without Dayrooms

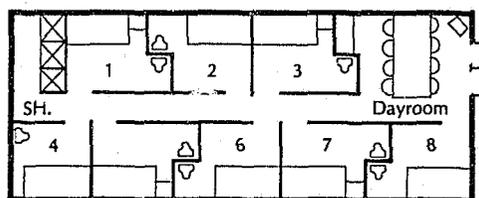
If cells are about the right size but there are no dayrooms, several cells could be combined to become a dayroom. Or, if ceilings are very high or the jail contains more than one residential floor, two-story units could be created by combining cells on one level to become a dayroom space for the inmates whose cells are above or below it. If cells are near an outside wall and if the site permits, dayrooms can be added.



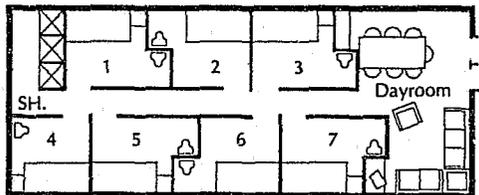
Adapted from National Clearinghouse for Criminal Justice Planning and Architecture, **Clearinghouse Transfer: Cellhouse Renovation Potentials.**

Dayrooms Too Small

If there is insufficient space in existing dayrooms to meet standards and accommodate desired activities, there are two approaches your county can take. The first approach might be to move some activities, such as dining (for minimum security inmates), to another part of the building. The second approach is to add on to the dayrooms by combining one or more cells into the dayroom. Or, these cells could be kept as separate rooms to provide a variety of dayroom spaces. This will keep groups small and minimize noise transference from one area to another.



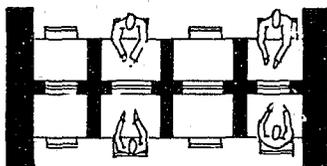
Before



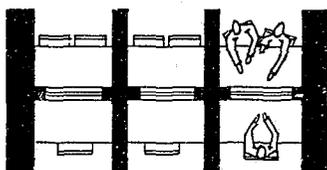
After

Inadequate Visiting Space

If visiting areas are deficient, consider these remedies. If there is no place for contact visiting, adjacent space near the lobby could be converted or could "moonlight" for this purpose. For example, your facility may contain an underutilized chapel. During specified hours it could become a contact visiting room. You could convert cells into attorney visiting rooms. If visiting booths are too small and do not provide adequate privacy, partitions can be upgraded and faced with sound absorbent materials. If this results in too few booths (and additional booths cannot be added elsewhere), visiting hours can be increased.



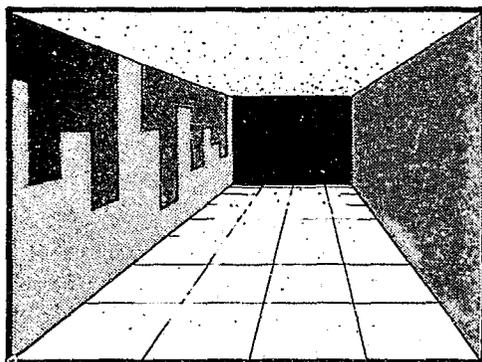
Before



After

Corridors Too Long

Long straight corridors may be noisy, difficult to manage, or dehumanizing. A partial solution is to make corridors appear shorter by using graphics on the walls, ceiling or floor. For noise control, sound absorbent materials can be added.

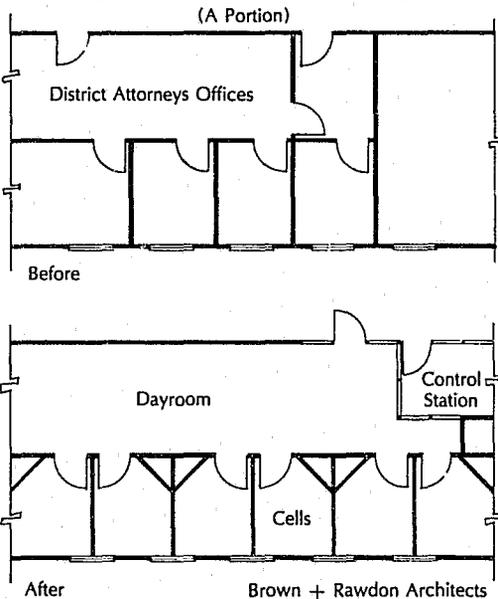


Program Space Inadequate

ROOM SCHEDULE	
TIME	MONDAY
7am	Gymnastics - Group 4
8	Gymnastics - Group 5
9	Gymnastics - Group 6
10	
11	Reading - Group 2
12pm	Math
1	Drama
2	Orientation Group
3	Pre-Release Group
4	
5	Art Class - 4
6	Art Class - 5
7	Drug Group
8	Reading - Group 3
9	Alcoholics Anon.

If the space allocated for education, library, counseling, and similar activities is inadequate, consider adding space, if the site allows. Or, if the site is too tight, convert program space in another area that is easily accessible to residential areas. As stated previously, dormitories can be converted to multi-purpose rooms, libraries, and so forth. Another alternative calls for management rather than construction. Programs can be sequenced more efficiently using an existing program area more intensively (for example, twelve hours per day instead of eight).

Examples of Renovations and Additions



Riverside County Jail, California

Problem

Crowded cells; as little as 13 sq. ft. per person. Too many inmates per cell.

Solution

As an interim solution, public defenders vacated adjoining space within same building. Offices were gutted, women's unit built with single cells, dayrooms, control station, visiting rooms, medical exam room, showers.

Lack of detoxification unit.

Part of existing residential area became detoxification unit.

Too few fire exits.

Added fire exits.

San Luis Obispo County Jail, California

Problem

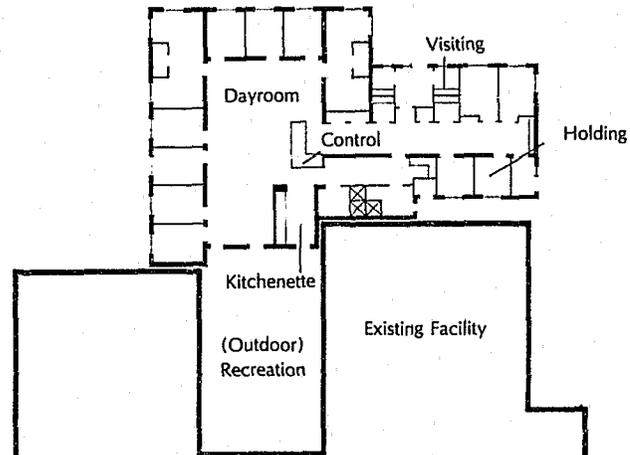
The jail, including the women's and medical units were overcrowded. During intake, women were verbally abused by male inmates.

Using the same recreation area for men and women caused scheduling and access problems.

Proposed Solution

Added a self-contained larger, female unit which has its own intake area. Converted former women's unit to medical unit.

New unit was placed so that a seldom used partially enclosed courtyard became a recreation area. It is accessible from the women's dayroom.



Hennepin County Jail

Problem

At 54 sq. ft., single cells were too small, but defined by service and concrete walls.

Lack of hot water in cells.

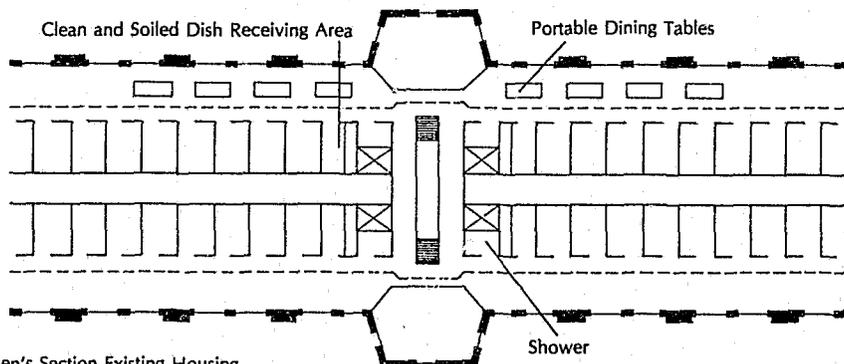
Distant and unsuitable dining space (in gym).

Proposed Solution

Too expensive to create larger cells; replacement facility planned for future.

Added hot water.

Moved dining to dayrooms; converted one cell per residential unit to food dispensing and receiving room.



Men's Section Existing Housing
Short Term Recommendations

Adapted from National Clearinghouse For Criminal Justice Planning And Architecture, Hennepin County Corrections Plan.

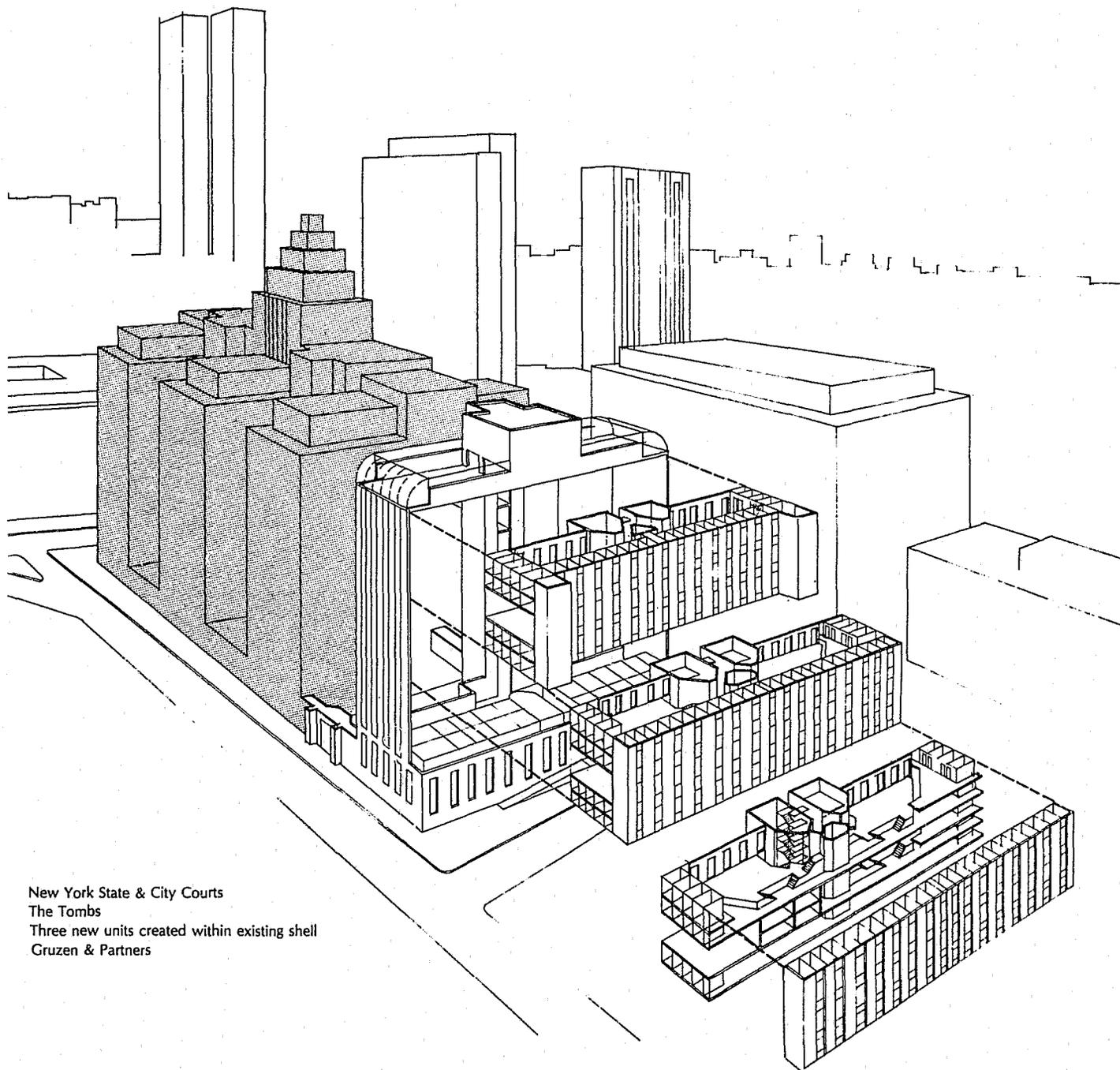
Manhattan House of Detention for Men (The Tombs), New York

Problem

Very large and institutional facility. No spaces for small groups and few activity spaces.

Proposed Solution

Gutted interior, removed some floors. Designed split-level residential areas with single cells along perimeter and activity and dining areas for small groups, plus staff stations, in center.



New York State & City Courts
The Tombs
Three new units created within existing shell
Gruzen & Partners

El Paso County Jail, Texas

Problem

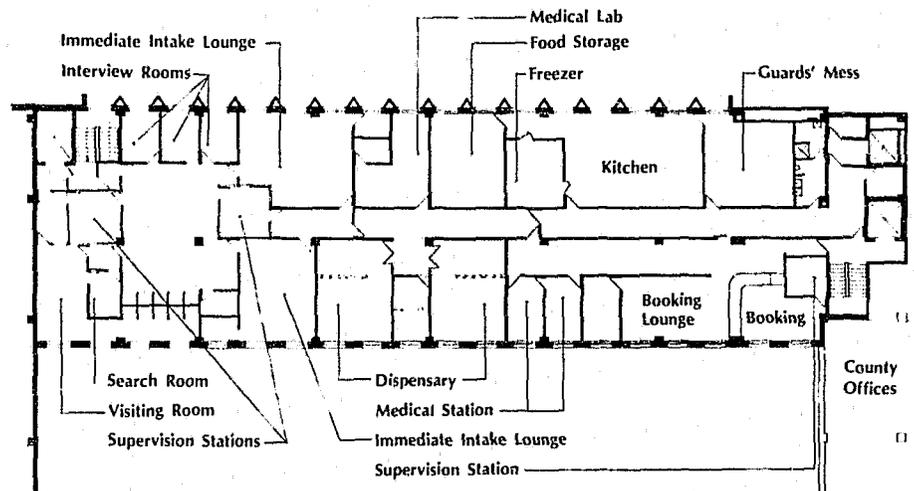
Most housing was in dorms, each with approximately 26 beds.

Intake functions were isolated from each other and their spaces insufficient. Intake population consisted of large numbers of low security risk people for less than six hours.

Proposed Solution

Created residential units with about 14 single rooms, dayroom/dining room and visiting room.

Relocated booking, holding, and medical exam to one location. Planned informal intake lounges.



From: National Clearinghouse for Criminal Justice Planning and Architecture, *El Paso County Corrections Plan*.

Conclusion

There are many options for correctional facility development. In assessing potential solutions to your county's facility needs, consider the range of possibilities before deciding on how to proceed. If new construction is anticipated, be sure that plans for existing facilities (including, perhaps, decommissioning or demolition) are formulated.

One "option" deserves special consideration. The next chapter covers the possibility of sharing or consolidating facilities with another jurisdiction.

Figure 4.3-1: Facility Options Checklist

Complete this form for each reasonable facility option.

Option: _____

Focal Concern	Positive Attributes of this Option	Negative Attributes of this Option
Building Soundness and Adaptability	_____ _____	_____ _____
Fire and Life Safety	_____ _____	_____ _____
Security and Safety	_____ _____	_____ _____
Separation	_____ _____	_____ _____
Scale	_____ _____	_____ _____
Comfort and Humane Conditions	_____ _____	_____ _____
Appropriate and Adequate Spaces for Programs, Services	_____ _____	_____ _____
Sanitation	_____ _____	_____ _____
Efficiency	_____ _____	_____ _____
Other concerns— indicate _____	_____ _____	_____ _____
_____	_____ _____	_____ _____
_____	_____ _____	_____ _____
Ramifications of the Change	_____ _____	_____ _____
Summary	_____ _____ _____ _____	_____ _____ _____ _____

References

American Institute of Architects. **1980 Architecture for Justice Exhibition Directory**, Washington, D.C.: American Institute of Architects, 1980. This annual publication illustrates and briefly describes selected current designs.

National Clearinghouse for Criminal Justice Planning and Architecture. **Cellhouse Renovation Potentials**, Clearinghouse Transfer No. 8, Urbana, IL: University of Illinois, 1976. This and the following two references describe and illustrate possible and actual jail renovations.

National Clearinghouse for Criminal Justice Planning and Architecture. **Jackson County, Kansas City, Missouri: A Model Health Care Unit**, Clearinghouse Transfer No. 3, Urbana, IL: University of Illinois, 1976.

National Clearinghouse for Criminal Justice Planning and Architecture. **St. Louis County, Clayton, Missouri, Intake Service Center**, Clearinghouse Transfer No. 6, Urbana, IL: University of Illinois, June, 1976.

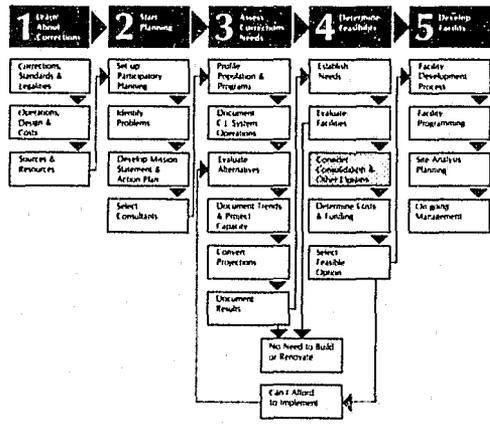
National Clearinghouse for Criminal Justice Planning and Architecture. **El Paso County Corrections Plan**, Urbana, IL: University of Illinois, 1975. This plan, similar in scope to the three that follow, includes an analysis of the corrections system, inmate characteristics, future population needs, and recommendations.

National Clearinghouse for Criminal Justice Planning and Architecture. **Harris County Corrections Plan**, Urbana, IL: University of Illinois, (no date).

National Clearinghouse for Criminal Justice Planning and Architecture. **Hennepin County Corrections Plan**, Urbana, IL: University of Illinois, 1977.

National Clearinghouse for Criminal Justice Planning and Architecture. **Ocean County Corrections Plan**, Urbana, IL: University of Illinois, (no date).

4.4 Step 4: Consider Consolidating Correctional Facilities



Who Will Use This Chapter

Primary Users

- Project Manager
- Planning Team
- Facility Consolidation Task Force

Secondary Users

- Advisory Committee
- Board of Supervisors
- Affected Agencies and Departments

Facility Consolidation Task Force

If consolidation appears to have some merit, a task force should be formed to study the question. It should include representatives of each jurisdiction which might be involved, such as county supervisors, city or town council members, and county and/or city attorneys. The sheriff or other law enforcement agency representatives may also be involved, but, for obvious reasons, representatives of corrections-related agencies which might be abolished because of a consolidation should not be involved at this stage. If consolidation appears likely, care should be taken to coordinate data gathering and analysis as well as feasibility study efforts between the jurisdictions—you may even wish to combine efforts from the outset.

Introduction

More and more communities are seriously considering consolidating their correctional facilities. This emerging trend follows closely on the heels of increasing demands to upgrade or replace antiquated facilities, more difficulty by smaller communities to hire and retain qualified personnel, increasing constitutional requirements for more and better services and programs, and significantly higher costs to build and maintain these facilities and services.

This chapter is designed to assist communities considering mergers to properly plan and implement such systems. Key aspects of this chapter describe the subjects that should be examined when studying the feasibility of consolidation, the legal basis for joint operation of facilities, financing of consolidated systems, and administering the jail.

Before examining these subjects, however, let us first define what a consolidated correctional facility is and show why some communities use them. In this manner, you may be able to assess whether your community should consider consolidating with a neighbor(s) for all or part of your correctional facility needs.

Types of Consolidated Jails

The regional, multijurisdictional, multicounty or consolidated jail is "a facility with a joint agreement by two or more units of governments to organize, administer, and operate a jail facility(ies) to be used exclusively by participating governments for all pretrial and sentenced inmates." (Price and Newman)

Within this definition, several types of organizational arrangements are possible. Full consolidation would involve sharing one or more facilities which jointly accommodate all detainees. Alternatively, jurisdictions may maintain separate pretrial (or sentenced) facilities. The lowest degree of sharing is where one jurisdiction controls all operations while accepting certain inmates from another jurisdiction on a fee-for-service basis.

The range of merger options is quite extensive. You may consider a merger for housing a special inmate population group such as females, or to provide a special program, such as work release. Or, you may be looking to better utilize a facility that is underpopulated or better suited to a different security level than it currently houses. The consolidation may involve another community, a city, a county, or another jurisdiction in the same community, a city-county, or several city jurisdictions.

Figure 4.4-1:
Possible Compositions of Consolidated Jails

	City or County A's Facility	Regional Facility	City or County B's Facility
No consolidation	○ ●		● ○
Complete Consolidation		○ ● ● ○	
Sentenced Only	○	● ●	○
Partial Consolidation	◐ ◑	◐ ◑ ○	●

Key: ○ = Pretrial Inmates
● = Sentenced Inmates

The Impetus to Consolidate

In many cases, communities consider consolidating their facilities either because funding is available from federal or state sources or because day-to-day use is so light that a single jurisdiction operating its own facility is uneconomical (Price and Newman). Yet, other factors may certainly contribute to a community's decision to consolidate.

Current mandates from the courts, prisoner rights groups, professional coalitions for jail reform, and others call for changes in the design and operation of correctional facilities (See Chapter 1.3 on legal issues). Most significant among these mandates are the introduction of health care provisions and the requirement to deliver separate services to those awaiting trial and those serving sentences.

The provision of such specialized services is expensive, not only in terms of building costs, but in equipment and staffing. To provide them for special populations such as maximum security inmates or to isolate male from female or sentenced from pretrial inmates in service, program and residential areas further escalates the costs.

Small, Rural Communities

Consider, for example, the problems of a small or rural community whose resources are limited and whose inmate population is also small, but varies considerably throughout the year. First, facilities built to comply with regulations are often under-utilized (for instance, medical examination rooms). Second, staff for these special functions (medical, counseling, and others) may not be readily available in the area. However, bringing in someone to fill such positions is not justified because of limited demand. Third, flexibility in the utilization of a particular type of space is limited because of requirements for housing certain special populations (such as maximum security, female, or work-release prisoners).

Because of problems such as these, the National Advisory Commission on Criminal Justice Standards and Goals stated that "A regionalized service delivery system should be developed for service areas that are sparsely populated and include a number of cities, towns, or villages. Such a system may be city-county or multi-county in composi-

tion and scope . . ." (Standard 9.1.1). Some small jurisdictions have even found that, by combining their requirements, a smaller total capacity could serve their needs. This is mainly due to reduced allowances for peak periods.

Other Conditions Indicating Consolidation

However, a consolidation approach is not limited to small or rural communities nor called for only because of increased mandates or fiscal belt-tightening. Other conditions may exist that would influence a community to consider consolidation regardless of size or location. These include the following:

- Crises or problems (for example, financial or manpower shortages, union pressures, charges of racial discrimination or corruption) that raise questions regarding the desirability and/or ability of the current single-jurisdiction system to meet future community needs.
- The existence of and confidence in a nearby provider agency, be it a public agency or a community resource with services attainable through coordination rather than competition.
- A history of interjurisdictional cooperation which serves as a precedent for merger.
- Desired detachment from local administrative efforts such as the maintenance of personnel and payroll, or from the recruiting, training and retraining of personnel.

Reasons to Consolidate

In all, your community should consider the possibility of consolidating with other jurisdictions for one or more of the following reasons:

- If consolidation would mitigate conditions which limit or reduce the effectiveness of correctional services, such as jurisdictional overlap, disputes, jealousies, or competition for either public or private resources.
- If consolidation would permit a broader range and level of programs and services than is financially possible through small independent facilities and operations (for example, work release, psychiatric care, juvenile detention).
- If consolidation would result in higher quality personnel or services through better training, supervision, organization and working conditions.
- If consolidation would tend to reduce per-inmate costs or would result in the provision of more or better quality programs and facilities for the same dollar invested.
- If consolidation would mitigate conditions which do not comply with various court decisions and applicable statutes.

Formally Assess the Feasibility of Consolidation

Decisions to consolidate should be based on careful planning and study, not on a general review of needs by local correctional facility administrators. The latter route may too easily lead to system financing problems such as one jurisdiction going "bankrupt" from poor financial planning or discrepancies in expected services and programs such as misunderstandings as to what programs or what capacity the consolidated facility is either intended or able to provide.

At the minimum, the task force considering consolidation should:

- List correctional services which are currently required by applicable statutes or court decisions in the area(s) to be served.
- List additional services which are necessary to comply with your jurisdiction's goals and philosophy.
- List present deficiencies in the delivery of required correctional services.
- Analyze the contribution of consolidation to alleviating those deficiencies.
- Outline the possible formal relationships between the participating governmental bodies.
- Invite representatives of the candidate agencies to discuss consolidation plans (if they are not already involved).
- Develop and consider a formal plan before committing the jurisdiction to any long-range course of action.

In some cases, a relatively quick, informal study is sufficient—especially if it is the intention to contract on a fee-for-services basis for minimal services. However, a more formal study can be beneficial for several other reasons:

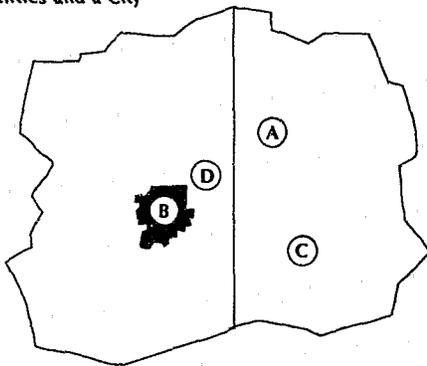
- A formal study can thoroughly assess the benefits and costs of consolidation.
- If a merger is found to be feasible, the resulting information can be useful in promoting implementation, since the documentation offers an objective assessment of available alternatives.
- Such planning also produces baseline data necessary for subsequent monitoring and evaluation.

A formal study should not only include the full data collection and analysis process discussed in Handbook Three, but additional information on issues of compatibility between jurisdictions and the specific impacts of consolidation on other components of the criminal justice system in each jurisdiction. Because the data should be collected and analyzed in all jurisdictions involved, it is best to coordinate all efforts as early in the process as possible, even if a single jurisdiction's independent survey first proposes the consolidation option.

The differences, therefore, between studying the feasibility of any option and that of consolidation involve coordination between jurisdictions and additional attention to a few critical issues. These issues include facility location, financing, jail administration, management and staffing standards and procedures, and the legality of consolidation. Each of these issues is briefly addressed in the following sections.

Location

Figure 4.4-2:
Possible Locations For a Facility Shared By Two
Counties and a City



The location of consolidated facilities can be beneficial or costly to a jurisdiction. Benefits might include proximity to better community services (such as health-care or work release jobs), qualified personnel (such as psychiatrists), or major components of the criminal justice system (such as courts).

On the other hand, a specific location can cause increased transportation costs and times for a remotely located participating jurisdiction. These costs would result from issues such as long distances to transport detainees for court appearances and taking personnel and equipment away from patrols and other police duties for extended periods of time.

A remote location can also mean inconvenience and added costs to follow-up investigations for the jurisdictions as well as for private attorneys, family and friends who must travel longer distances for visits. A distant location may also affect community attitudes and inmate behavior if accessibility to the facility for visits and services is hampered.

Therefore, consolidation functions best when central sites can be found which are relatively close to the population and administrative centers of participating jurisdictions.

Financing a Consolidated System

There are two choices for financing consolidated services: pro rata and fee-for-services. The pro rata method allocates a predetermined percentage of the annual operating budget to each participating jurisdiction. The fee-for-services arrangement entails payment of a pre-established per diem charge to the receiving institution based upon the number of inmates housed.

The pro rata arrangement tends to encourage a fuller regional commitment, while participating jurisdictions tend to operate more as consumers in the fee-for-services arrangement. However, in California the latter has proven easier to implement.

Administering a Consolidated Jail

Three basic models of jail administration are used in consolidated correctional institutions:

- Administration by the sheriff or chief of police.
- Administration by civilians.
- Either or both of the above with a joint powers board.

The first model is used by about 75 percent of all jails in the U.S., although a civilian jail administrator or director administering with the advice or consent of the joint powers board may be more common in a regional arrangement (Price and Newman).

Generally, the joint powers board consists of elected officials who are responsible for policy formulation, budget development, fiscal control, and/or direct jail operation. Such boards, especially in pro rata arrangements, can help ensure participating jurisdictions a means of control. In general, they help maintain the necessary coordination and on-going working relationship between jurisdictions. The director, in most cases, is responsible for day-to-day operations and, though advised or directed by the board, is ultimately responsible to a sheriff. It is possible, however, to operate the jail directly through the sheriff without a director.

Regardless of the administrative structure chosen, it will probably alter the organizational structure of all or some of the correctional agencies in each jurisdiction. This means changes in the power and authority of some individuals, perhaps even their jobs. Therefore, such "turf" issues must be handled with sensitivity and prudence to avoid alienating participants and to ensure fair allocation of control.

Management, Staffing and Equipment Compatibility

The current compatibility or the cost to make compatible records, procedures, salaries, benefits, and equipment (from radios to word processors) are important considerations when assessing the feasibility of consolidation. Varying management procedures may require retraining of staff. You may have to balance salary and benefit differences if staff are merged from several locations. Equipment for basic operations, communications, personnel and offices may be needed, may need to be made interactive, or may need to be salvaged.

The Legal Basis for Joint Operation of Facilities

The consolidation of correctional facilities is aided in California because state legislation facilitates interlocal cooperation agreements (Advisory Commission on Intergovernmental Relations). Thus, consolidation must be sanctioned only at the local level by ordinance, resolution or local referendum.

Ordinances or resolutions are the simpler and more common approach, requiring action only by legislative councils (Board of Supervisors or City Council) of participating local governments. Usually such ordinances or resolutions articulate the need for consolidation and serve to officially approve a previously negotiated contract.

The time-consuming local referendum is bypassed by this approach and the action can generally be revoked easily if the arrangement proves unsatisfactory. Public hearings are recommended before such action occurs to air and resolve conflict or opposition, particularly in relation to location.

The use of a referendum to mandate consolidation is a much more involved process—similar to a political campaign. Usually passage of a referendum requires affirmation by either a majority of all voters or a majority of all voters in each participating locality.

Comparing the Advantages and Disadvantages of Consolidation

The advantages and disadvantages of consolidating correctional systems must be considered in order to make an informed decision. Essentially, the test is to compare a proposed consolidated system to another system—consolidated or not.

One such method of comparison is the cost-benefit analysis. Compare the ratio of costs to benefits for one option to the ratios for other options. The objective is for benefits to outweigh costs as much as possible. A cost/benefit ratio greater than one indicates the feasibility of an option. Values less than one can also be used to compare the effectiveness of options.

A final decision should not be based solely on a cost-benefit analysis. While many costs and benefits are clear (construction, operations, and so forth), others are not so easily assessed. For example, how do you assess the costs of a family traveling a long distance to visit a detainee? To the extent that such intangible costs and benefits are estimated, the analysis becomes more sophisticated, but potentially less objective. Thus, judgement is needed to interpret the value of intangibles.

Facility Consolidation Checklist

The following checklist summarizes the issues which should be considered in assessing the consolidation option.

Figure 4.4-3: Consolidation Checklist

<p>Impact on Jurisdictions and the Justice System?</p> <ul style="list-style-type: none"> • Time and transportation costs to the system, staff and visitors. • Re-use of vacated facilities. • Access to community services and programs. • Availability of qualified personnel.
<p>How Will the Consolidation Be Financed?</p> <ul style="list-style-type: none"> • Availability of outside funds. • Type of financing (fee-for-services, pro rata). • Type of service to be bought or sold. • Control over or through financing (by participating jurisdictions).
<p>How Will the Consolidated Jail Be Administered?</p> <ul style="list-style-type: none"> • Type of administration. • Degree of participation/control by each jurisdiction. • Effects on power and authority—"turf."
<p>Compatibility of Systems Being Merged?</p> <ul style="list-style-type: none"> • Job classifications and descriptions. • Salaries, benefits, etc. • Record keeping. • Training, manuals, etc.
<p>Compatibility of Equipment?</p> <ul style="list-style-type: none"> • Operations equipment (cameras, fingerprinting kits, medical). • Vehicles. • Communications equipment (radios, teletype). • Personal equipment (uniforms, leathers). • Office equipment (furniture, typewriters, reproduction).
<p>Public and Political Acceptability?</p> <ul style="list-style-type: none"> • Current relationships between jurisdictions. • Attitudes about correctional services. • Attitudes about consolidation. • Elected officials. • Sheriff, Chief of Police, corrections administrators. • Press and media. • Community groups. • Prisoners and families

Summary and Conclusion

Correctional facility consolidation is not a cure-all for correctional problems. Consolidation, however, may represent a viable option which warrants your consideration if it can do the following:

- Improve the overall effectiveness of correctional services.
- Permit more or better quality programs.
- Provide better quality personnel.
- Reduce cost per inmate.

Regardless of the type of consolidation, formally plan and study the feasibility of such a move. The study must involve all the jurisdictions considering participation to properly assess the needs, commitments, and resources of each.

Once the study is completed and alternatives are explored, the contract or agreement should be negotiated and ratification sought in the local jurisdictions. Negotiations

should cover administrative and budgeting arrangements for building, maintaining, and operating the facility. Funding may be on a pro rata or fee-for-services basis. Administration options include management by a sheriff or civilian director and/or a board. The agreement should insure the proper balance of control for each jurisdiction.

References

Advisory Commission on Intergovernmental Relations. **A Handbook For Interlocal Agreements And Contracts**, Washington, D.C.: USGPO, 1967 (out of print).

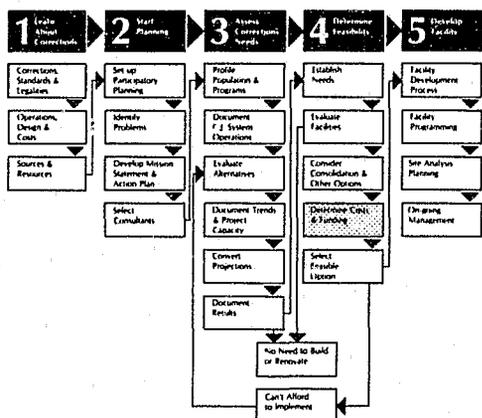
Gressman, Wendy. **Multi-County Correctional Facilities**, National Association of Counties Research Foundation: Factsheet, May, 1977. Brief description of three multi-county correctional facilities.

National Advisory Commission on Criminal Justice Standards and Goals, **Corrections**, Washington, D.C.: USGPO, 1973. Suggestions for improvements in the delivery of correctional services.

National Sheriffs' Association. **Jail Architecture**, Washington, D.C., 1975. A summary of pre-design considerations and architectural guidelines for the comprehensive planning of jails.

Price, Barbara R. and Newman, Charles L. **Multijurisdictional and State Jails: A Study in Organization and Management**, a report to the National Institute of Corrections, (unpublished monograph), University Park, PA, 1979. Results of a nationwide study comparing the organization and management structures of multijurisdictional (consolidated) and state jails.

4.5 Step 5: Calculate Construction and Operating Costs



Who Will Use This Chapter

Primary Users

Project Manager
Planning Team
Cost Estimator
Administrative Analyst

Secondary Users

Advisory Committee
Board of Supervisors

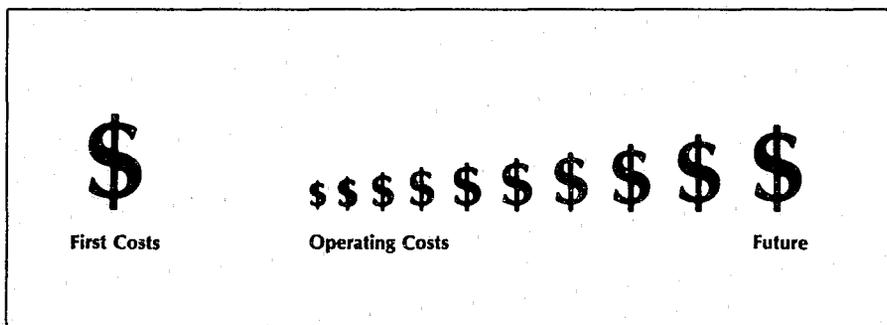
Introduction

The cost analysis will be one of the most crucial parts of the feasibility study since it will delineate the relative affordability of various alternative project options.

Several cost categories need to be understood and estimated during jail planning:

- **First costs;** or project costs, including construction.
- **Operating costs:** recurrent costs associated with running the facility.
- **Life cycle costs:** first costs plus operating costs, considered over the economic life of the building.

Figure 4.5-1: Relative Costs



To properly compare first costs with operating costs of a proposed correctional facility, it is necessary to consider life cycle costs over about 30 years.

These types of costs are discussed in detail in Chapter 1.4. This chapter tells how to estimate and limit the three types of costs for your project.

How to Estimate First Costs

First costs for corrections facilities vary considerably, depending on the required security level, the cost of building in different regions within the state, the size or capacity of the facility, the kinds of building systems and finishes used, and the type of construction (steel frame, pre-fabricated, concrete block, poured in place or pre-cast concrete) and other variables. In addition, the date of bidding and construction will determine the amount of inflation over costs specified in this chapter.

Several regularly published construction cost estimates for various facility types are available from companies serving the construction industry (for example, the Dodge Building Index). These provide a valuable source of information about per square foot construction costs for comparable facilities and allow you to adapt the costs to your region and date of construction.

A five step formula for estimating the first costs of a new facility is presented here.

Step 1: Determine Current Per Square Foot Construction Costs. Determine the current construction cost per square foot for this type of correctional facility. This may be done by surveying other recent local projects and then adjusting for inflation to a current cost or by consulting an estimating publication or service.

Current per square foot (SF) construction cost = \$_____ per SF.

Step 2: Record the Total Gross Area of the Facility. Record the total gross area of the facility as determined in Chapter 3.1. If a detailed estimate of space needs is not available, you may estimate from 350 to 450 square feet per inmate bed for a rough idea of space for a detention facility.

Total facility area (gross square feet) = _____ gross SF.

(Or number of beds (capacity) _____ (times) about 400 SF/bed = _____ gross SF.)

Step 3: Calculate Current Total Construction Cost. Multiply the cost per square foot by the size in square feet to determine the current construction cost (CCC).

Current construction cost (CCC) = cost per SF (\$) _____ (times) total area _____ (SF) = \$_____.

Step 4: Adjust Construction Cost for Inflation. To gain a more realistic picture of the likely construction cost of your jail when it goes out to bid, the construction cost estimate must be adjusted to include inflation. This has run from 1 to 1.5 percent per month in recent years. Since the construction contractor will estimate costs over the period of construction, identify the number of months from the time of the estimate to the mid-point of construction.

Months to mid-point of construction = _____ months.

Assumed inflation rate = _____% per month.

Inflation factor = _____ months (times) inflation rate _____%/mo. (times) 100 = _____.

Inflated construction cost (ICC) = inflation factor 1. _____ (times) current construction cost (CCC) \$_____ = \$_____.

Step 5: Calculate Total First Costs. Total first costs include the following in addition to construction:

- Professional fees, ranging from 6 to 8.5 percent of construction.
- Testing and expenses including printing documents and advertising bids. About 1 to 1.5 percent.
- Furnishings and moveable equipment. Depending on how much and what quality, about 8 to 15 percent.
- Administrative costs (project representative, legal, accounting), about 1 percent. (These may be absorbed as general overhead rather than being assigned to the project.)
- Site acquisition. Depends on actual cost.
- Site development including parking, landscaping, lights, fences, and signage. Ranges from 5 to 15 percent or more, depending on slopes, soils and number of cars.

- Contingency. Allow 5 to 15 percent, depending on how far planning and design have progressed and how many unknowns can be identified (the further the progress, the lower the contingency allowance).

(Note: these percentages are adapted from Peña, 1977.)

To develop the total first cost of the project, assumptions are made about the range of each of these line items and all except site acquisition are multiplied times the inflated construction cost (ICC). This process is illustrated in the example which follows.

Correctional Facility Construction Cost Estimation: An Example

This example of the use of the construction cost formula is developed for a county which is about to start architectural design on a 300 bed jail. The site is county-owned land that is essentially flat and has all needed utilities.

Step 1. Look up cost per SF = **\$125 per SF** (from Dodge Index for the county's region).

Step 2. Estimate facility size (from Chapter 4.1) = **120,000 gross SF** (about 400 square feet per bed).

Step 3. Calculate current construction cost. \$125 per square foot (times) 120,000 square feet = **\$15,000,000 current construction cost**.

Step 4. Adjust construction cost for inflation. Assume construction will start in 12 months and last 36 months (mid-point of construction is 24 months from now). Assume 1 percent per month inflation. Inflation factor = 24 months (times) 1 percent (times) 100 = 1.24. Multiply current construction cost (times) 1.24 to obtain inflated construction cost = **\$18,600,000**.

Step 5. Add other first costs:

Professional fees (7%): **\$1,302,000**.

Testing and expenses (1%): **\$186,000**.

Furnishings and movable equipment (8%): **\$1,488,000**.

Administrative costs (0.2%): **\$37,000**.

Site acquisition (no cost): **\$000**.

Site development:

Parking (80 cars on grade at \$1,000 each): **\$80,000**.

Other (2%): **\$372,000**.

Contingency (10%): **\$1,860,000**.

Total added costs: **\$5,325,000**.

TOTAL FIRST COSTS: \$23,925,000.

The results is a rather high total per bed cost of \$79,750 at the assumed future date (if all the contingency is used).

This kind of estimate is, of course, very rough and must be refined when the precise facility size, site and type of construction are known. It will, however, allow planners to develop an early cost figure to help determine feasibility and to compare alternatives. At a later stage, detailed "take offs" will be done from the plans to develop a more accurate estimate. It is important to remember, however, that the actual cost will only be known when you receive a firm bid for construction and a contractor commits to that price. And even then, the final cost is subject to changes during construction.

Strategies for Limiting First Costs

If you wish to limit or reduce first costs, it makes sense to focus attention upon the components that contribute the most to those costs. These components will reflect the most significant differences when adjusted up or down.

Probably the most obvious potential way to cut costs is to reduce the capacity of the facility. We stated in Chapter 1.4 that per bed first costs are currently as high as \$60,000. While each eliminated bed will not necessarily save this amount, the reduction can be substantial. This is because when subtracting a single cell, you achieve only a "marginal" reduction in cost—less than its full proportion of the total first cost—because taking out one cell will not allow proportionate reduction of shared systems and spaces. Thus, the first cost to build **one more** or less cell or room will be less than the overall per bed cost. If a number of cells are removed, reduction may indeed become proportional.

Another area for scrutiny is the overall provision of space and facilities. The figure of 350 to 450 square feet per bed is merely a rule of thumb. Some savings may be affected by reducing areas other than the residential space (such as administrative or program areas) or designing areas so that they serve dual purposes. Further reductions in first costs may be realized by any of the following strategies:

- Reduce security provisions for inmates who do not require them. (Special glazing, hardware and fixtures are very expensive.)
- Reduce dependency upon expensive mechanical and electrical systems.
- Utilize readily available building materials to avoid costs of transport and delays.
- Choose an easily buildable site requiring minimal site work.
- Reduce associated costs of interest and inflation during construction by using a "fast track" or phased construction process which may shorten time to completion.

Most important with any of these strategies is the ability to identify problems and solutions as early as possible. Possible costly delays may be avoided if a problem is identified before it takes its toll. The use of preliminary cost estimates, critical path scheduling methods, testing of materials, and gauging of the project against established standards for size or costs may help identify problems before they delay the project.

How to Estimate Operating Costs

In the early planning stages, operating cost estimates are even rougher than those for first costs. More accurate estimates can not be determined until numbers of staff, types of services, and many other factors are known. It is possible, however, to derive a "guesstimate" of the cost of operating the facility. To do this, you will need the following kinds of information:

- **Average Annual Corrections Personnel Costs.** A survey sponsored by the National Institute of Corrections (Center For Justice Planning, 1980) found a national average of \$17,492 salary and \$2,045 fringe benefits (12% of salary), for a total of \$19,537. Personnel costs accounted for about 70% of operating costs. Since these costs vary among counties, calculate your county's current average personnel costs for jail staff.
- **Future Staffing and Bed Capacity Estimates.** These may be taken from the estimates done in Chapter 3.6. National survey figures showed an overall average of one staff position per 1.98 inmates (or one security staff position per 3.11 inmates). On a per bed basis, the survey found an average staff cost of about \$28.00 per day.
- **Annual Inmate Support Cost Per Bed.** This includes the cost of food, laundry, medical care, and so forth. Survey results showed an average cost of about \$4.00 per day for each bed (times 365 days equals \$1,460 annual cost per bed). Thus, inmate support costs accounted for about 10% of operating costs.
- **Annual Plant Maintenance and Operations Costs Per Bed.** These averaged about \$8.00 per day per inmate. Multiplying them times 365 derives an annual cost of \$2,920 per bed. This accounts for about 20% of operating costs.

Total operating costs were found to be in the range of \$40.00 per bed per day. The following sections show you how to make a more accurate projection of operating costs in either of two ways. Method One develops operating costs for a single year, while Method Two estimates the total operating cost of the facility over its life.

Method One: Estimate Single Year Operating Costs

This method uses staffing and bed capacity estimates for the projected year ("n") of the analysis to determine estimated operating costs for that year. The formula involves determining the costs for future operations in current dollars (Task 1) and then adjusting that figure for inflation (Task 2).

Task 1: Project Operating Costs in Current Dollars

Current dollar operating costs for year "n"

(equals)

Staff costs (number of staff projected for year "n" times current average personnel costs per staff)

(plus)

Inmate support costs (bed capacity for year "n" times current average annual per bed inmate support costs)

(plus)

Maintenance and utility costs (bed capacity for year "n" times current average annual per bed maintenance and utility costs).

Task 2: Adjust Operating Costs for Inflation

Select an estimated annual inflation rate from now until the projection year ("i" percent) and use the following formula to adjust estimated operating costs for inflation.

Inflated operating costs for year "n"

(equals)

Current dollar estimated operating costs

(times)

The sum of (1 plus "i") to the "n"th power.

Example of Task 2. Assuming estimated current dollar operating costs at the twentieth year of \$250,000 and an average 6% annual inflation rate, inflated operating costs at the 20th year are calculated as follows:

Inflated 20th Year Operating Costs

(equals)

\$250,000 times (1.06) to the 20th power, or

\$801,783

Method Two: Estimate Total Period Operating Costs

This method uses average staffing and bed capacity estimates for the period of the analysis to determine total estimated operating costs over that period. The formula involves projecting the average number of staff and bed capacity (Task 1), determining the average annual cost of future operations in current dollars (Task 2) and projecting an inflated total operating cost for the period (Task 3).

Task 1: Develop Average Staffing and Bed Capacity Estimates

Example: Begin with 40 staff and 125 beds. Project that with steady growth in 30 years there will be 80 staff and 250 beds.

Average number of staff = 40 plus 80 divided by 2 = 60

Average Bed Capacity = 125 plus 250 divided by 2 = 188

Task 2: Calculate the Average Annual Operating Cost in Current Dollars

First, multiply average number of staff times average annual personnel cost. Then, multiply average bed capacity times annual prisoner support cost per bed. Finally, multiply average bed capacity times annual plant maintenance and utility cost per bed. The sum of these three figures is the average annual operating cost in current dollars.

Task 3: Compute Total Inflated Operating Costs

To compute the total inflated operating costs over the period under consideration, use the following formula, where "n" is the total number of years in the period and "i" is the assumed average annual inflation rate.

Total inflated operating costs

(equals)

Average annual operating cost

(times)

[(1 plus i%) to the nth power] (minus) 1

(divided by) i%

Example: Assume an average annual operating cost of \$250,000 with an average of 6% annual inflation for a 30 year life cycle.

Total inflated operating costs =

\$250,000

(times)

[(1 plus 6%) to the 30th power] (minus) 1

(divided by) 6%

or

\$250,00 (times) [1.06 to the 30th power (minus 1)] (divided by) .06
(equals)

\$250,000 times 79.06

or

\$19,760,000

This figure represents the total 30 year operating cost at a compound annual inflation rate of 6%.

Strategies for Limiting Operating Costs

Suggestions for limiting operating costs include the following:

- Reduce overall space constructed, thus limiting the building area that must be staffed, heated, lit and maintained.
- Design buildings that are efficient to staff.
- Design buildings that are energy efficient (perhaps exploring alternative energy sources or solar applications) thus reducing dependency upon expensive fuel sources.
- Utilize mechanical systems that are low in maintenance and repair costs (for example, passive rather than active solar).
- Use of quality building materials which will last longer.

To compare the savings in operating costs to costs or savings in first costs, both must be considered on an annual basis over the life of the building. This comparison is discussed in the next section.

How to Estimate Life Cycle Costs

Life cycle costing can provide information in two important areas. First, it can give an economic assessment of design and program alternatives. It provides a means for choosing among various program and facility options by measuring costs of operation and ownership. Second, it can give an overview of those costs on an annual basis. This may be used as a budgeting and operating tool by corrections and fiscal personnel.

Detailed life cycle costing may be performed by your county or its consultants during facility design. You can, however, use a simplified life cycle cost analysis to compare the effects of alternative building and program strategies.

To examine life cycle costs for various options, you must first calculate total life cycle operating costs for each option using Method Two (above). To these will be added estimated first costs of construction for each building type included in the options. If funds are to be borrowed for first costs, financing charges must also be added (this is not shown here).

Example: Assuming per bed costs of \$50,000 for detention space and per square foot costs of \$50/SF for program and office space, examine the relative costs of a 250 bed jail versus a 150 bed jail supplemented by programs for 100 people.

Figure 4.5-2: Example of Life Cycle Cost Comparison

	250 Bed Jail	150 Bed Jail (J) 100 Person Programs (P)
First Cost Estimates (build jail and/or program space)	\$12,500,000	\$7,500,000 (J) 500,000 (P)
Total Operating Costs (30 years)	125,000,000	75,000,000 (J) 25,000,000 (P)
Total Life Cycle Cost (30 yrs)	137,500,000	108,000,000
(divided by 30 =) Equivalent Uniform Annual Cost (30 Years)	4,583,333	3,600,000

Summary and Conclusion

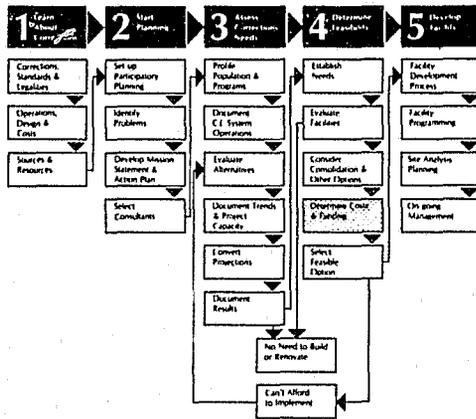
It is easy to see that the costs of building and operating jails are quite high. Your county should have a firm idea of what type of financial commitment it is making when deciding to build—and operate—a new facility. By using the estimating methods included here, you can develop your own estimate and decide if you need to reduce or expand your plans. The methods for cost reduction will give you more tools to use in limiting the size of your fiscal commitment.

The next chapter will help you explore potential funding sources to finance your project.

References

- Center for Justice Planning. **Costs of a New County Jail: Pay Now and Pay Later**, Champaign, IL, 1980.
- McGraw-Hill Information Systems Company. **Dodge Digest of Building Costs and Specifications**, New York: McGraw-Hill, 1981.
- National Council on Crime and Delinquency. **Prisons: The Price We Pay**, Hackensack, N.J., 1977.
- National Moratorium on Prison Construction. **Jail and Prison Costs**, Washington, D.C., 1975.
- Peña, William M. **Problem Seeking, An Architectural Programming Primer**, Boston, MA: Cahners Books International, Inc., 1977.
- For additional references, see Chapter 1.4.

4.6 Step 6: Pursue Funding Sources and Strategies



Who Will Use This Chapter

Primary Users

Project Manager
 Funding Task Force
 Community Relations Task Force

Secondary Users

Advisory Committee
 Board of Supervisors

Task Forces

Since funding is such an important issue, the county should seriously consider forming a **Funding Task Force** made up of individuals within county government who have backgrounds in finance or politics and community support. The county administrator, tax collector, treasurer and county counsel as well as a member of the Board of Supervisors and Advisory Committee should be considered for inclusion. A **Community Relations Task Force** may also be formed if the Advisory Committee feels that your county will need one.

Introduction

Now that you are aware of the high costs which may be involved in building and operating a jail, this chapter looks at possible funding sources. Tight budgets and high costs are stimulating counties to search for innovative approaches, some of which are described here. Information about other approaches, which may develop over time, can be obtained through the Board of Corrections or the County Supervisors' Association.

Potential Funding Sources

There is a range of possible approaches to funding the renovation or construction of county correctional facilities. Of course, sources may be used singly or in combination. This section reviews traditional and innovative sources while a later section reviews special programs of the state and federal governments for jail or justice facility construction.

General Fund

One funding source is the county general fund capital improvement budget. The origins of these funds traditionally have been property taxes, fees, and others. Some counties may have set aside funds which are—or could be made—available for jail construction. However, due to the effects of voter initiatives to limit county taxing abilities and

increased pressures on county budgets from inflation, few California counties will find the capital improvement budget a practical alternative.

Revenue Sharing

Revenue sharing involves direct grants to the county from the federal government. Amounts are based on county population. While revenue sharing can be used for capital construction, funds available from this source have been shrinking. Furthermore, jail construction must compete with many other uses such as schools, community based organizations, and daily operation of county government. Jail construction could require two to three years' worth of the total revenue sharing funds available to the county.

Special Reserves

Two types of special reserves may be available to counties.

Accumulated Capital Outlay (ACO). Some counties have ACO funds accumulated through special tax rates, which were established prior to voter approval of recent tax limitation initiatives. Since these still collect funds (at greatly reduced rates), they might contribute a relatively small portion of the funds needed for jail construction.

Insurance Revenues. Many counties are presently self-insured for general liability and/or workers' compensation. As reserves grow, it may be possible for these insurance funds to "loan" money to the county building fund, much as private insurance companies invest premiums. Caution must be exercised that potential claims are covered and that sources for paying back the insurance fund are identified.

Bonds

Bonds may or may not provide a feasible funding option for jail construction. While few counties have general fund monies available to retire long-term general obligation bonds, revenue bonds may be a useful approach. Interest rates on these bonds vary according to prevailing market forces and the county's credit rating (which in turn depends on its demonstrated ability to generate revenues to cover the bonds). Counties utilize underwriters to issue revenue bonds. Since the final market interest rate must be negotiated with the underwriter, it is best to contact several and choose one who has established success in this field.

Individual counties may wish to seek special legislation to help generate revenues with which to pay these bonds. This approach has already been used by at least two California counties to fund courthouse construction (see Section 68073.1 of the Government Code) and may be broadened to include all counties.

Tax Anticipation Notes

These are short-term notes which may be available to counties which anticipate an increased tax base in the near future (for example from population growth). While they generally have a higher interest rate than municipal bonds, counties may find tax anticipation notes useful to fund portions of the jail construction project, such as land acquisition or architectural and engineering fees.

Private Funds

Private lending institutions (or other non-government agencies) can finance county construction projects through loans or lease-purchase agreements. High interest, however, would make the total, long-term cost of facilities financed in this manner very expensive.

Possible Sources of Special Grants

Because of concern with the counties' ability to fund adequate correctional facilities, the California Legislature and/or the U.S. Congress may from time to time authorize grant funds for jail or justice facility construction. Should such programs be enacted, counties can expect to receive detailed information from the Board of Corrections and the County Supervisors' Association.

Several programs are currently under consideration which could make considerable funds available to California counties.

California

In 1980, the California Legislature passed Assembly Bill 3245 which the Governor signed into law. This law amended the Penal Code (adding section 6029.1) and created the County Jail Capital Expenditure Fund. It also authorized an appropriation of \$40 million to assist counties in financing needed construction or improvements to jail facilities. Funding policies, procedures and criteria are established by the Board of Corrections.

Federal Government

At the time of writing, there are no federal grant programs to assist counties in financing jail construction. However, you may find funds available for specific portions of the jail by consulting the most recent amendments to the **Catalog of Federal Domestic Assistance** published by the Office of Management and the Budget.

Funding Conclusion

There are no easy answers about how to fund jail construction. While some current and innovative possibilities are outlined here, these programs may or may not offer realistic approaches for your county. By the same measure, new ideas or programs may surface at any time; you may even develop them in your county. When you start your research into funding options, check with the Board of Corrections for an up-date on current possibilities.

Most importantly, your county must plan for the continuing provision of adequate funds to staff and operate the jail during and after this construction project.

Community Relations: Selling the Project

While the professionals and citizens involved in the needs assessment and planning will understand and support the project, you may need to convince the rest of the community. This is particularly true when difficult funding or locational decisions are faced by the sheriff, the supervisors or, especially, in a bond issue election.

Here, the early involvement of community groups, special interest groups and the media should pay off. Where any difficulties of acceptance and support are anticipated, a **Community Relations Task Force** and campaign should be organized. The following considerations may be of help.

- Refer to the chapters on participation, problem identification and action planning (Chapters 2.1, 2.2 and 2.4) for general organizational information.
- Analyze the problem you are facing. Where is support? Where is resistance or opposition?
- What resources (people, organizations, media, events) can you mobilize for support? For example, would your cause be helped by articles in the newspaper or on TV? What about visits to the jail for various groups or the general public?
- Are there recent examples of successful campaigns or bond issues in your county (or close by)? If so, learn how they were organized and see if their techniques or approaches can be adapted to your situation.

Many counties have found that technically sound planning in and of itself does not provide adequate community support to allow resolution of politically difficult site selection or funding issues. Opening your county's planning process to community participation and mounting a concerted and well-organized community relations campaign can make the difference in achieving your new facility.

References

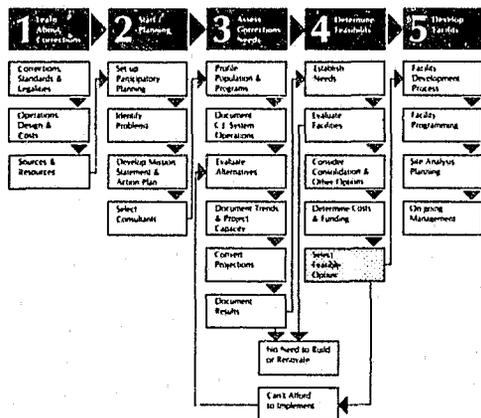
Office of Management and the Budget. **Catalog of Federal Domestic Assistance**, Washington, D.C.: USGPO, published annually.

Pitfalls in Issuing Municipal Bonds from Moody Investors Service, 99 Church Street, New York, NY 10007, 1980.

Resources in Review from Municipal Finance Officers' Association, 1750 K Street, N.W., Washington, D.C. (Telephone: 202-466-2014), published bi-monthly.

State Financial Management Resources Guide from Council of State-Community Affairs, 444 N. Capitol Street, Washington, D.C. 20001 (Telephone 202-624-5850, published annually.

4.7 Step 7: Select the Most Feasible Option



Who Will Use This Chapter

Primary Users

Project Manager
 Planning Team
 Task Forces (?)

Secondary Users

Advisory Committee
 Board of Supervisors

Introduction

This chapter concludes Handbook Four by summarizing all of the considerations which lead to a conclusion as to whether or not a renovation or construction project is **needed** and, if it is needed, which is the **most feasible option** for your county to pursue.

The assessment of the feasibility of various building options will be organized by the project manager who will focus the results of the work of a variety of Planning Team members or task forces. The results of this effort will be a "Feasibility Study" presented to the Advisory Committee for review and to the Board of Supervisors for a final determination about whether or not to proceed.

The following sections provide space in which to review and summarize the various factors which will contribute to the choice among options.

Capacity Needs

What is the total number of jail beds which the county will require now and over the planning period? Refer to "Step 1: Establish the Need For Facilities" (Chapter 4.1) or back to "Step 6: Convert Projections to Capacity and Program Needs" (Chapter 3.6). You may wish to complete separate charts for male and female inmates.

When considering planning targets, be aware that renovated or new facilities which are planned now will not be on line for two to five years.

Options for Facility Development

Review the significant options you came up with for varied facility development approaches (see "Facility Options", Chapter 3.3) and list them below. Include the regional option if you consider it. List below four or more of the **desirable** options, in order of preference with what you consider to be the best one first. Since options may meet both short and long-term requirements, you may wish to explore these separately.

Figure 4.7-3: Facility Development Options

Option	Description
OPTION 1:	
OPTION 2:	
OPTION 3:	
OPTION 4:	
Etc.	

First and Operating Costs of Various Options

Use the techniques presented in Chapter 4.5 to calculate the first (project) and operating costs of the options under consideration. Enter the results below.

Figure 4.7-4: Cost of Facility Options

Option	First Cost (\$)	Operating Cost (\$/yr)
OPTION 1:	\$	\$
OPTION 2:	\$	\$
OPTION 3:	\$	\$
OPTION 4:	\$	\$
Etc.	\$	\$

(Note: Should consider options for various time projection periods.)

Costs and Benefits of Options

Now that the costs of each option are established, what are the benefits? While the economic benefits will probably appear in the assessment of costs, what are the other, non-economic costs and benefits? These may include such issues as the length of time required for implementation, the resulting quality of facilities, the effectiveness of the programs to be offered, the degree of operational disruption, convenience or acceptability to the public, and so forth. List the major non-economic costs and benefits in the chart below.

Figure 4.7-5: Non-Economic Costs and Benefits

Option	Costs	Benefits
OPTION 1:		
OPTION 2:		
OPTION 3:		
OPTION 4:		
Etc.		

Once you have listed these costs and benefits, review with the Planning Team the feasibility analysis as developed to this point. Discuss the needs and the merits of each option. Take the results of this discussion to the Advisory Committee and select the option that appears to provide the best solution for your county, subject to funding considerations.

Potential Funding Sources

Explore the funding sources listed in Chapter 4.6 to determine which, if any, of the desirable options your county can afford. If necessary, begin budgeting the planning and construction costs that will be involved. To determine if funds are available from certain sources, it may be necessary to prepare and submit grant applications. The availability of funds may have a considerable effect on which of the options is chosen.

Feasibility Determination

At the conclusion of the feasibility review, the Planning Team should have a clear idea of which approach will accommodate your county's projected capacity and needed programs. The final selection should be developed with the Advisory Committee and ratified by the Board of Supervisors.

If the most desired option is not achievable, consider scaled down or phased approaches. In addition, alternative programs that were rejected initially may well be more attractive in light of the cost analyses. If that is the case, it may be necessary to "recycle" the capacity projections done in Chapters 3.5 and 3.6, reconsidering the use of various alternatives to incarceration.

If the project proves to be viable, your county will move on to Handbook Five as you become involved in the facility development process.

The participatory planning structure that has been working from the beginning will continue to operate. The project manager will coordinate these steps and the Planning Team will consider information and formulate recommendations to the Board of Supervisors. The Board will offer input and review of policy matters and approval of costs, funding, and contractual actions. The Advisory Committee will continue to review and offer input at each step.

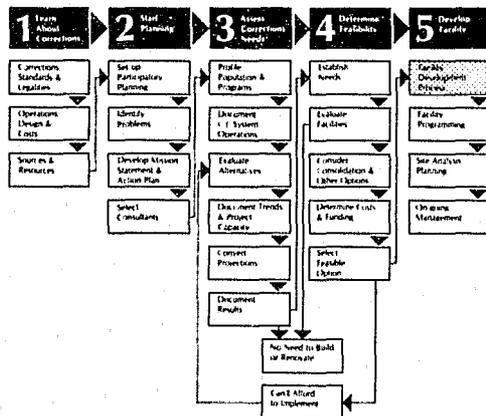
As the project moves closer to reality, the continued involvement of the sheriff and corrections staff becomes ever more important in order to insure that the product is a facility they can live with for years to come. Specific task forces, drawn mainly from corrections staff, will carry out facility programming and conduct site and, perhaps, architect selection. One of the task forces, to be formed during construction will be a transition team. It will be responsible for planning and coordinating the move into the new facility.



TUMBLEWEEDS by Tom K. Ryan © United Features Syndicate

Courtesy of Field Newspaper Syndicate

5.1 The Correctional Facility Development Process



Who Will Use This Chapter

Primary Users

Project Manager
 Planning Team
 Advisory Committee
 Facility Programming, Site Selection,
 and other active task forces
 Board of Supervisors

Secondary Users

County public works agency representatives
 Planning and architectural consultants

Introduction

This chapter is intended to give handbook users an overview of the entire facility development process from needs assessment through construction and occupancy, up to the eventual obsolescence of the facility. For convenience, the process is shown as a step-by-step sequence from start to finish, even though—in reality—some steps can happen earlier or later and some may need to be repeated.

We explain the steps in facility development to help each individual understand what lies in store as he or she enters into this long process: An even more important purpose is to encourage your county, especially the corrections department, to take **control** of the process, rather than letting it control you or provide you with nasty surprises. The roles of the project manager, who sees the whole process through, and of the task forces, which provide input, are critical to the continued success of the project.

Your county should identify where it is in the process at the present time, then study with particular care the steps from that point on. (If you are at the beginning of the process, you might also wish to refer to the final step, "Obsolescence and Renovation," which may describe where you are now as well as a point to be reached again someday.)

Remember that for each stage of the process, there is a product (or conclusion) and a formal sign-off by responsible bodies.

Facility Development Process Chart

For each step, the chart (Figure 5.1-1) shows four facets of the process: the name and **major activities** of the step, the people or **actors** involved, a list of typical **products**, and a roster of who must **sign off** on these products. Please note that "sign off" may mean either acceptance and endorsement of a product or, more formally, legal approval and contractual authorization to proceed.

The section on **actors** includes nine groups:

- the **Board of Supervisors**;
- the **sheriff**, and especially, the **jail or corrections division**;
- representatives of county **criminal justice agencies** such as courts and probation staff, some of whom may be on the Advisory Committee;
- the **county administrative officer** and staff from other **county departments** such as finance, planning, engineering, and assessing;
- the **project manager** of this facility development effort;
- the project's **Planning Team**;
- the **Advisory Committee**;
- **task forces** with specific duties such as site selection, facility evaluation, consolidation, funding, or programming;
- **consultants or contractors** employed to complete specified tasks such as planning or architecture;
- **agencies** that either have jurisdiction over particular products or else offer advice, training, or other forms of support.

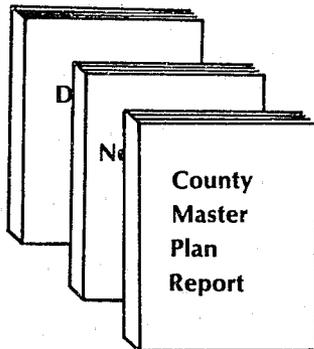
Phases in the Facility Development Process

The sixteen steps of the facility development process are divided into five main phases of work:

- Phase I: Pre-architectural Planning
- Phase II: Site Selection and Planning
- Phase III: Architectural and Engineering Design
- Phase IV: Construction
- Phase V: Occupancy

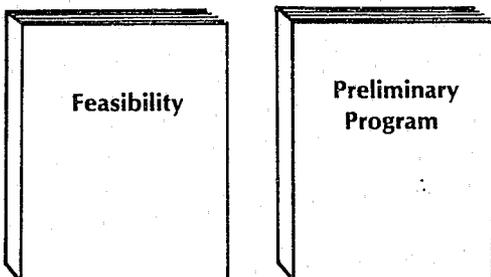
The balance of this chapter elaborates on the tasks involved in each step.

Phase I: Pre-architectural Planning



Step 1. Corrections Needs Assessment Study and Master Plan. By now, you are probably very familiar with the needs assessment process that helped your county identify the need to construct or renovate a facility (see Handbooks One through Three).

Step 2. Feasibility Study. The feasibility study is covered in Handbook Four. To continue with the development of your facility, the study must show your project to be economically viable. In fact, the economic feasibility analysis should continue as an issue throughout the design process—at least until construction bids are received. Only at that point is the true initial cost of the building established. Operating costs, especially staffing, should also be reviewed throughout the design phase since the layout of the building will have considerable effect on the number of staff required to operate it.



Step 3. Consultant/Architect Selection. Chapter 2.5 discusses the selection of architects and other consultants and contractors. To avoid needless delays or hurried work, consultants should be selected and hired early enough to give them enough time to perform their tasks to your county's satisfaction. Before completion of the next step, it is wise to initiate the architect selection process so that the design team will be on board and ready to start work on site selection, architectural design, and, perhaps, programming.

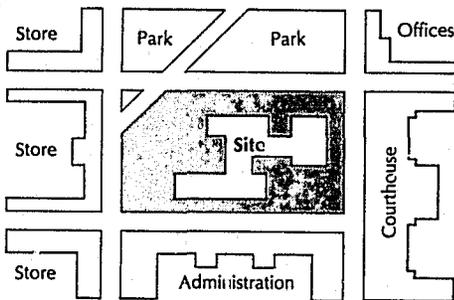
Recreation		Adjacencies	
List of Spaces			
Gym	800	Gym	Stor.
Bath	100	Bath	
Office	90	Office	To Res.
Storage	50		
Total	1040		

Step 4. Facility Programming. Facility programming includes both functional and architectural programming. While some architectural expertise is required for the latter, functional programming may be done largely by jail and other staff. At the conclusion of programming, set a realistic project budget.

If your county opts to use programming consultants, be sure to work very closely with them. You must explore and express what you want from the facility or the programmers and the architect will never know and the resulting building will not be responsive to your county's needs.

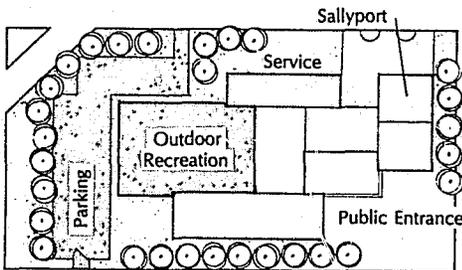
Chapter 5.2 deals with facility programming in some depth.

Phase II: Site Selection and Planning



Step 5. Site Analysis and Selection. Site selection is very important for functional, technical, economic and political reasons. The site must support the amount and type of construction required. Its location will have major impact on the operations of law enforcement agencies and movement of prisoners to and from the courts. Political issues surrounding the acceptability of various locations are also of great significance. Unfortunately, politics sometimes result in a jail being placed other than where it would best be located.

Chapter 5.3 deals with site analysis, selection, and planning.



Step 6. Site Master Plan. Once the site has been selected, master planning activities center around examining and determining long-term site utilization. The master plan locates open space, parking, circulation routes and security zones. It takes into account the long-term development of the site including required phasing over time. The county environmental coordinator determines if an environmental impact statement or report (EIR) is required under the California Environmental Quality Act.

Phase III: Architectural Design

Step 7. Schematic Design. During schematic design, the most critical design phase, basic concepts emerge for how the facility will be organized. While it is easy to make changes at this stage, it gets more difficult as the design becomes more developed. Major changes after this stage can be costly, too, since design work would have to be repeated or construction torn out and rebuilt. These cautions are not given as reasons against making changes later on if needed, but rather to stress the importance of making sure that you are getting what you need at this point.

The users and client must be actively involved in all phases of the design, directing the architect and not solely reacting to or approving his or her suggestions. At this stage, users are concerned with the design's performance on functional and organizational issues. Use the facility program to see where all the required spaces are and that they have all been accommodated. Review the required relationships between areas and

Phase IV: Construction

Step 10. Agency Approvals. Your programmer and architect establish and maintain close liaison with review and approval agencies from the beginning of the project. While they should be familiar with many of the regulatory agencies and their requirements, the county stipulates required approvals, particularly from such local agencies as water or sewer districts. The architect normally takes care of submitting documents and obtaining required approvals. Even so, there may be times when user or client representatives wish to attend meetings or work directly with certain agencies to understand their concerns and participate more fully in solving potential problems.

Step 11. Bidding and Negotiation. There are a number of alternative bidding procedures. These include the standard design/bid/build sequence in which the architect prepares one set of bid documents which are bid upon and constructed by one prime contractor and a number of subcontractors. Or, the architect may divide the project into a number of separate "bidding packages," each of which covers certain parts of the project such as demolition plus site work, foundations, or structure. This is sometimes done to "fast track" the bidding and construction sequence so that one part of the construction can be started before design is completed on other parts.

Under certain circumstances, particularly when more than one construction contract is contemplated, counties use "construction management" services. Construction managers specialize in coordinating and scheduling the activities, professionals, and contractors involved in design, bidding, and construction. This expertise and accountability can be valuable. Note, however, that construction management services do not always deliver the time or money savings which their proponents may claim. Some counties have had problems with fast tracking, finding that decision-making time was cut down to the detriment of the design.

The use of one or the other of these methods must be determined very early on in the process since which consultants are hired and **what** they are hired to do depends on the decision. Actually, there are many variations and combinations of approaches. It is possible to have a relatively standard process where "long lead" items, such as security hardware, are bid and ordered in advance to save time—without the formality of a fast track process.

With any of these methods, once a set of construction documents is completed, the county advertises for bids, holds meetings with potential bidders to clarify the documents, and receives and opens the bids at an appointed time and place.

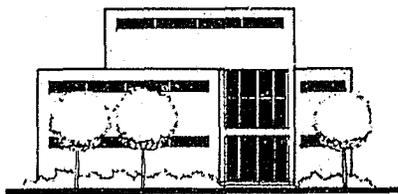
After the bids are examined and the qualifications of the bidders checked out, one bidder—usually the lowest one who is deemed to be qualified—is selected to be the construction contractor. Then the construction contract is negotiated and details are worked out. These involve questions about the inclusion of "bid alternates" (which may add or delete items or areas once the "bottom line" is known) and the substitution of materials.

Step 12. Construction. On-site construction begins, and then, after months or years of planning and design, a physical building finally emerges. During this phase, the architect is responsible for "administration of the construction contract." He or she carries out site observations, coordinates "shop drawings" submitted by suppliers, and reviews materials tests and "change orders."

Change orders indicate alterations or departures from the construction contract such as additions, deletions or substitutions. These can be minor, but sometimes involve major, important changes which affect the cost and function of the facility. The importance of careful review and monitoring of change orders for their cost and impact on operations or performance cannot be overstressed. Since, in effect, change orders modify the construction contract, their legal and fiscal impact must be evaluated and approved by the proper county authority (ultimately the Board of Supervisors).

In addition to on-site observations by the architect, the county may wish to have its own technically qualified representative or "clerk of the works" overseeing the work and representing county interests.

Also, this is the time to form the Transition Task Force of jail operators and managers to prepare for the move into the new facility.



Step 13. Construction Completion. As the building and site development near completion, the county should be aware of and take part in a number of activities. The architect and contractor prepare a "punch list" of items remaining to be finished or repaired. As systems are completed, certain performance tests are conducted for all mechanical, electrical, plumbing, heating or air conditioning, security and communications systems to insure that they work properly. Warranties and guarantees are delivered to the owner. A "users' manual" may be prepared to organize and synthesize these documents along with operating instructions and functional information.

A users' manual for a building is a rather new concept. As a single source of information about the systems, operations and functions of the building, it can be a useful aid to the building's operation. It is remarkable that a car or appliance which costs up to a few thousand dollars comes with a detailed owner's manual while a building as complex as a jail often costing millions of dollars comes with the cutting of a ribbon and a handshake. Demand for a building users' manual may well grow.

The preparation of "as-builts" or record drawings that show how the building was actually constructed are a potential "extra" service. If carefully developed and kept up-to-date, they are an invaluable tool in the maintenance and alteration of the building and should be required in the architect's contract. By this point, advance planning for the move to the new facility is well under way. Furniture or equipment not included in the construction contract have been ordered. Required personnel are hired and trained.

Phase V: Occupancy

Step 14. Move-in and Start-up. Several activities prepare jail staff for moving into the new facility. These include arranging of furnishings and movable equipment; planning the logistics of the move; shaking down all systems in operation; transferring prisoners and staff; and starting the actual operation of the jail. The more carefully and thoroughly you plan and execute the logistics of the transition, the smoother this difficult process will be.

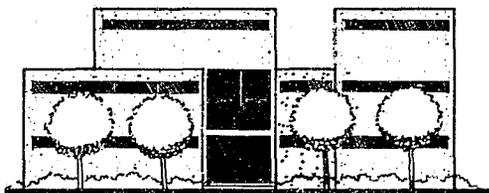
Immediately upon move-in, an ongoing preventive maintenance program should be initiated with an adequate budget for staff and materials. The jail is a twenty-four-hour-per-day, seven-day-per-week facility, subject to intense use from its first day of operation. If maintenance or repair is "deferred" for long, it becomes much more difficult and expensive. Include in the construction contract extra replacement parts of special items such as windows, doors, and lights so they will be on hand when needed. Care for this expensive new facility should begin immediately with occupancy.

Step 15. Occupancy and Operation. The actual use of your new facility may not begin for three to five years or more after the initial planning. However, use will continue for the many years during which your county will occupy, operate, maintain, repair, and make minor alterations to the jail.

Once the new jail is "on line" it is extremely important to monitor its operations. As stated elsewhere in the handbooks (Chapters 1.0, 3.0 and 5.4), the jail is a "capacity-driven system" which can fill up or become overcrowded immediately if policies, programs and population levels are not monitored continuously, only with vigilance and early response to developing problems can your planning assumptions and forecasts be expected to work out.

Step 16. Obsolescence and Renovation. Eventually, users begin to recognize certain misfits between desired programs or goals and the actual performance of the building. At that time, re-evaluate the jail building's potential to serve compared to alternatives. This evaluation may be informal, or it may involve a formal evaluation study which synthesizes the responses of jail administrators, staff, inmates and maintenance personnel (see Chapter 4.2). It may be worthwhile to consider a number of building-related options at this time such as renovation, addition, or construction of satellite facilities (see Chapter 4.3). While obsolescence to some degree is inevitable, some flexibility may be built into the design to help alleviate future misfits.

It may seem a bit strange to end this description of the facility development process



at precisely the point where most readers' facilities are now. However, recognition of this likely future state should help put the entire process into perspective as a continuing cycle of events.

References

American Institute of Architects. **Statement of The Architect's Services**, Washington, D.C., 1971. Describes the architect's responsibilities at each stage of design and construction.

American Institute of Architects. **You and Your Architect**, Washington, D.C., 1978. Explains some of the client's responsibilities during the course of the project.

Acknowledgement

The first draft of the material contained in this chapter was developed with support from the National Institute of Corrections Jail Center for use in its PONI program.

Figure 5.1-1: Stages in the Correctional Facility Development Process

PHASE I: PRE-ARCHITECTURAL PLANNING**Step 1.****Corrections Needs Assessment Study and Master Plan****Major Activities:**

Organize Planning Team.
 Set up Advisory Committee & task forces.
 Review corrections issues: standards & legal; developments in operations & design; costs.
 Develop Mission Statement.
 Gather & analyze corrections system data.
 Consider alternative programs.
 Project corrections system & facility needs.

Actors' Roles:

Supervisors: help select & define roles & functions of Planning Team & Advisory Committee; evaluate, approve recommendations, needs assessment study, & master plan.

Sheriff and Corrections Staff: serve on Planning Team, Advisory Committee, & task forces.

Justice Agency Representatives: serve on Planning Team, Advisory Committee, & task forces.

Project Manager: coordinates; assigns tasks, manages work.

Planning Team: collects, analyzes information; prepares reports; makes recommendations; provides information for decisions; develops Mission Statement & functional program.

Advisory Committee: studies & evaluates Planning Team's recommendations/ reports, & information; identifies criminal justice problems; considers policy issues.

Task Forces: receive assignments regarding topics of concern (e.g., site), conduct studies, make recommendations.

Consultant/Contractor: corrections planner may collect, analyze data, & provide information.

Agencies: BOC, NIC & regional planning agencies may provide input & assistance; BOC approves Needs Assessment Study (if application for state funds is made).

Products:

Mission Statement
 Needs Assessment Study
 Corrections System Master Plan

Sign-off:

Citizens Advisory Committee
 Sheriff/Corrections
 Justice Agencies (if their cooperation is required)
 Board of Supervisors

Step 2.**Feasibility Study****Major Activities:**

Project facility needs.
 Develop Preliminary Program Statement.
 Evaluate existing facilities.
 Explore facility options.
 Consider regional facility.
 Analyze Costs.
 Explore Funding Sources/ Apply for Grants.
 Determine Project Feasibility.

Actors' Roles:

Supervisors: approve Feasibility Study Report, determine whether or not to proceed.

Sheriff and Corrections Staff: provide & gather information.

Justice Agency Representatives: provide & gather information.

Project Manager: helps develop Preliminary Program; manages Feasibility Study.

Planning Team: develops Preliminary Program; conducts portions of Feasibility Study.

Advisory Committee: reviews & approves Feasibility Study Report.

Task Forces: conduct portions of Feasibility Study; evaluate existing facility, consider building-related options, look at consolidation; explore funding possibilities.

Consultant/Contractor: may conduct facility evaluation.

Products:

Preliminary Program
 Feasibility Study Report
 Grant Application (?)

Sign-off:

Advisory Committee
 Board of Supervisors
 Sheriff/Corrections

Figure 5.1-1: Stages in the Correctional Facility Development Process

Step 3.
Consultant/Architect Selection

Major Activities:

Deciding if need consultants: for what, when.
Identifying, screening, hiring consultants & architects.
Managing & supervising consultants & architects.

Actors' Roles:

Supervisors: (with their staff) define scope of services; solicit Requests for Proposals; screen, select consultants & architects; allocate funds for contracts; approve contracts.

Sheriff and Corrections Staff: help determine what types of consultants are needed; provide information to consultants.

Justice Agency Representatives: may help determine what types of consultants are needed; provide information to consultants.

Project Manager: identifies need for consultants; may help screen & recommend consultants; may help define scope of services; manages consultants.

County Departments: planning & building departments help determine what types of consultants are needed; facilities department may help select & manage architects & engineers.

Planning Team: works with, reviews & critiques consultants' work.

Advisory Committee: provides input to and reviews consultants' work.

Task Forces: monitor projects & plan meetings with consultants.

Consultant/Contractor: corrections planners, architects, & contractors; may also include master planners, facility programmers or evaluators, energy consultants, financial consultants, etc.

Products:

Contract(s)

Sign-off:

Board of Supervisors
Sheriff/Corrections

Step 4.
Facility Programming

Major Activities:

Conduct functional programming.
Conduct architectural programming.
Estimate staffing.

Actors' Roles:

Supervisors: provide input to, review & approve program.

Sheriff and Corrections Staff: may conduct functional programming; facility users provide input.

Justice Agency Representatives: (if their spaces are affected) may conduct some functional programming; provide input.

Project Manager: supervise/manage programming effort.

Planning Team: contributes to program.

Advisory Committee: contributes to program.

Task Forces: may conduct programming.

Consultant/Contractor: may use facility programmers.

Agencies: input & technical assistance available from BOC.

Products:

Facility Program:
Functional Program
Architectural Program

Sign-off:

Sheriff/Corrections
Board of Supervisors

PHASE II: SITE SELECTION AND PLANNING

Step 5.
Site Analysis and Selection

Major Activities:

Develop site requirements.
Identify available sites.
Evaluate available sites.
Consider technical & political issues.
Select & acquire site.

Actors' Roles:

Supervisors: review & approve site selection.

Sheriff and Corrections Staff: provide input.

Figure 5.1-1: Stages in the Correctional Facility Development Process

<p>Step 6. Site Master Plan</p>	<p>Justice Agency Representatives: provide input. Project Manager: helps review & select site. Planning Team: provides input on site requirements & selection. Advisory Committee: provides input on selection. Task Forces: evaluate & recommend site. Consultant/Contractor: traffic engineer, real estate assessor may advise. Products: Selection of Site Acquisition of Site Sign-off: Board of Supervisors Planning/Zoning Commission Advisory Committee Sheriff/Corrections</p>
<p>PHASE III: ARCHITECTURAL DESIGN</p> <p>Step 7. Schematic Design</p>	<p>Major Activities: Plan the long term utilization of the site once it has been selected. Survey site characteristics (soils, utilities, vegetation, existing uses, circulation, etc.). Conduct long range planning & phasing. Plan site utilization & organization (open space, parking, security, etc.). Complete Environmental Impact Report. Complete Site Development Guidelines & Master Plan. Actors' Roles: Supervisors: review & approve Site Development Guidelines & Site Master Plan. Project Manager: manages master planning efforts. Sheriff and Corrections Staff: contribute input to Master Plan. Justice Agency Representatives: (if affected) contribute input to Master Plan. Planning Team: may compile/complete Site Development Guidelines & Site Master Plan. Task Forces: may work on Guidelines or Master Plan. Consultant/Contractor: architect/planner/landscape architect may work on Master Plan, Site Development Guidelines; geologist, surveyor, ecologist may contribute to Environmental Impact Report. Products: Master Plan document (plans & written report) Site Development Guidelines Environmental Impact Report (may be required) Sign-off: Planning/Zoning Commissioners Board of Supervisors Sheriff/Corrections</p> <p>Major Activities: Execute conceptual & schematic architectural design. Develop preliminary engineering concepts. Complete preliminary cost analysis. Consult with applicable agencies. Consider alternative bidding procedures (standard, construction manager, separate contracts, fast track). Revise staffing analysis. Actors' Roles: Supervisors: review & approve schematics & budget; give notice to proceed. Sheriff and Corrections Staff: provide input to designers. Justice Agency Representatives: provide input to designers. Project Manager: insures schedules are met. Planning Team: provides input to designers, uses program to test design. Advisory Committee: provides input to designers, uses program to test design.</p>

Figure 5.1-1: Stages in the Correctional Facility Development Process

<p>Step 8. Design Development</p>	<p>County Departments: fire marshal, building inspector review plans. Consultant/Contractor: architects & engineers begin design; construction manager/cost estimator estimates costs. Agencies: BOC reviews plans. Products: Schematic design drawings Schematic cost estimate Sign-off: Board of Supervisors Sheriff/Corrections Board of Corrections</p>
<p>Step 9. Contract Documents</p>	<p>Major Activities: Refine & develop architectural & engineering design. Develop outline specification. Conduct energy analysis. Update/refine costs. May execute special design studies of security, equipment, communications, kitchen/food service, interior, graphics, furnishings, etc. Actors' Roles: Supervisors: review & approve design development, special studies, & budget; notice to proceed. Sheriff and Corrections Staff: provide input to special design studies & design. Justice Agency Representatives: (if their spaces are affected) provide input to special design studies & design. Project Manager: directs & supervises study teams; insures schedule & budget are met. Planning Team: provides input to study teams; reviews systems, selections, design. Advisory Committee: provides input to study teams; reviews systems, selections, design. County Departments: fire marshal, building inspector may review plans & specifications in progress. Consultant/Contractor: architects, engineers, construction manager/cost estimator; may have special study teams/consultants. Agencies: BOC may review plans & specifications in progress. Products: Design development drawings Outline specifications Construction cost estimate Reports, studies Sign-off: Board of Supervisors Sheriff/Corrections</p> <p>Major Activities: Complete plans (blueprints). Complete specifications. Develop bidding documents. Execute final cost estimate. Actors' Roles: Supervisors: review & approve contract documents & final cost estimate (for bids). Sheriff and Corrections Staff: provide input, review. Justice Agency Representatives: (if affected) provide input & review. Project Manager: insures tasks are completed. Planning Team: provides input & review. County Departments: fire marshal, building inspector may review plans & specifications. Consultant/Contractor: architects & engineers complete plans & specifications; construction manager/cost estimator determines cost estimate. Agencies: BOC may review plans & specifications.</p>

Figure 5.1-1: Stages in the Correctional Facility Development Process

**Step 10.
Agency Approvals**

Products:

- Plans (blueprints)
- Specifications
- Bidding documents
- Final cost estimate

Sign-off:

- Board of Supervisors
- Sheriff/Corrections

Major Activities:

- Obtain building permit
- Procure regulatory agency approvals
- Seek/secure funding agency approvals

Actors' Roles:

- Project Manager:** facilitates securing approvals, submits formally required documentation.
- County Departments:** fire marshal, building inspector approve contract documents.
- Consultant/Contractor:** architect aids in submission of documents & obtaining approvals.
- Agencies:** BOC approves contract documents.

Product:

- Written approvals

Sign-off:

- Board of Corrections
- Fire Marshal
- County Building Department
- County Health Department
- Other regulatory agencies
- Funding agencies

PHASE IV: CONSTRUCTION

**Step 11.
Bidding and Negotiation**

Major Activities:

- Advertise for bids.
- Open bids.
- Select lowest qualified bidder.
- "Negotiate" contract for construction.

Actors' Roles:

- Supervisors:** make decision on bids.
- Project Manager:** may manage bidding process, review bids, recommend bid to accept.
- County Departments:** facilities department may manage bidding process, review bids, recommend bid to accept; legal department reviews bids to insure their legality.
- Planning Team:** reviews bids.
- Consultant/Contractor:** architect or construction manager receives & reviews bids & may manage process; building contractors (& subs) submit bids.

Product:

- Contract for construction

Sign-off:

- Board of Supervisors
- Funding agency

**Step 12.
Construction**

Major Activities:

- Work on site.
- Administration of construction contract.
- Conduct site observations.
- Process of payments (interim approvals).
- Complete shop drawings.
- Test materials.
- Process change orders.
- Set up transition team & start planning for move.
- Begin hiring & training staff.

Figure 5.1-1: Stages in the Correctional Facility Development Process

**Step 13.
Construction Completion**

Actors' Roles:

Supervisors: appoint individual to review & approve change orders.

Project Manager: may manage interim approval process; may review & approve change orders; begins preparations for move.

County Departments: finance department processes payments; facilities department may manage interim approval process & may review and approve change orders; building department inspects.

Planning Team: monitors changes; begins preparations for move.

Task Forces: Programming & Design Task Force becomes and acts as Transition Task Force.

Advisory Committee: helps with preparations for move.

Consultant/Contractor: architects approve change orders; architects & engineers monitor; construction manager supervises & coordinates; contractor & subcontractors build.

Product:

The building

Sign-off:

Architect & representative of Board of Supervisors on change orders

Major Activities:

Compile "punch list."

Draft record or as-built drawings.

Secure warranties & guarantees.

Conduct performance testing.

Obtain waivers of liens.

Write Users' Manual.

Plan detailed logistics of move.

Secure occupancy permit.

Ensure furniture & equipment is enroute.

Hire & train personnel.

Actors' Roles:

Supervisors: accept building.

Sheriff and Corrections Staff: prepare for move; hire & train staff.

Justice Agencies: (if directly affected) prepare for move.

Project Manager: coordinates preparations to move into building.

County Departments: building department issues occupancy permit.

Planning Team: may prepare Users' Manual, then phases out.

Advisory Committee: may help prepare Users' Manual.

Task Forces: Transition Task Force makes preparations for move, updates policy & procedures manual, carries out operational staffing analysis, coordinates hiring & training of new staff, conducts public relations efforts, may prepare Users' Manual.

Consultant/Contractor: architect & contractor prepare "punch list;" architect may prepare "as-built" drawings, & approves Certificate of Completion; architect provides orientation to facility.

Product:

Completed building

Sign-off:

Funding agency

Board of Supervisors

Sheriff/Corrections

Architect

Building department

PHASE V: OCCUPANCY

**Step 14.
Move-in and Start-up**

Major Activities:

Complete selection & training of personnel.

Install furnishings & movable equipment.

Transfer prisoners.

Begin operation.

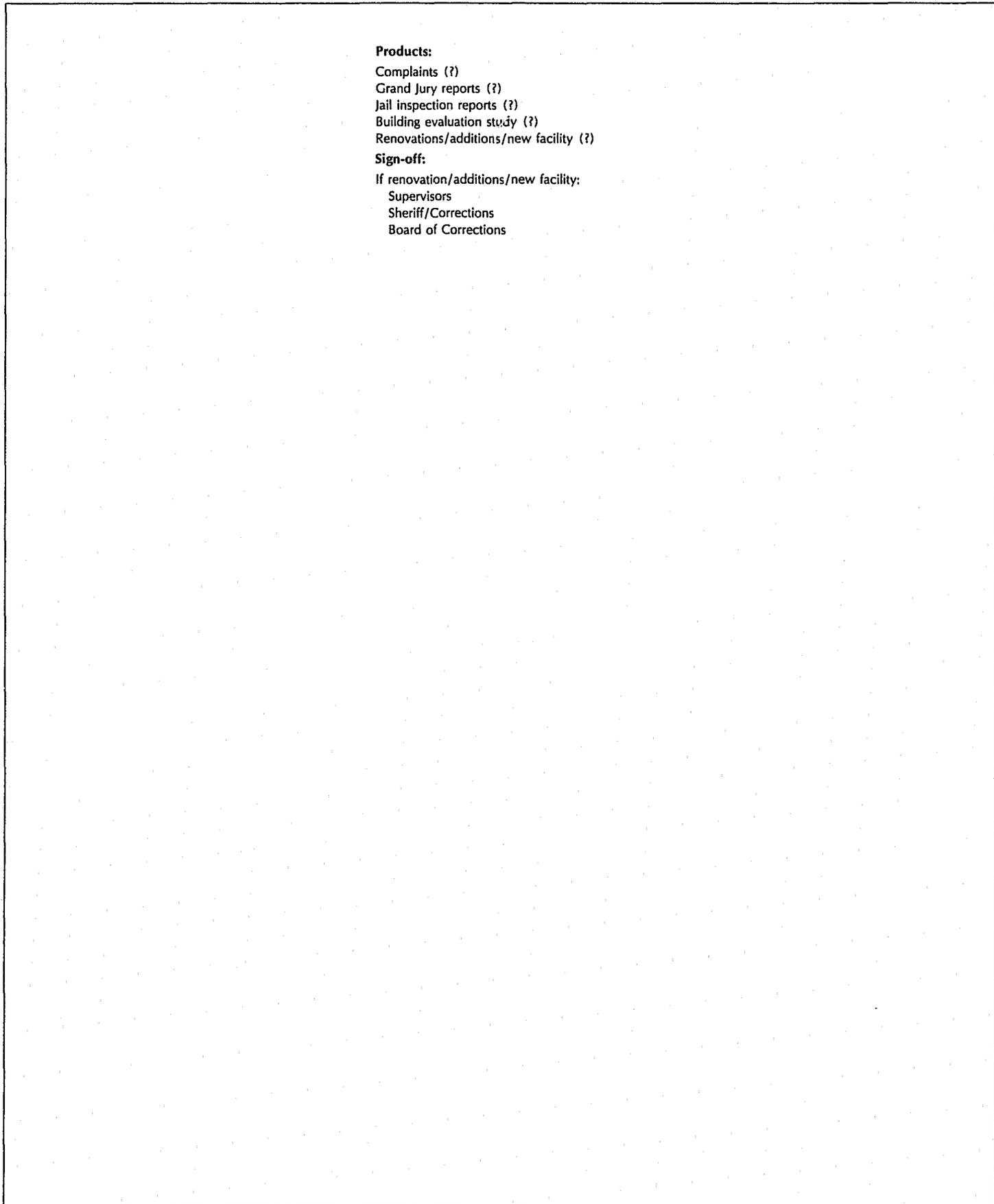
Initiate data gathering & analysis of population, programs.

Initiate maintenance program.

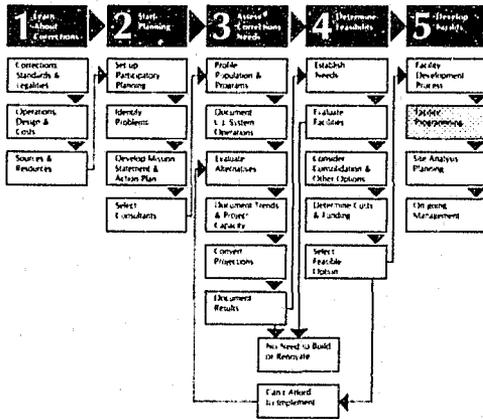
Figure 5.1-1: Stages in the Correctional Facility Development Process

<p>Step 15. Occupancy and Operation</p>	<p>Actors' Roles Sheriff and Corrections Staff: move into & begin using facility; start gathering and analyzing data; begin maintenance programs. Justice Agencies: (those affected) move into & begin use of facility. Project Manager: facilitates move. Task Forces: Transition Task Force manages move & orientation to facility, making use of Users' Manual; conducts public relations. County Departments: building department (& Sheriff, Corrections staff) start maintenance program. Advisory Committee: monitors correctional system performance & programs. Product: The building in use Sign-off: None</p>
<p>Step 16. Obsolescence & Renovation</p>	<p>Major Activities: Occupy facility. Operate. Maintain. Repair. Actors' Roles: Supervisors: provide ongoing control & support. Sheriff and Corrections Staff: occupy, operate, & maintain facility; continue collecting and analyzing data on populations & programs. Justice Agencies: (those affected) occupy & operate facility. Advisory Committee: continues monitoring correctional system performance & programs. Project Manager: phased out. County Departments: building department makes minor repairs. Consultant/Contractor: may have facility planner/evaluator conduct post occupancy evaluation; contractor makes repairs as needed. Agencies: state & regional corrections agencies, including BOC, provide technical assistance, training, support, & possible grants for programs, etc. Product: (No physical product) Sign-off: None</p>
<p>Major Activities: Review performance & maintenance of building. Consider misfits between facility & programs & goals. Evaluate building's potential (compared to building-related alternatives). Fine tune facility, consider renovations. Actors' Roles Supervisors: Inspect facility, approve building—related changes (e.g. renovations, new facility). Sheriff and Corrections Staff: operate, maintain facility; identify misfits/problems of facility, recommend physical changes. Justice Agencies: (those affected) operate facility, recommend physical changes. County Departments: Grand Jury inspects building; facilities department conducts inspections & coordinates/manages renovations. Planning Team: may be reactivated if major changes are considered. Advisory Committee: may be reactivated if major changes are considered. Task Forces: may use Evaluation Task Force for post occupancy evaluation. Consultant/Contractor: facility evaluator or architect may study building; architect & contractor make renovations/ additions. Agencies: inspections by BOC, State Fire Marshal.</p>	

Figure 5.1-1: Stages in the Correctional Facility Development Process



5.2 Correctional Facility Programming



Who Will Use This Chapter

Primary Users
 Project manager
 Facility Programming
 (and Design) Task Force
 Architect (if on board)

Secondary Users
 Sheriff and corrections staff
 Advisory Committee

Introduction to Facility Programming

What is a Facility Program?

A facility program is a **statement of requirements for a building project**. These include objectives, issues, a description of what will happen in the building, user needs, and problems to be solved in the design.

The facility program is **not** the same as a "correctional program" (such as vocational education) although it will include a listing of all the programs to be offered in the jail. "The program," as used here without specifying "facility" program, has nothing to do with computers.

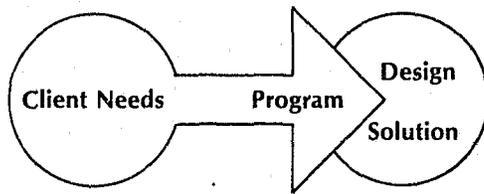
The program is a formal communication between the client (jail system or county) and its architect so that he or she can begin design.

The American Institute of Architects' standard contract between the owner and architect specifies that "the Architect shall review the program supplied by the Owner." Thus, unless arranged otherwise, the entire responsibility for producing the program rests with the owner (the jail or county). In most cases some consultant help is required, either from the architect (as an "extra" service) or from a programming specialist.

Traditionally, the program was little more than a listing of the spaces to be included in the building. Now it is much more: a statement of intent for the facility, an exploration of values, needs, and requirements.

The Program is a Link to Design

The new jail building will provide a framework for the people and activities it will contain. It can either allow and support its functions or it can inhibit them. Thus, the architect must understand what the jail needs. Otherwise, there is no possible way that he or she can design a building that responds to those needs.

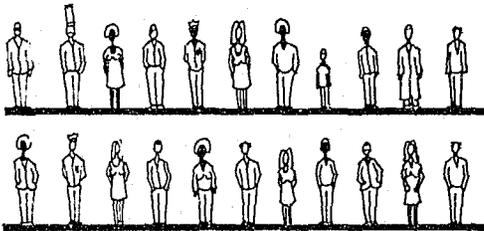


Just as you would not have a tailor make a suit of clothes for you without measuring you first, the designer must have enough information about the jail system so that the building can fit it. An accurate, thorough and clear program document prepares the architect to begin the design task.

In the absence of a program, the architect relies on other sources of information and considers only factors other than those which concern the future use of the jail such as esthetics, economics, or building codes. Decisions about how the facility is to be operated may end up being made on a drafting table in the architect's office.

In addition, the program document serves as a record of the needs and intentions of the jail system. This aids in making the design more accountable since it can be judged in terms of its performance in satisfying stated and agreed upon criteria. There is less likelihood of misunderstanding statements which are recorded and published.

User-oriented Programming



While there are many critical technical issues which must be dealt with in programming and design, the basis for making decisions on most issues seems to boil down to questions about how the resulting physical environment will affect its users.

The people who will occupy and use the building know the most about their activities and needs. This is the rationale for involving them in programming and design. The programming process provides an orderly method for gathering peoples' input and communicating the result to the architect.

In addition, users who have been involved in the process are more likely to be satisfied with the resulting product—both because it is more suitable and simply because they have been involved. It has been said that "people support what they help to create." Thus, a participatory, task force approach to programming is proposed here.

The needs of all major users should be taken into account. Since there are many different types of users, this becomes a considerable task. At a minimum, consider the needs of inmates, staff, visitors, administration, law enforcement, and the public.

Functional and Architectural Programming



It is common, although not universal, to divide the program into two separate, but related parts: functional and architectural programs.

- The **functional** program describes the users of the building, what they will do there, and their needs.
- The **architectural** program describes the performance required from the building or specifies what various aspects will be like.

Following a brief discussion of the programming process, the next sections will deal with these two aspects of the program.

The Programming Process

Before beginning programming, it is assumed that needs assessment and feasibility studies for the jail will have already been carried out and will have clearly identified the need for renovation or new construction. (Refer to Handbooks Three and Four.) Programming takes from two to six months and is to be carried out by the Programming Task Force, probably in conjunction with a programming consultant or architect.

The Programming Task Force

A Programming Task Force should be established with a trusted coordinator (perhaps the project manager). The role of the team should be clear and understood by all task force members as well as by the authority which created it. This role includes advising, developing information, and reviewing consultants' work.

Representatives of **all** user groups should be included on the programming task force since each group has knowledge to contribute and an interest in the outcome. Some of the represented interests should include: security, administration, programs, intake/release, food service, operations, and maintenance. Both male and female officers should be represented. Inmates should also have a voice, perhaps through a representative of the inmate council (if there is one) or by including an ex-offender. A religious counselor or inmate rights group member might also be called upon to speak for inmates. Jail volunteers, community support groups, or other concerned individuals or groups such as Legal Aid or Friends Outside and ex-offenders or representatives of inmate groups should also be considered for inclusion. Law enforcement and the courts may also wish to be represented.

There must be open, effective communication channels within the Task Force and between its members and the groups or interests they represent. Some of the techniques which will prove helpful are covered in the chapters on problem identification (Chapter 2.2) and action planning (Chapter 2.4). Preparing and distributing agendas in advance of meetings, regularly reporting back to constituencies, and using group discussion techniques that respect individual contributions may all help.

This task force should continue in operation during the design phase to give input to the architects and to review the design. In addition, it may form the basis for the task force which will plan the transition into the new facility (see Chapter 5.4).

Use of Programming Consultants

Consideration should be given to the use of consultants during this phase. There are consultants who specialize in jail operations, architecture firms which offer or specialize in programming services, and planning/programming firms which specialize in justice facilities. It is possible to hire these consultants either to help the jail system complete its tasks or to contract for completion of the tasks themselves.

While the jail system could complete the functional program itself, it will need help with the architectural program. This might come from a member of the county's public works or building department staff or from a consultant. If contracted, the cost of programming and related services may run from one-quarter to one percent of estimated construction costs, depending on precisely which services are included and the size and complexity of the project.

There are pros and cons to having an architecture firm do the programming, either with its own staff or else with a programming consultant as part of its team. Favoring the latter arrangement is the fact that the architect will be familiar with the program requirements and not need a transition or communication period.

The drawback of having the architect do the programming is the potential for bias due to several factors. First, the architect is facility oriented and may not give enough emphasis to functional issues or consider non-facility solutions to issues which arise. Preconceptions about the final design have no place in programming. Second, if the architect's fee depends upon the final construction cost of the project and, at the same time he or she is responsible for recommending its scope, there can be a built-in conflict of interest.

Functional Programming

Introduction

The functional program is a detailed description of what **should** and **will** happen in the new facility, not a description of what **does** happen in the existing one.

The understanding which develops during functional programming of what will happen in the new facility becomes the basis for determining how the building should be designed to **support** user needs during the architectural programming phase. Only with a clear statement of needs is it possible for the design to respond to those needs.

The burden is on the jail system, possibly with the help of a consultant, to define its future activities and needs.

The "functional program" is sometimes called the "operational," "service," or "correctional" program.

Its content typically includes the following topics, each of which will be discussed:

- Mission statement.
- Policies and procedures.
- Standards.
- Programs and services.
- Users.
- Activities.
- Circulation and sequences.
- Psychological issues.
- Operating costs.
- Future trends.

Mission Statement

The team should already have a basic mission statement for detention and corrections in the county (see Chapter 2.3). This should be reviewed and revised or fleshed out as necessary to apply to the facility in question. A useful elaboration is to look at the objectives which various user groups within the jail and the community hold for its function.

Policies and Procedures

Policies and procedures should **control** what happens in the jail; the jail's design should not dictate policy. Therefore, policies and procedures should be defined for the new facility. This does not necessarily mean a complete revision of the policy and procedures manual at this time, but rather the development of an outline with some of the main points and intentions filled in. Detailed procedures should be developed as facility planning progresses, to the point that they are complete somewhat before construction is finished.

Standards

All relevant **standards, codes and guidelines** that apply to the design or operation of the facility should be reviewed and a commitment made to the level of standards compliance that will be sought in the new facility. That is, will the jail system opt to go beyond state standards and strive for accreditation by complying with national standards? (Refer to Chapter 1.2.) In addition, a continuing liaison with periodic reviews should be maintained with agencies enforcing the standards or with regulatory or funding authorities.

Programs and Services

A listing of the programs and services offered or likely to be offered in the future should be developed. Alternatives to incarceration such as screening for pretrial release or work furlough programs should be considered in light of their impact on building staffing and function.

Users

Unless the programming team understands **who** will be in the facility, the program will not respond to their needs. Therefore, a list of **all** the kinds of users of the jail should be developed. The list should include all types of inmates by offense, status, classification, kinds of behavior, or special needs, and socio-economic descriptors such as age or sex. All types of staff, visitors, volunteers, servicing, and emergency personnel should also be listed.

The anticipated **numbers** of each user type and their **time involvement** (length of time spent, time of day, etc.) should be projected. (Refer to Chapters 3.5 and 3.6 for analysis and projections of inmate types and numbers.)

Because it represents such a large portion of operating costs, staffing requirements must be given primary consideration during programming and design. While programming may begin with the preliminary staffing estimates developed in earlier phases (Chapter 3.6), these must be updated and refined as programming proceeds. An important consideration in programming and design is ensuring that the building can be staffed efficiently. Detailed information on estimating staffing appears later in this chapter.

Activities

Activities are individual and group actions and patterns of action. They are the visible expression of users carrying out programs or making use of services. Activities are anything described by a verb of action: for example, walk, eat, sit, talk, or fight. The major activities for each user or area in the building should be listed.

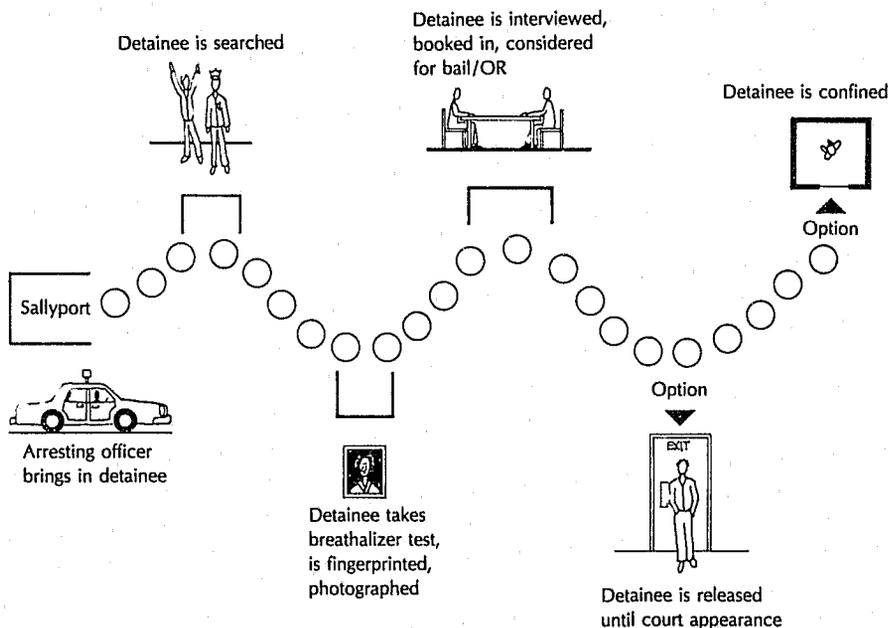
Circulation and Sequences of Events

The major linkages or flows between activities or areas should be listed. Flows of **people, information, and things** should be included. Characteristics of the flows that can be included are volume, frequency and importance.

Also important is an understanding of the typical sequences of events or activities. Typical sequences include intake and booking, meal service, visiting, sick call, recreation, court transport, and release. The sequence should trace **who** involved, **what** they do, and **where** they do it, from the beginning to the end of the event. Sequences are easier to understand if they are recorded as flow diagrams. Once developed, they

should be reviewed and verified with building users for accuracy and used to explore options, problems, and issues which may affect the design. They can also be used to test the design at a later time.

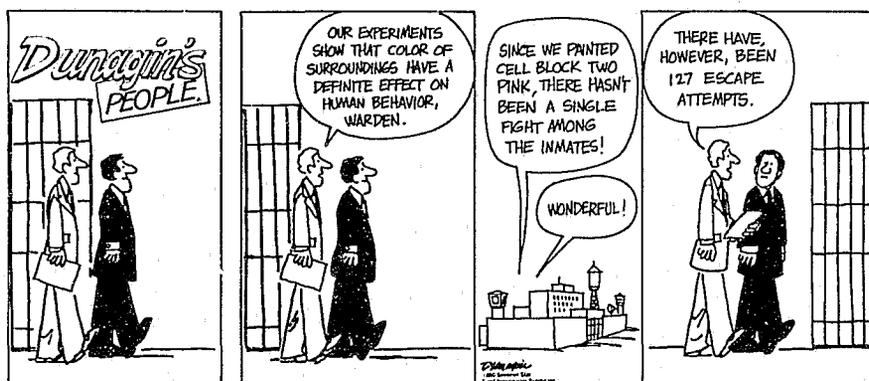
Figure 5.2-1: Example of Activity Sequence



Psychological Issues

In general, psychological issues involve the special needs, expectations, attitudes, beliefs and behaviors of jail users, especially staff, administration, inmates, visitors and the community. The purpose of exploring these issues is to identify those which result in special uses of, needs for, or demands on space.

For example, inmates and correctional officers have a particular range of attitudes toward each other and tend to interact in certain ways. There may be desired styles of interaction (such as respect and helpful communication) and undesirable ones (such as belligerence or violence). In this section of the program, the team should consider administrative strategies and design arrangements (such as the placement of the control station, if any) that encourage desired patterns and discourage undesirable ones.

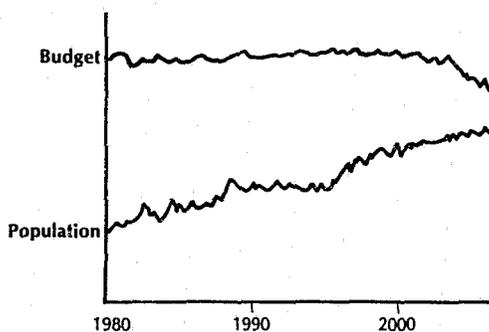


DUNAGIN'S PEOPLE by Ralph Dunagin © 1981 Field Enterprises, Inc. Courtesy of Field Newspaper Syndicate

Operating Costs

Cost is usually one of the key determinants in facility programming and design. Over the life of the building, operating costs will account for higher expenditures than construction costs. Operating costs are greatly affected by facility planning, from the simple inclusion of new functions to efficiency or effectiveness with which they are carried out. Therefore, they should be examined as part of the programming process and used to help select among possible operational and design options.

Future Trends



Consider and list those future events which would significantly impact the jail: for instance, cause major changes in population (numbers or types), programs, staffing, or budgets. State the likelihood of the event occurring and its possible impact on the jail facility, such as expansion, contraction, or remodeling.

Topics worthy of consideration include future changes in law, correctional philosophy, programs, demography, and technology. While none of us can predict the future, it is worth thinking about it and attempting to insure that the facility can respond to at least the most likely or pervasive trends.

Architectural Programming

Introduction

The architectural program develops information about how the building should perform in response to the requirements of the functional program. By **performance**, we mean that the program will state what the building should do rather than what it should be like. Stating performance requirements leaves the design team more room to find creative solutions than they would have if they were told precisely what the building should be like.

While functional programming can be done largely by the jail system itself, architectural programming demands the input of specialized knowledge, either from a consultant or the county public works or building department.

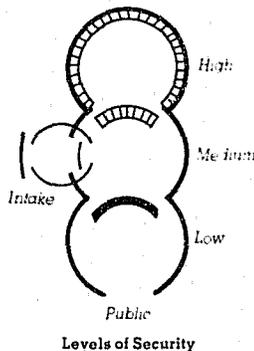
The level of programming described in the material that follows is very thorough and complete. While all of the issues that are discussed must be considered at some point in the design process, jail officials or architects may prefer to integrate some aspects of the process with design. This is entirely acceptable as long as key components are not thereby left out.

The kinds of information developed in the architectural program can be divided into that which applies to the building as a whole and that which applies to each type of space such as each office or single cell. Both types of information are briefly described below.

Information About the Facility as a Whole

Objectives. There should be a statement of the design objectives for the building, considering its form, function, cost, energy efficiency, and time performance (useful life).

Figure 5.2-2: A Design Objective



Provide Levels of Security

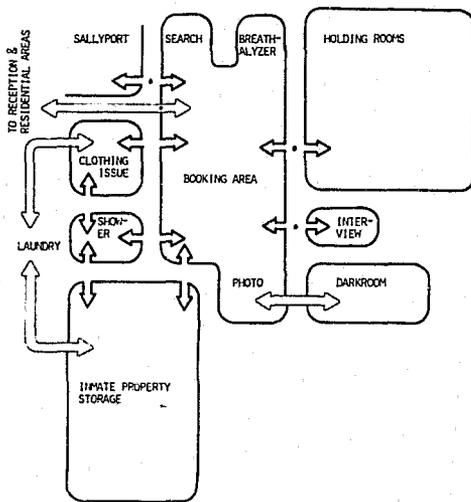
Many detainees present little risk of escape, assault or vandalism, while a few present considerable risk. Therefore, provide progressive levels of security, starting with high security at intake (and for those who continue to require it) and moving to medium and lower levels as inmates show they warrant trust. Keep visitors, administration and supply/service functions outside of the secure perimeter and provide separate entrances.

Architectural character. Describe the desired image and appearance of the building.
Spaces. All indoor and outdoor spaces should be listed, including both net usable and gross square footage. Since jails are not very "efficient," a ratio of 60 to 65 percent net usable area is acceptable.

Figure 5.2-3: A List of Spaces

RESIDENTIAL SPACES				
ROOM TYPE	CODE	USABLE AREA	NUMBER OF ROOMS	TOTAL AREA
Single Occupancy Rooms	SGRM	70	69	4,830
Maximum Secure Rooms	MAXRM	70	8	560
Segregation/ Isolation/Discipline Room	SIDR	70	3	210
Work Release Room	WRRM	70	20	1,400
Dayrooms	DYRM	35/bed	100 beds	3,500
Showers	SHWR	32	10	320
Work Release Toilet/Shower (Male)	WRBTH	108	2	216
(Female)	WRBTH	84	1	84
Shift Com. Off. (Mgr.)	SCOFF	100	1	100
Staff Work Area (Clerical)	STWRK	60	1	60
Clothing Storage	CLOTH	64	1	64
Staff Toilet	(None)	48	2	96
RESIDENTIAL SUBTOTAL (Usable area)				11,440

Figure 5.2-4: An Adjacency Diagram



Linkages and separations. Describe the desired and required linkages or adjacencies between spaces. This is often expressed by a diagram. Undesirable or unacceptable proximities may also be noted.

Alternatives. A thorough program will initiate the study and evaluation of alternative physical design solutions to functional requirements.

Construction cost. On the basis of the list of spaces and other information, a preliminary estimate of construction costs can be developed. This is usually a per-square-foot cost. Total project cost may be even more useful at this time. Project costs include not only building, equipment and site development costs, but also site acquisition, professional fees, administrative costs and contingencies (see Chapters 1.4 and 4.5).

Site criteria. A statement of site selection, if needed, and site development criteria should be developed (see Chapter 5.3). It may include issues such as space requirements, buildable area, open space needs, proximity to related services such as courts, acceptability of or to neighboring functions, transportation availability or cost, and utility provisions.

Information About Each Type of Space

Users. List the primary users of the space, including an estimate of their numbers and, perhaps, the time pattern of their use.

Activities. List the major activities which are expected to occur in the space.

Objectives. Consider expected and desirable behaviors for the space, together with notions about how the design can encourage or support desirable behaviors and inhibit undesired ones.

Safety and security. Indicate specific users and conditions that generate concerns for safety and security along with the level of building performance necessary to respond to these concerns.

Linkages and separations. List required linkages or separations between this space and others, if not already developed above.

Ambient conditions. List environmental conditions required in each area including heat, ventilation, light, view and acoustics.

Materials. Develop a statement of the performance required or of recommended choices for construction materials and surface finishes.

Furnishings. State the performance required from or recommended choices for furnishings.

Equipment. Consider special equipment needs, systems or services such as electrical, plumbing, security, communications, or computing.

Size. State the area in square feet and critical dimensions or shape of the space.

Other. List any additional or special requirements for the space such as adaptability, multiple/sequential use, and expandability.

This information is typically recorded on a program summary sheet for each area or functional unit.

Figure 5.2-5: A Program Summary Sheet

Linn County Corrections: Programs/Recreation		RWROF
RELEASE/WORK RELEASE OFFICE		187 SF
Behavioral Issues	Creative thinking, self-expression, and diligent work should be encouraged. Having a dignified work environment can boost release and work release officers morale and productivity. Two occupants may desire and need some acoustical and visual separation from each other as well as from other spaces.	Design Response Should be pleasant and distraction free; provide no views of or sounds from active areas, sound barriers to adjoining spaces, warm colors and varied textures. Design space and choose furniture that allows several possible furniture arrangements. Spatial configuration should be conducive to having two clearly defined and separate work areas.
Users	Release officer Work release officer (may be, at first, same person as release officer) Inmates, families and friends of inmates Other agency personnel Other staff	Activities Paperwork Telephoning Counseling Interviewing Conferring Planning Reading Typing Investigating candidates for work release
Safety & Security	Lockable file cabinet and desk drawer; provide secure vision panel in door and escape-proof, yet unobtrusively secure, windows. Avoid furniture with sharp edges or points. Provide partial (but non-obvious) visual accessibility from another work station and/or "help" buzzer.	Ambient Conditions HEAT/COOL: Maintain comfortable temperature VENT: Natural (window) ACOUSTICS: Provide sound baffles LIGHT/VIEW: Natural light with view. Moderate overall light; task light at work surface.
Materials	CEILING: Acoustic treatment WALLS: Vinyl covered or painted gypsum board, tackboard FLOOR: Commercial carpet	Code/Agency Reqt. ACA, 5118, 5363, 5370: space is provided for conducting programs for inmates; when a pretrial intervention program or diversion program exists, provide sufficient space, staff and equipment for it; where statute permits, provide for work or study release programs.
Special Reqt. & Furnishings	2 work stations, each with: Desk Desk chair 1-2 visitors' chairs File cabinet Phone Movable partition between work areas	Adjacencies Near secretarial/clerical area in administration Near building entry and waiting room Secure circulation from residential areas Near multi-purpose room
PROGRAM SUMMARY SHEET		Farbstein/Williams & Associates

Parking Requirements

Numerous factors influence how many parking spaces your county needs. The major ones are: number of staff, number of inmates and visiting policies and hours, access to and adequacy of public transportation, and what other departments, if any, are housed in the facility.

Number of Staff. Many other counties have planned their corrections facility's parking lots figuring that there should be enough staff parking spaces for the two largest consecutive shifts to park simultaneously. This is to facilitate one staff briefing the next and

to provide time for showering, changing clothes, and entering and exiting the facility. Consider projected numbers of staff and the quantity of county vehicles when calculating staff spaces. Count on some ride-sharing and use of alternative modes of transportation.

Number of Inmates and Policies. The more inmates there are, the more visitors' parking spaces are needed. These are used by those picking up discharged inmates and those visiting inmates. Visitors include family, friends, officers of the court (e.g., probation and parole officers), lawyers and bondsmen. Generous visiting hours will tend to reduce the quantity of required spaces since all visitors will not have to be there at the same time. On the other hand, policies that enable frequent and/or long visits will increase the number of required spaces. As with staff, consider future capacity projections and visiting policies when figuring the number of spaces needed.

Adequacy of Public Transportation. If your county has frequent public transport between the facility site and areas where employees and inmates live, the number of parking spaces can be reduced somewhat. Bear in mind, however, that many of the facility users are not likely to use public transportation, no matter how convenient or inexpensive it is.

Other Departments. If the facility houses other functions, such as courts, probation, or sheriffs' offices, substantially increase the number of staff and visitors' spaces to accommodate them. To do this, conduct a survey of all affected departments. For each department, obtain estimates of the number of employees and visitors that will drive to the facility.

Other. Provide parking spaces (and circulation) for trash and delivery trucks, court transport vehicles, patrol vehicles, bondsmen and, possibly, vehicles stolen or held as evidence.

Estimating Staffing Requirements

As stated several times in the handbooks, staffing is critical to the operation and cost of a jail. Thus, it is important to estimate the impact on staff requirements of changes in programs, capacity or operations. For a new or renovated facility, all three of these factors can be expected to change—often dramatically—in relation to current staffing levels. In developing staffing estimates, consider **all** employees at the facility, including sworn officers and civilians.

A preliminary staffing estimate was developed as part of the needs assessment analysis in Chapter 3.6. This was used to estimate operating costs in the feasibility analysis of Chapter 4.5. During programming, it is necessary to refine the preliminary analysis and develop a more accurate picture of staffing requirements. These can be used to estimate costs and test programming concepts for cost effectiveness.

As design begins and progresses, the method presented here should be used to further refine projections and test proposed designs. In fact, it is only when a schematic design proposal is developed that an informed determination can be made about where staff will be located, how many are needed to supervise an area, and how much movement will be required.

The Board of Supervisors must be kept informed of projected changes in capacity or operations so that it can understand how many staff are needed and why. This is critical since corrections will almost certainly be asking for a large and costly increase in staff.

Considerations Affecting Staffing Requirements

Shift Relief Factor. When estimating staffing, remember that jails are operated 24 hours a day, seven days a week. Many posts are continuously staffed; some positions are staffed during one or two shifts either every day or just on weekdays. To determine your "shift relief factor"—the number of people needed to fill one post—refer to Appendix G.

For a post that is continuously staffed (such as a control center) the shift relief factor is likely to be somewhere between 5.2 and 5.8; in other words, it will take between five and six staff members to fill it. As you will see in Appendix G, this calculation takes into consideration all shifts, time off, training, and sick leave and so forth. The shift relief factor and, hence, the number of employees needed per post, is considerably smaller for jobs that are filled during one or two shifts and fewer days of the week.

Type of Population. "Who" the facility houses influences the quantity and types of staff needed. A pretrial facility, for instance, may require more intake staff and fewer program staff than a facility for sentenced inmates.

Number of Inmates. Smaller facilities seem to require somewhat higher staff-to-inmate ratios than larger facilities. Sometimes this is because living units in smaller facilities are smaller and require a higher staff/inmate ratio. Also, larger facilities are more conducive to "economies of scale." For example, a cook who prepares food for 25 may also, with inmate help, prepare food for 50 inmates.

Programs. When you developed your county's mission statement and stated goals (Chapter 2.3), you probably made commitments, directly or indirectly, to the quantity and/or categories of staff. For example, if rehabilitation is a major part of your mission, a strong program staff is needed. If frequent officer/inmate contact is desired, more correctional officers are needed.

The length of your program day (the time that inmates are out of their cells) also influences the number of staff needed. If the program day includes two shifts rather than one, more residential, security, and program staff are required.

Location of the Facility. Location affects staffing for a pretrial facility which is responsible for transporting inmates between jail and court. The longer it takes to get to court and the more presentence inmates there are, the more staff are needed.

Design of the Facility. Facility design should respond to your county's needs and desires regarding staffing. However, the reverse can also be true: design can dictate staffing needs. For example, a residential control room that, through location and equipment, enables two staff to manage 100 inmates will necessitate fewer staff than a scheme that has an officer assigned to each 20 person dayroom. Similarly, a compact jail with corridors that can be controlled by stationary staff needs fewer staff to escort inmates than an elongated jail with "blind spots" and doors that cannot be electronically controlled.

Standards, Laws, and Court Orders

Your jail may choose to follow national guidelines and standards which affect staff. However, most standards are not specific about numbers of staff; rather, they describe staff functions and means of performing them, leaving it up to localities to interpret the standards for their particular situations. For example, the American Public Health Association's **Standards for Health Services in Correctional Institutions** suggest that the health staff should be large enough to afford quality care to all prisoners. They warn against solely relying on ratios for health care staff, stating that smaller institutions with high turnover rates and many substance abusers need more staff than larger facilities with more stable and healthy populations.

Most California laws that affect jail staffing provide information that may help counties make staffing decisions without being prescriptive. For instance, the Penal Code states that counties with a population over 275,000 must have a female deputy sheriff in charge of female prisoners. Smaller counties must employ a "suitable woman who shall have immediate care of such female prisoner or prisoners" (Penal Code, 4021).

In the event of a court order requiring a county to employ a minimum number of jail staff, the county must comply.

Means of Estimating Required Staff

The degree of accuracy in projecting staff needs depends on how detailed your information is concerning both operations and design. Estimates will be rough in the early planning stages and become more detailed as planning progresses. However, there are no easy formulas for estimating staffing requirements. Simple staff-to-inmate ratios are unreliable since good rules of thumb do not exist. Little guidance is available at this rough level as to what is adequate, inadequate or overly generous, since too much depends on the nature of the prisoner population, the type of operation, the design of the facility, the correctional programs offered and so forth.

Some facilities with large numbers of staff, many programs and many security posts require about as many staff as there are inmates (staff to inmate ratio = 1.0). Facilities with low staffing ratios may have as few as .25 or .3 staff per inmate. The latter facilities would find it more difficult to support programs, would have little opportunity for other than purely routine staff-inmate contact, and achieve very easy—or, more likely, very

little—direct visual surveillance. A better method is to examine each required staff position.

Staff Positions. Estimates are based upon consideration of each position required for each function and location in a proposed facility. In planning and programming phases, positions can be determined using the list of programs and services, together with an estimate of the number of housing units and control stations. In the design phase, estimates can be based upon actual locations and movement patterns of staff. A check-list of potential positions is included in Appendix G.

Other "methods" for estimating staffing include the following:

Outcome Analysis. External measures, including the number of behavioral incidents, the quantity of overtime, and staff morale, may imply that more (or fewer) staff are needed. This approach, known as outcome analysis, tends to reward incompetence and guesses that the solution to many problems is more staff (Benton). On the other hand, responding to problems, such as low morale, with more staff may be effective. Outcome analysis is the most typical method of staff analysis currently used in corrections.

Comparative Analysis. Comparative analysis involves matching your jail with jails that are operating with similar population sizes and types, goals, facilities, and programs. Identifying similar jails may be the most critical step of this process. Matching your jail with another that is similar except for one major difference, such as population types, can be dangerous and misleading.

For this method to be most useful, at least several similar facilities should be identified and the number of staff in various functional categories, such as shown in Appendix G, should be gathered.

Your county may reap two additional benefits by examining staffing patterns from other jails. It may learn about alternative approaches to functions, some of which may be suited to your situation. Also, other county's figures may be helpful in justifying greater staffing levels to county officials and the general public.

Efficiency in staffing is one basis for evaluating proposed designs. Other ways of using the program for this purpose are described below.

Using the Program to Evaluate Design Proposals

It is critical that the program be **applied** by the design team. Therefore, the issue of communication is paramount. The architect must fully understand the directions and requirements of the program. Even if the architect is part of the programming team, the program report should clearly state and, where helpful, illustrate its message. The programming team should conduct one or more meetings at the start of the design phase for the purpose of orienting the designers to the intent, organization, and contents of the program.

The program contains the criteria to which the design should respond. Or, in other words, it "states the problem" which the design should solve. Therefore, the program is a tool for the task force in judging conceptual or schematic designs proposed by your architect.

Review objectives and requirements stated in the program and have the architect show you—to your satisfaction—that the design responds to the stated needs.

The activity sequences are particularly useful tools for design review. Have your architect "walk you through" the design and demonstrate where various sequences take you.

As stated elsewhere, it is difficult for non-architects to understand plans. Therefore, have your architect show you circulation paths, control points, sight lines, and so on. Even better, have the architect make a working model (the larger the scale, the better), which is much easier to visualize than is a plan. Some architects make working models as part of their design process. These are very different from the slick presentation models, which are sometimes commissioned. Often, they are rough and can be rather easily changed to try different arrangements. If not otherwise provided, you should include the preparation of a working model in the architects' contract.

Negotiating Trade-offs and Changes in the Program and Design

Any design does some things better than others; in fact, solving one problem in the design may actually cause other problems to appear! Since there are always "trade-offs" in design, you will have to establish your priorities. The more important criteria must be satisfied, sometimes at the expense of less important ones.

Trade-offs are a result of various constraints or limitations on the design. These include the budget, which necessitates deciding the most important ways to spend limited funds; the site, with existing buildings and circulation paths to relate to, sometimes with limited or oddly shaped buildable areas; the complexity of the functions to be accommodated; and, sometimes, the design itself, which may emphasize one function or set of values to the detriment or exclusion of others.

The program and its requirements should not be treated as totally fixed or unchangeable. While it represents the best idea of how things should be done at a certain point in time, new ideas or information may suggest—or require—changes.

More accurate pictures of cost, which are developed during design, may force trade-offs or compromises. These are acceptable as long as you are careful to ensure that major objectives or functional criteria continue to be handled properly.

References

Benton, F. Warren. **Developing and Evaluating Prison and Jail Staffing Patterns**, Volume 1 (draft), Washington, D.C.: National Institute of Corrections, February, 1981.

Palmer, Mickey A. **The Architect's Guide to Facility Programming**, New York: Architectural Record Books, and Washington, D.C.: American Institute of Architects, 1981. A comprehensive guide to facility programming that explains its function and process, describes techniques, and includes case studies. Can be valuable to clients as well as architects.

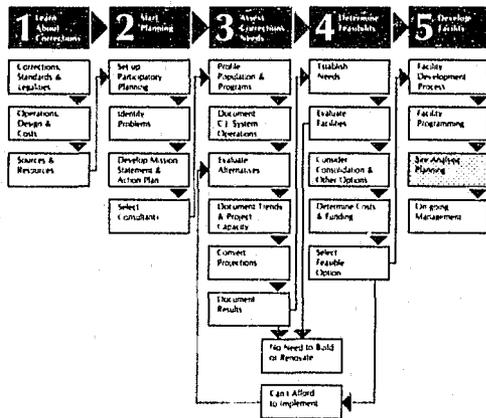
Peña, William M. **Problem Seeking**, Boston: Cahnners Books, 1977. A very clearly presented approach to architectural programming. Popular with architects.

Preiser, Wolfgang F.E., editor. **Facility Programming**, Stroudsburg, PA: Dowden, Hutchinson & Ross, 1978. A book of varied programming case studies, all of which are oriented toward the building user.

Sanoff, Henry. **Methods of Architectural Programming**, Stroudsburg, PA: Dowden, Hutchinson & Ross, 1977. Surveys a wide range of activity and user-oriented programming methods. Also presents many ranking, rating, and trade-off methods.

School of Architecture and Environmental Design, California Polytechnic State University, San Luis Obispo. **Programming: a Good Basis for Design, Budgeting and Evaluation**, Sacramento, CA: Office of the State Architect (P.O. Box 1079, Sacramento, CA 95805), 1978. An easily read pamphlet that introduces the program from the client's point of view and shows how it is used through the facility development process.

5.3 Site Analysis, Selection and Planning



Who Will Use This Chapter

Primary Users

Site Selection Task Force
 Planning Team
 Project Manager

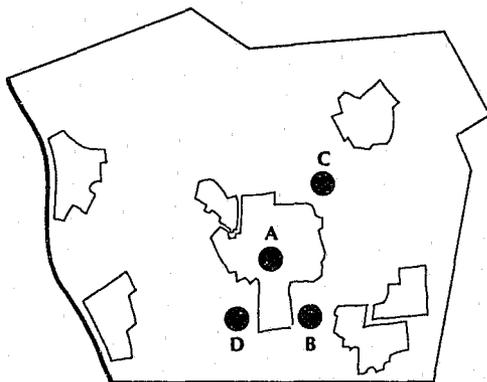
Secondary Users

Advisory Committee
 Consultant

If the Planning Team chooses to appoint a task force for site selection, it should include the project manager; a representative from each agency to be housed in the new facilities; and county staff with expertise in planning, engineering, finance, and legal issues. In addition, it is desirable to have public representation and professional input from an architect, planner, or other consultant who can assist the group with technical issues.

The Site Selection and Planning Process

Figure 5.3-1: Site Alternatives



The site selection and planning process entails the following steps:

- Defining site needs and objectives.
- Identifying of potential sites.
- Gathering information and analyzing each site.
- Evaluating the sites and selecting one of them.
- Acquiring the selected site (if not already county owned).
- Preparing an Environmental Impact Statement (if required).
- Preparing a site master plan.

To identify appropriate sites for consideration, the task force develops a list of site needs and objectives. These will include a definition of amount of buildable and open space needs, locational objectives, and any other key identifiable objectives. The task force then must identify potential sites, gather data on each one, and rank the best choices. At this point review the results with the Advisory Committee since site selection is among the most controversial of issues.

Once the site is chosen, the group may commission or direct the environmental impact assessment. It may be worthwhile conducting this before acquisition so that you'll be aware of any serious and potentially costly environmental problems. Finally, a site master plan will be developed, taking into account objectives held for site design. Each of these topics is dealt with below.

Site Selection and Development Objectives

Site objectives describe the qualities necessary to appropriately support the activities that will occur on the site and the people who will use the site and its facilities. Express objectives in non-technical terms that describe the community, governmental, or institutional expectations for the site or for any prospective location if a site has not yet been selected.

An effective way of generating these objectives is to "brainstorm" them, listing all suggestions and then discussing and refining them into a set of objectives for the site. (Refer to Chapters 2.2 and 2.4 for methods.) This should be done early in the process and reviewed by the Advisory Committee. Examples of site objectives which might be held for correctional facilities are:

- Site should be centrally located in community.
- Site should be open and approachable with "green" spaces for public use and a security perimeter.
- Site should be relatively level for ease of development.
- Site should be close to other county agencies (particularly courts for a pre-sentence facility).
- Site should be easily accessible via public transportation.

Site Criteria

To ensure that the objectives established for the site are met, selection criteria should be developed and applied to each potential site. Meeting these criteria will help ensure that objectives are attainable and that basic qualities or services can be provided at the site. You can use the checklist in Figure 5.3-3 to determine whether you have addressed the criteria.

Locational Criteria

Locational criteria address qualities affected by where the site is and include access, its neighborhood character, and its zoning.

All types of users and their vehicles should have access to the site. Specific types (or groupings) of facilities have specific access requirements, but the following issues should be reviewed for their relevance. Distances necessary for law enforcement agencies to travel to reach the site should be considered as well as distances to population centers or other areas of concentrated activity. Access to courts is always critical. If not immediately adjacent, the costs of transporting inmates to and from court must be considered along with means of transportation. The proximity of the site to county offices (such as probation, district attorney or other service providers) is important as well as the relationship to private offices (such as attorneys). To facilitate visiting and release, the site should be close to public transportation.

The **character of the neighborhood** surrounding the site will undoubtedly affect the location of correctional facilities. Location in a residential area may raise community opposition or contradict zoning regulations. However, depending on the kind of facility, it may not be appropriate to locate it too remotely from the county seat, despite potential opposition.

The most appropriate sites are frequently those near the center of government. These typically already have some justice-related functions and are quite accessible. Their use is accepted without being viewed as an infringement upon other types of uses and occupants such as retail sales, multiple family housing, or commercial zones.

To a certain degree, the appropriate neighborhood character is determined by site objectives. Occasionally, certain undesirable areas such as industrial or land-fill zones are not excluded by the site objectives. In most cases, due to noise or unpleasant odors, these types of land use do not make good neighbors for justice facilities and should be discouraged.

Zoning restrictions will also have an impact upon site selection and should be considered from the outset. In denser locations, the allowable floor-area-to-land-area ratio may prohibit a building tall enough to accommodate the required spaces. While current zoning patterns may or may not prohibit use of a site the criteria should address future zoning changes and their influence upon city and county plans.

Legal Issues

To avoid potential problems, identify as early as possible legal issues such as site easements or required notifications, assessments, approval processes and the like.

Physical Criteria

Physical characteristics of the site can have a major impact on its suitability for your purposes. Information on a wide range of site characteristics will need to be gathered and evaluated in terms of how they will affect your program or on construction costs.

The **area** of a site must be large enough to support the required building and outdoor activity spaces, as well as allow for adequate parking and service space (operations, trash, recreation). It should also allow for future expansion. "Buildable area" is determined not only by physical size but also by the zoning restrictions, topography, and soil/geologic conditions. This issue is critical since it can affect the configuration and number of stories of the building.

The **soil** should have sufficient bearing value to support a building of the proposed size and construction type without inordinately high foundation costs. It should also be free of drainage problems or a high water table. If the topography is too severe, the resulting slopes may prohibit building, make access difficult, or yield drainage and flooding problems.

Utilities, such as water, sewer, power, and gas, may or may not be easily provided or may not be available at all. If not immediately available, the costs of providing them at the site must be known since these costs can be significant enough to prohibit use of a location.

The **exposure and orientation** of the site will influence energy and operating costs. The substantial building mass typical of detention facilities provides opportunities for careful building orientation, solar heat gain, thermal insulation, and other elements of active and passive solar design.

The cost and character of the design are also influenced by other site qualities. These may include the nature of the appearance and approach to the facility, views (desirable or undesirable), noise sources in the vicinity, or other features that may not be compatible with residential and office functions within the facilities.

The **ecology** of a site will most likely be documented in the environmental impact assessment. Potential threats to fragile ecosystems may have to be minimized by sometimes costly methods. Since placement on the site will determine environmental impact to some degree, these threats may be handled in such a way as to mitigate their effect on environmentally sensitive features.

Acquisition Issues

A site must also be attainable. If the county does not own the property, the ownership must be researched before negotiations can begin. Property ownership and tax records maintained by the county assessor and tax collector will provide this information.

Once ownership is determined, the most critical aspects of acquisition are as follows:

- **Can the property be obtained** through negotiation or condemnation?
- **What are the costs** to acquire, develop, and operate at the site (for instance, transport of inmates)?
- **How much time is required** to acquire and develop the property? (For example, are zoning changes or other time-consuming permissions needed?)

Environmental Impact Report

If your project is larger than a minor addition, determine the need for an environmental impact study. A "negative declaration" is a finding that the project would probably not have major environmental effects. However, negative declarations are rarely adequate for jail construction. In this case, no further study is needed.

In that case, your county (or a consultant) will have to study the potential impact of the project upon the site's vegetation, wildlife, and land use. It will also address the project's influence on the surrounding area in terms of water run-off, pollution, traffic, transportation, population, property values, social services, business, and industry. Any significant effects might require detailed study and the inclusion of "mitigation" measures before a project can begin.

Public hearings to acquaint the community with the project and hear their concerns are part of the environmental impact process.

When the site is to be purchased, it is important to conduct a preliminary environmental investigation prior to acquisition. Hopefully, you can identify any major problems that might require not only a full EIR (which costs money and takes time), but expensive site development measures as well.

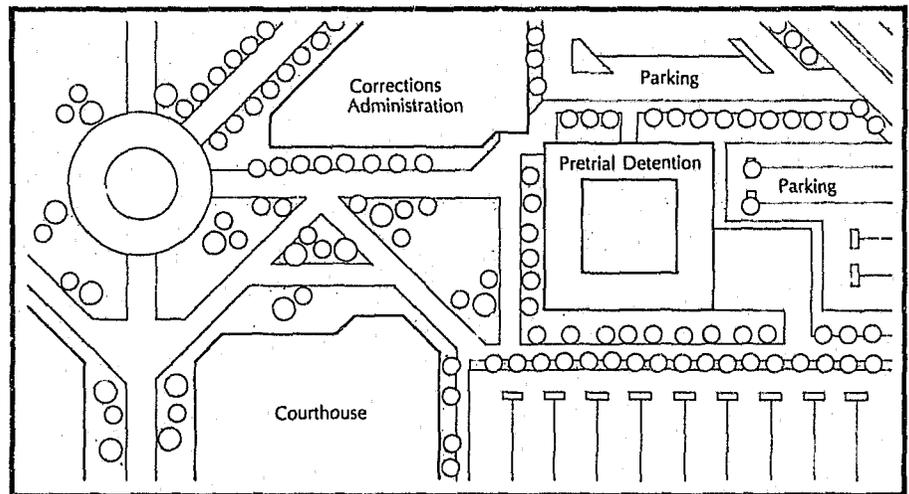
Site Master Planning

The selection of a site is also affected by factors concerning its future use including:

- Anticipated future expansion.
- Potential requirements for other facilities (in addition to the jail).
- Likelihood of removing facilities currently on the site.
- Potential for future reduction in operations or space needs of planned or existing facilities.

Such factors concerning the long-term development of a site are normally addressed in a site master plan. The plan controls where and how proposed facilities, roads, open spaces, landscaping, utilities and so forth will be located, expanded, or removed over a period of years. The plan usually shows the development in phases over time, with each phase representing the completion of a major change on the site. Or, it may show how such changes can be accommodated without specifying when they will take place.

Figure 5.3-2: Site Master Plan



Before selecting a site, your county should consider its probable future needs. For example, will other county facilities such as additional correctional facilities or offices be needed in the future, and would it be best to locate them on the same site?

Considering your county's long term needs will help you select a suitable site and plan the development of that site, whether for a jail, a justice complex, or a wide array of county facilities. The checklist shown in Figure 5.3-3 may help you review the features of proposed sites. Figure 5.3-4 provides an evaluation form for rating proposed sites once their numbers are narrowed down to major candidates.

Figure 5.3-3: Site Analysis Checklist

The following checklist presents a set of select criteria often used in assessing the suitability of potential sites.

1. Site Objectives

Image
Function
Economics
Timing

2. Locational Criteria

Access:

- For all users (depends on functions included)
- Law enforcement (routes and distances)
- Courts (if not on same site)
- Public (population centers, transport)
- Relation to county seat, other agencies

Neighborhood Character:

- Compatibility
- Local support/opposition
- Desirable/undesirable surrounding uses

Zoning:

- Allowable floor area ratio
- Current zoning classification
- Relation to city and county plans

3. Physical Criteria

Site Area:

- Building area
- Parking area
- Outdoor activity areas (e.g., recreation)
- Open space, landscape, etc.
- Area for future expansion
- Total site area needed

Soil/Geology:

- Bearing value
- Drainage and water table

Topography:

- Slopes
- Buildability
- Drainage/flooding

Utilities:

- Availability and cost
- Sewer (sanitary and storm)
- Water
- Power
- Gas
- Phone
- Cable TV
- District heat (co-generation?)

4. Acquisition Issues

Cost:

- Acquisition
- Site development
- Site-specific construction costs
- Operational costs (especially transportation)

Time:

- Time for acquisition and development

Ownership:

- County-owned land
- Other agency
- Private owner

Acquisition Method:

- Condemnation
- Negotiation
- Assessment

Exposure/Orientation:

- Sun (light, solar)
- Wind
- Views (desirable and undesirable)

Noise:

- Type, level, timing
- Impact on planned functions

Ecology:

- Indigenous flora and fauna
- Potential environmental impacts
- EIS/EIR requirements?

Figure 5.3-4: Justice Center—Site Evaluation Form

This is an example of a form used to assess sites for a proposed justice center. One sheet is filled out for each site under consideration. A rating scale (1 = poor to 5 = excellent) evaluates each site on each point. Remember, however, that some criteria may be more important than others and that if a site is to be used for more than a jail, you must add factors which specifically relate to those facility types. (Developed by Linn County, Oregon Sheriff's Department.)

Site Description

Site Code Number:

Assessor's Number:

Owner:

Area (acres):

Description of Property:

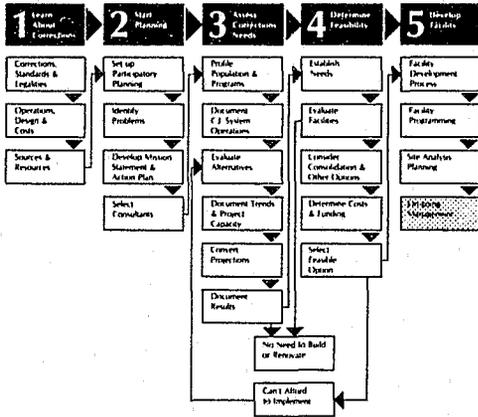
Estimated Cost:

Criteria	Comments	Ranking (1 = Poor, 5 = Excellent)
Access (Public, staff, Law enforcement, etc.)		
Neighborhood Character		
Zoning		
Topography		
Utilities (Water, Sewer, Power, etc.)		
Noise		
Other Comments:		

References

- Burchell, Robert W., and Listokin, David. **The Environmental Impact Handbook**, New Brunswick, NJ: Center for Urban Policy Research, Rutgers—The State University, 1975. Presents an array of standardized approaches to EIR procedures and requirements.
- Lynch, Kevin. **Site Planning**, Second Edition, Cambridge, MA: The MIT Press, 1975. A comprehensive guide to both the issues and techniques of site planning. Widely used by design professionals since its introduction in 1962.
- Office of Planning and Research. **CEQA: The California Environmental Quality Act: Law and Guidelines**, Sacramento, CA: State of California; April, 1981.
- Rubenstein, Harvey M. **A Guide to Site and Environmental Planning**, New York: John Wiley and Sons, 1969. A reference text combining an introduction to site design with technical information necessary for site analysis and planning. Material covers site selection, analysis, land use, visual design factors, and landscaping details.

5.4 On-going Project Management



Who Will Use This Chapter

Primary Users
 Project Manager
 Transition Task Force
 Advisory Committee

Secondary Users
 Corrections/sheriff
 Board of Supervisors

Introduction

Having devoted so much effort and care to the planning process up to the point of facility design, it is critical that the county maintain an organization that can monitor the project through completion of construction, move-in, and operation.

On-going monitoring, evaluation, and planning functions will help corrections prepare for and implement programs, move into and operate facilities, and continue (periodically) to update and review corrections and criminal justice systems data.

Through such on-going management, potential problems can be anticipated or at least identified before they become unmanageable. The people or agencies in positions to solve them will already be mobilized.

Participants' Roles

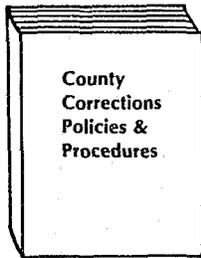
As the facility moves into the construction phase, the project manager and Planning Team should begin preparations to move to the new facility. The Programming and Design Task Force should convert its function to that of the Transition Task Force, perhaps adding certain other members.

However, the Advisory Committee's role should be on-going. It will support the transition process and monitor correctional system performance and programs as well as continue to coordinate with the rest of the criminal justice system.

Staff to the committee should continue gathering and analyzing data on system performance and evaluating the effectiveness of programs. Periodically, reports should be presented, and policy and programs re-evaluated.

Staff Preparation for Moving into and Operating the New Facility

Opening a new facility requires a significant amount of preparatory planning. Often, the new facility is very different physically from the existing one. New procedures and operations must be developed and, hopefully, debugged **before** the first inmates move in. The staff must understand the concepts behind the design in terms of the operational (and sometimes philosophical) assumptions built into the plan.



Rehearse through procedures a number of times prior to the actual move so that each individual is aware of how to perform his or her part. This orientation should be carried out in conjunction with testing all equipment and systems to ensure that they are performing properly and support staff actions.

To handle both planning and logistics of the move, organize a Transition Task Force during the construction phase. This group should be drawn, at least in part, from the Programming and Design Task Force whose members are the people who are familiar with the building design and its intended operation.

Functions of the Transition Task Force include the following:

- Updating the policy and procedures manual and developing detailed descriptions of procedures to be followed in the new facility.
- Carrying out (or coordinating and reviewing) a "final" operational staffing analysis, including shift assignments.

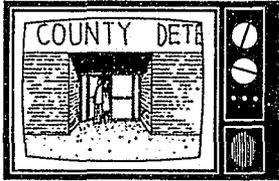
Correctional Officer	B-A	4-12	12-B	SWING
● JIM J.	✓			
BILL E.		✓		
JOHN F.			✓	
ART D.				✓
● JOE S.	✓			
JOHN B.		✓		
MIKE R.			✓	
BOB A.				✓
●				

- Coordinating the hiring and training of new staff in all aspects of corrections. This includes orienting existing staff to the building and training them in new procedures and use of new systems. The latter should not be done too early since staff members will forget what they have learned by the time of the move.
- Placing of moveable furniture and equipment.



- Testing the performance of all systems and all new procedures.

System	Date	Performance
ALARMS		
• SMOKE	3-16	O.K.
• DOORS	3-16	O.K.
CCTV	3-17	NEEDS WORK
AUTO-DOORS		
● RM - CELL C-1	3-17	A BIT STICKY
RM - CELL C-2	3-17	O.K.
RM - CELL C-3	3-17	O.K.



- Planning and overseeing the logistics of the move into the new facility (for instance, who will go where, and when.)
- Conducting media and public relations efforts concerning the new facility. Organizing and conducting tours and perhaps "overnight" visits to the facility for staff, families, VIP's and the public. Speaking to school and public service or social clubs about the new facility.
- Trouble-shooting during and after move-in.

The architectural consultant should orient staff to the building and train them in the operation and utilization of systems and equipment (in coordination with manufacturers). At that time, the facility users' manual should be delivered and explained along with the "as-built" drawings.

The Transition Task Force may draw upon the experience of the National Institute of Corrections' program, "How to Open a New Institution," which covered many of the organizational and logistical aspects of such a move. (Contact NIC for information.)

On-going Data Gathering and Analysis

To keep tabs on the ever-shifting demands placed upon the jail, certain data gathered for the needs assessment should be reviewed periodically. These data are most useful when they go beyond the minimums required by the Board of Corrections for its annual reporting.

Responsibility for these data collection and planning functions are delegated by the sheriff or jail administrator to a staff planner or a regional criminal justice planner. On-going data collection is much easier if the jail tailors its booking form to the data used in Handbook Three.

At least every year—perhaps every 3 or 6 months—the jail should review its capacity projections, updating them in light of intervening experience. The actual number of people in various categories who were booked, and the length of time they spent in jail will form the basis for this analysis, together with revised county population projections.

Each year or two, the jail should carry out a smaller scale version of the jail population profile as done in Chapter 3.1. In this manner, the jail can monitor changes in the composition of its population and identify shifting problems and needs.

In addition, newly instituted programs should be monitored to see how they are working. To do this, institute an orderly record keeping system at the start of the program. Otherwise, the information won't be there when you want or need it. The next section discusses how that information is used to evaluate operations.

Monitoring, Evaluation and Problem Solving

The staff responsible for gathering and analyzing jail population data should make periodic (monthly or quarterly) reports to the advisory committee.

Each six to twelve months, the performance of various correctional and jail related programs should be reviewed. This review should be both **informal**, looking at peoples' impressions of how programs are working, and also **formal**, measuring program performance in relation to stated objectives.

At these periodic review sessions, problem identification techniques (such as those discussed in Chapter 2.2) may be used to uncover new or on-going problems. Jail inspections and grand jury reports should also be reviewed.

Overcrowding ranks among the most persistent jail problems. One of the reasons that new jails built to twenty-year capacity projections fill up immediately upon opening is that no effort is made to monitor and coordinate the justice programs that were anticipated during planning. Thus, it is critical to carefully scrutinize the performance of these programs as the facility begins and continues operations.

Conclusion

We end the handbooks with this chapter. While no treatment of corrections planning can be "complete," we have presented a great deal of information in a format which we hope will prove useful.

While corrections planning can be time consuming and complex, the achievement of a responsive and effective corrections system is a source of pride for the community and professionals who bring it about.

References

Adams, Stuart. **Evaluative Research in Corrections: a Practical Guide**, Washington, D.C.: U.S. Department of Justice, National Institute of Law Enforcement and Criminal Justice, 1975. Reviews the status of corrections evaluation and provides a how-to guide for evaluating programs.

Farbstein, Jay; Wener, Richard and Gomez, Patricia. **Evaluation of Correctional Environments**, San Luis Obispo, CA: Farbstein/Williams & Associates, 1979-1980. A series of reports on how the jail environment affects inmates and staff, methods used to measure this impact, and results of case studies of jails.

Klein, Malcolm and Teilmann, Katherine, editors. **Handbook of Criminal Justice Evaluation**, Beverly Hills, CA: Sage Publications, 1980. A collection of rather technical papers on issues in criminal justice program evaluation.

Milosovich, John and Dupree, David. **Opening New Prisons, Jails and Community-based Centers**, College Park, MD: American Correctional Association, 1980. Presents information developed in NIC's "How to Open a New Institution" program.

Morris, Lynn Lyons, editor. **Program Evaluation Kit**, Beverly Hills, CA: Sage Publications, 1978. A series of eight step-by-step handbooks showing how to organize and conduct a program evaluation.

U.S. Department of Justice, Federal Prison System. **Activation Manual: Staff, Equipment, Inmates**, Washington, D.C.: Bureau of Prisons, no date. While oriented toward prison facilities, this manual provides a model process for organizing the start-up of a new facility. Contains many checklists and an overall schedule.

Appendix A:

Snapshot Profile Data Form

Last	First	Middle Initial
1. Inmate Name: _____		
2. CII Number: _____		
3. Local Jail Identifying Number _____		
<p>4. Facility in Which Inmate Housed: (B)</p> <p>1.) Assign number to</p> <p>2.) each detention</p> <p>3.) facility operated</p> <p>4.) by the county.</p> <p>5.)</p> <p>.)</p> <p>.)</p>	<input type="checkbox"/> 1	<p>Assign one number each to: other Calif. county and out-of-state</p>
<p>5. Sex: (B)</p> <p>1. = Male</p> <p>2. = Female</p>	<input type="checkbox"/> 2	<p>9. Arresting Agency (B)</p> <p>Assign number to each agency which arrests and books in local facilities.</p>
<p>6. Race: (B)</p> <p>1. = White</p> <p>2. = Black</p> <p>3. = Mexican-American</p> <p>4. = Japanese</p> <p>5. = Chinese</p> <p>6. = American Indian</p> <p>7. = Filipino</p> <p>8. = Pacific Islander</p> <p>9. = Other/Unknown</p>	<input type="checkbox"/> 3	<p>10. Type of Arrest (B)</p> <p>1. = On-view</p> <p>2. = Warrant</p> <p>3. = Enroute</p> <p>4. =) Add other arrest</p> <p>5. =) categories as .) desired. .) .)</p>
<p>7. Age: (B)</p> <p>(enter actual years)</p>	<input type="checkbox"/> <input type="checkbox"/> 4 5	<p>11. Length of Stay (hours) (B)</p> <p>1. = 0-1 hours</p> <p>2. = 1-4 hours</p> <p>3. = 5-9 hours</p> <p>4. = 10-24 hours</p> <p>5. = More than 24 hours</p>
<p>8. Place of Residence: (B)</p> <p>Assign numbers to each city in the county to include one number for county unincorporated area.</p> <p>If desired, assign numbers to neighboring counties.</p>	<input type="checkbox"/> <input type="checkbox"/> 6 7	<p>12. Length of Stay (days) (B)</p> <p>Enter actual number of days elapsed from date of booking to the date the profile is being taken.</p>
		<p>13. Current Sentence (B)</p> <p>(Enter actual sentence as noted by comparing release date and booking date noted in jail records).</p> <p>Enter 0-0-0 if the inmate is unsentenced.</p>

B = Basic S = Secondary

14. Primary Charge: (B)

(See offense grouping sheet for Penal Code violations related to the offense classes noted below. Included as Appendix G.)

18 19

Felony

- 01. = Murder/related violent crime
- 02. = Other violent anti-person crime
- 03. = Violent crime involving police officer
- 04. = Family offense
- 05. = Sex offense
- 06. = Commerical sex offense
- 07. = Burglary
- 08. = Weapons
- 09. = Other property crimes (non-violent)
- 10. = Drug/prohibited substance—use
- 11. = Drug/prohibited substance—sale
- 12. = Automobile violations
- 13. = Probation violations
- 14. = Miscellaneous

Misdemeanor

- 15. = Violent offense—civilian
- 16. = Violent offense—police officer involved
- 17. = Burglary related
- 18. = Family violence
- 19. = Sex offense
- 20. = Commerical sex offense
- 21. = Weapons
- 22. = Non-violent/non-burglary property crime
- 23. = Nuisance
- 24. = Public inebriation
- 25. = Drug/prohibited substance—use
- 26. = Drug/prohibited substance—sale
- 27. = Probation violation
- 28. = Automobile offense—alcohol involved
- 29. = Automobile offense—non-alcohol related
- 30. = Miscellaneous

15. Number of Additional Felony Charges (B)

0 through 8, enter actual number;
9 or more, enter 9

20

16. Number of Additional Misdemeanor Charges (B)

0 through 8, enter actual number;
9 or more, enter 9

21

17. Bail Set on Current Arrest: (B)

- 0 = Bail Information Unavailable
- 1 = Less than \$150
- 2 = \$151 to \$500
- 3 = \$501 to \$1000
- 4 = \$1001 to \$2000
- 5 = \$2001 to \$3000
- 6 = \$3001 to \$4000
- 7 = \$4001 to \$5000
- 8 = \$5001 to \$7500
- 9 = \$7501 +

22

18. Wanted by Other Jurisdiction (B)

- 0. = No arrest warrant or parole hold
- 1. = Parole hold
- 2 = Arrest warrant by other county
- 3. = Arrest warrant by state agency
- 4. = Arrest warrant by federal agency
- 5. = Arrest warrant by local, in-county
- 6. = Probation Hold
- 7. = Unknown

23

19. Nature of Charges in Other Jurisdictions (B)

Enter most serious charge using categories listed under #14.

24 25

20. Total Outstanding Warrants and Holds: (B)

- 0 = None
- 1-8 = Actual number
- 9 = 9 or more

26

21. Bail Amount of Outstanding Warrants: (S)

- 0. = Information Not Available
- 1. = Less than \$150
- 2. = \$151 to \$500
- 3. = \$501 to \$1000
- 4. = \$1001 to \$2000
- 5. = \$2001 to \$3000
- 6. = \$3001 to \$4000
- 7. = \$4001 to \$5000
- 8. = \$5001 to \$7500
- 9. = \$7501 +

27

22. Number of Prior Felony Convictions: (B)

- 1-8 = Enter actual number
- 9 = 9 or more
- 0 = None

28

23. Most Serious Previous Felony Convictions (S)

See offense grouping sheet (Appendix G) for Penal Code violations related to the offense classes noted below.

<input type="checkbox"/>	<input type="checkbox"/>
29	30

Felony

- 01. = Murder/related violent crime
- 02. = Other violent anti-person crime
- 03. = Violent crime involving police officer
- 04. = Family violence
- 05. = Sex offense
- 06. = Commerical sex offense
- 07. = Burglary
- 08. = Weapons
- 09. = Other property crimes (non-violent)
- 10. = Drug/prohibited substance—use
- 11. = Drug/prohibited substance—sale
- 12. = Automobile violations
- 13. = Probation violations
- 14. = Miscellaneous

24. Number of Previous Misdemeanor Convictions: (S)

- 1-8 = Enter actual number
- 9 = 9 or more
- 0 = None

<input type="checkbox"/>
31

25. Most Serious Previous Misdemeanor Conviction (S)

See offense grouping sheet (Appendix G) for Penal Code violations related to the offense classes noted below.
(excluding warrant or hold information recorded in #14, above).

<input type="checkbox"/>	<input type="checkbox"/>
32	33

Misdemeanor

- 15. = Violent offense—civilian
- 16. = Violent offense—police officer involved
- 17. = Burglary related
- 18. = Family violence
- 19. = Sex offense
- 20. = Commerical Sex Offense
- 21. = Weapons
- 22. = Non-violent/non-burglary property crime
- 23. = Nuisance
- 24. = Public inebriation
- 25. = Drug/prohibited substance—use
- 26. = Drug/prohibited substance—sale
- 27. = Probation violation
- 28. = Automobile offense—alcohol related
- 29. = Automobile offense—non-alcohol related
- 30. = Miscellaneous

26. Current Other Pending Cases (S)

- 1. = Yes
- 2. = No
- 3. = No information

<input type="checkbox"/>
34

27. Past Bench Warrants for Failure to Appear (S)

- 1. = Yes
- 2. = No
- 3. = No information

<input type="checkbox"/>
35

(Difficult to document in most jurisdictions. If available, should be collected).

28. Previous Incarceration History (S)

- 0. = No previous incarceration
- 1. = Previous time unsentenced in county system
- 2. = Previous sentenced time in county system
- 3. = Previous time in state facility

<input type="checkbox"/>
36

29. Reason Misdemeanor Offenses Not Citable (B)

- 01. = Too intoxicated
- 02. = Required medical care
- 03. = Multiple VC 40302 violations
- 04. = Outstanding warrants
- 05. = Lack of personal identification information
- 06. = Jeopardize prosecution of case
- 07. = Safety of persons/property endangered
- 08. = Refused to sign citation waiver
- 09. = Warrant arrest
- 99. = Unknown

<input type="checkbox"/>	<input type="checkbox"/>
37	38

30. Current Housing in Facility: (B)

Assign codes to the various potential housing situations in the jail facility/ other detention facility (e.g. single cell; dormitory; medical unit; etc.)

<input type="checkbox"/>
39

31. Custody Problem(s) Determining Housing Requirement (B)

- (a) First Problem
- (b) Second Problem
- (c) Third Problem

<input type="checkbox"/>	<input type="checkbox"/>
40	41

<input type="checkbox"/>	<input type="checkbox"/>
42	43

<input type="checkbox"/>	<input type="checkbox"/>
44	45

- 00. = No custody problem
- 01. = Violent behavior
- 02. = Suicidal
- 03. = Escape history
- 04. = Mental problem—non-violent
- 05. = Mental problem—general population
- 06. = Medical problem—general population
- 07. = Medical problem—required observation
- 08. = Homosexual/transsexual
- 09. = Prison gang member
- 10. Enemies in facility population
- 11.) Add other relevant
- 12.) characteristics
- 13.) which impact housing
- 14.) and/or consideration for pretrial release

32. Employment Status: (S)

- 0. = Currently unemployed
- 1. = Employed—full time job
- 2. = Employed—part time job
- 3. = School—full-time enrollment
- 4. = No information

46

33. Residence Pattern: (S)

- 0. = No residence pattern in local area
- 1. = Present residence in local area—last 4 months and/or 2 local residences last 6 months.
- 2. = Present residence in local area—last 6 months and/or present and prior resident —1 year.
- 3. = Present local residence—1 year or more
- 4. = No information

47

34. Family/Community Ties (S)

- 0. = No family ties
- 1. = Lives with non-family
- 2. = Lives with/has weekly contact with family

48

35. Alcohol/Drug Abuse/Mental Health Problems (B, if available)

- (a) First Problem
- (b) Second Problem
- (c) Third Problem

49

50

51

- 0. = No problem
- 1. = Drug addiction—active at time of booking
- 2. = Drug addiction—past history
- 3. = Alcoholic
- 4. = Mental problems—on medication in facility
- 5. = Mental problems—out-patient at time of arrest.
- 6. = Mental problems—previous history of care but not under active care at time of arrest.

36. Marital Status (S)

- 1. = Married
- 2. = Single
- 3. = Divorced
- 4. = Separated
- 5. = Widowed
- 6. = Unknown

52

37. Adjudication Status of Unsented Inmates (S)

- 1. = Awaiting Municipal Court arraignment
- 2. = Arraigned at Municipal Court level, awaiting preliminary hearing
- 3. = Arraigned at Municipal Court level, awaiting Municipal Court trial.
- 4. = Arraigned at Superior Court level, awaiting trial.
- 5. = Completed preliminary hearing at Municipal Court level, awaiting Superior Court arraignment.
- 6. = Convicted at Municipal Court level, awaiting sentencing.
- 7. = Convicted at Superior Court level, awaiting sentencing.
- 8. = Sentenced at Superior Court level, awaiting transfer to state facility.
- 9. = Other sentenced inmate.

53

Appendix B:

Suggested Sources for Snapshot Profile Data

This appendix shows basic and alternative sources for the data elements in the snapshot profile. The alternative approach need only be used when the basic source is not available.

Data Element	Suggested Source (& Alternative)																																
4. Facility Where Inmate Housed	Booking sheet or jail roster (Alternative Source: Review list of inmates with jail commander at time profile constructed; note location of all inmates as of the time designated as the baseline for the snapshot.)																																
5. Sex 6. Race 7. Age 8. Place of Residence	Booking sheet or jail jacket/folder containing papers related to each inmate. Arrest report related to current offense also likely to contain required demographic data. (Alternative Source: Distribute simple demographic questionnaire to all inmates in custody at the time the profile is taken. Collect and transfer information to tally sheet. If questionnaire is necessary to collect required demographic data, consider distributing and collecting at the next meal following the cut-off hour established to construct the population profile. Distribute with meal and collect completed questionnaire upon completion of the meal. If questionnaire is used, audit sample to insure validity.)																																
9. Arresting Agency	Booking sheet or copy of arrest report contained in inmate's jail file.																																
10. Type of Arrest	Booking sheet or copy of arrest report contained in inmate's jail file.																																
11. Length of Stay (hours) 12. Length of Stay (days)	Booking sheet, jail ledger, or copy of arrest report contained in inmate's jail file. Release log. (Alternative Source: To facilitate computation and recording of length of stay data, construct simple reference table counting days which precede the profile date as shown in the example which follows)																																
<table border="1"> <thead> <tr> <th colspan="4">Profile Date: 4-20-81</th> </tr> <tr> <th>Date</th> <th>Days</th> <th>Date</th> <th>Days</th> </tr> </thead> <tbody> <tr> <td>4-20</td> <td>0</td> <td>3-18</td> <td>32</td> </tr> <tr> <td>4-19</td> <td>1</td> <td>3-17</td> <td>33</td> </tr> <tr> <td>4-18</td> <td>2</td> <td>3-16</td> <td>34</td> </tr> <tr> <td>4-17</td> <td>3</td> <td>3-15</td> <td>35</td> </tr> <tr> <td>4-16</td> <td>4</td> <td>3-14</td> <td>36</td> </tr> <tr> <td>4-15</td> <td>5</td> <td></td> <td></td> </tr> </tbody> </table>		Profile Date: 4-20-81				Date	Days	Date	Days	4-20	0	3-18	32	4-19	1	3-17	33	4-18	2	3-16	34	4-17	3	3-15	35	4-16	4	3-14	36	4-15	5		
Profile Date: 4-20-81																																	
Date	Days	Date	Days																														
4-20	0	3-18	32																														
4-19	1	3-17	33																														
4-18	2	3-16	34																														
4-17	3	3-15	35																														
4-16	4	3-14	36																														
4-15	5																																
13. Current Sentence	Copy of court sentencing order contained in inmate's jail folder. Booking sheet.																																
14. Primary Charge 15. Additional Felony Charges 16. Additional Misdemeanor Charges	Booking Sheet—for both sentenced and unsentenced prisoners. Copy of court sentencing order contained in inmate's jail folder—for sentenced inmates. Copies of relevant court documents contained in inmate's jail folders—for unsentenced inmates. (Alternative Source: In constructing the profile, it is important that current charge status of each sentenced and unsentenced inmate is recorded. Care needs to be taken that the current charge (as opposed to arresting charge) is documented for those unsentenced inmates who have been arraigned and are still in custody. This differentiation is important because, often arraignment charges differ markedly, in terms of both seriousness and number, from charges at the time of arrest and booking. If current charge data is unavailable from jail documents, a list of inmates could be prepared and checked against court files to document charge status as of the date of profile construction. It should be noted that this could be a time consuming exercise and is probably better suited to a small sample size.)																																

Data Element	Suggested Source (& Alternative)
17. Bail Set on Current Arrest	Bail schedule adopted by county judges or bail documents contained in inmate jail files.
18. Wanted by Other Jurisdiction 19. Nature of Charges in Other Jurisdiction 20. Total Outstanding Warrants and Holds 21. Bail Amount of Outstanding Warrants	Wants and warrants information contained on booking sheet or noted in jail file of each inmate. Statewide/regional data system material inserted in jail folders. (Alternative Source: Have jail personnel conduct CLETS check for wants, warrants, holds and transfer results to tally sheet.)
22. Number of Prior Felony Convictions 23. Most Serious Previous Felony Conviction 24. Number of Previous Misdemeanor Convictions 25. Most Serious Previous Misdemeanor Convictions	Rap sheets attached to booking sheet/inserted in jail inmate file or folder. In those counties with automated criminal justice information systems, conviction histories could be produced for each inmate, analyzed and transferred to the data/tally sheet. Interview forms completed by jail or other staff to collect information to support decisions related to releasing inmates on their own recognition. (Alternative Sources: Two alternative sources exist: (1) through the Sheriff's Department, get criminal history summaries through CLETS—use inmate name and CII number to collect statewide data; or (2) through CII, State of California, Department of Justice, request criminal history listings for each inmate incarcerated at the time sample was taken. Both sources will provide statewide arrest and conviction history, to the extent they exist, for each incarcerated individual. Data will also include information on sentenced time served at state or local correctional facilities. It should be noted that arrest disposition data from some counties is under-reported and the criminal history summaries noted above may be incomplete.)
26. Current Other Pending Cases	Notations on booking sheets or pretrial release interview forms. (Alternative Source: A list of inmates can be prepared and checked against court files to determine if inmates have multiple pending cases in local courts. It should be noted that this could be a time consuming exercise and is probably better suited to a relatively small sample.)
27. Past Bench Warrants for Failure to Appear	Notations on booking sheets or pretrial release interview forms. (Alternative Source: Difficult to construct if system has not been established to routinely record historical failure to appear information. Alternative approach could consist of checking list of names of incarcerated individuals against court records (alphabetic cross reference first and then, if FTA/disposition data are not recorded on the court's master index, check of each court file. It should be noted that this could be a time consuming exercise and is better suited to a small sample size.)
28. Previous Incarceration History	Data contained in jail/custody file of each inmate. Realistic source only if sheriff's record keeping practices include maintenance of a single, continuing custody file for inmates. Subject to limitation of providing local incarceration history only. (Alternative Source: CII histories, (described in regard to data elements 18, 19, 20, 21 noted above) will provide incarceration history information.)
29. Reason Misdemeanor Offenses Not Cited	Arresting officer certification on arrest report. Check inmate custody file for arrest report and analyze information/extract data. (Alternative Source: Check inmates against the record files of the arresting agency; review relevant arrest/crime, incident report and note reason misdemeanor citation not granted on the tally sheet.)
30. Current Housing in the Facility	At the time profile is taken, make copy of jail assignment/housing roster if housing location data are not noted on the booking sheet or in the custody file. (Alternative Source: Make list of all inmates in custody at time profile taken. Circulate list to facility commander(s) and request them to notate housing location as of that date/time for each inmate. (For accuracy, must be done same day as profile.) Transfer to tally sheet.)
31. Custody Problem(s) Determining Housing Requirements	Classification records maintained by jail. (Alternative Source: In absence of formal classification system and records, you will need to rely on knowledge and experience of jail custodial personnel. An alternative approach would be to review each inmate with a small group of line/command personnel and have them classify each inmate in terms of the custody and behavior characteristics listed on the tally sheet.)

Data Element	Suggested Source (& Alternative)
32. Employment Status	<p>Pretrial release interview forms.</p> <p>(Alternative Source: If pretrial release program does not collect and verify this information as a continuing practice, alternative approach would be to expand inmate questionnaire/survey approach noted for demographic data elements (5, 6, 7, 8 above). In collecting these data through survey form or personal interview, care will need to be exercised to ensure accuracy in terms of response by inmates. This might include random verification of data recorded on inmate survey responses. While verification can be expected to improve the validity of questionnaire data, inmate releases authorizing verification of data will have to be obtained to ensure that inmate privacy rights are not violated.)</p>
37. Adjudication Status of Unsented Inmates	<p>Court status information noted on booking sheets or in inmate custody files.</p> <p>(Alternative Source: Prepare a list of all unsentenced inmates and check that list against court dockets to note status as of the profile date. It should be noted that this could be a time consuming exercise, depending on the structure of court records, and should be considered as a contributing factor in deciding whether to "sample" or to construct a 100% profile.)</p>

Appendix C:

Sampling Guidelines

As noted in Step 1, if your facility has a large population, or if you wish to study releases over a long period, you may want to **sample** rather than study **all** of the people in the jail. The following paragraphs describe the advantages and disadvantages of sampling. They also discuss how to construct samples for either the snapshot or longitudinal profile.

Advantages of Sampling

“Sampling” requires less time for data collection.

When populations are relatively large, properly constructed samples can accurately portray relevant characteristics of total jail and other detention facility populations.

If data are not readily available to satisfy information requirements related to jail profile construction, sampling provides the opportunity to increase staff time to “search out” difficult data by reducing the number of inmates profiled.

Disadvantages of Sampling

In analyzing detention facility populations for facility planning purposes, it is frequently important to identify and isolate small population components to assess security, program, or other characteristics with relevance for facility planning purposes. When samples are drawn from relatively small populations (less than 1000), there is some danger that these sub-components of the general population might be obscured.

If findings from the profiling are controversial, it might be more politically defensible to have a 100% portrait of the facility’s population upon which to base analyses and conclusions.

In selecting which approach to follow (sampling versus 100% study), consider the following decision criteria.

When to Sample

When population levels exceed 200 inmates.

When staff time available to conduct the needs assessment is limited.

When jail documents are limited in scope and content and “extra” work will be required to search out information.

When study results are unlikely to be subjected to major challenges by community groups.

When to Employ a 100% Study

When population levels fall below cut-offs shown below.

When jail documents contain most or all required data in a readily accessible form.

When profile results and their interpretation are likely to be subjected to a substantial amount of community controversy.

When data collection personnel have sufficient time to profile the entire population.

How to Construct a Sample for the Snapshot Profile

If sampling is selected as the desired approach, follow these steps to select and construct a study sample.

Task 1. Determine your preferred sample size. Use the table which follows for sampling guidelines.

Population	Sample Size
0–200	100%
201–300	200 plus 25% of population above 200.
301–400	225 plus 20% of population over 300.
over 400	240 plus 15% of population over 400.

Task 2. Make a comprehensive list of all individuals who are incarcerated at the time the profile is to be constructed. Use jail booking files or another list as your source to construct list.

Task 3. Give an identification code number to each or the names on the list, starting with 1 and numbering sequentially until each name on the list has been assigned a different number.

Task 4. Obtain a table of random numbers from a library, bookstore, or statistics textbook.

Task 5. Use the random number table to select which inmates to include in your analysis. This is done by going sequentially through the random numbers and including each inmate whose number appears, until you have a large enough sample. If each random number in the table is longer (more digits) than your identification code, treat your codes as three or four digit numbers (e.g., 1 would be 001 or 0001) and look only at the last three or four digits of the random number.

This procedure eliminates bias in selecting who to include in the study.

How to Construct a Sample for the Snapshot Release Study or the Longitudinal Profile

The following steps can be used to make sampling decisions for Part Two, Release Analysis of the snapshot profile, as well as the longitudinal profile.

Review jail records to determine the volume of releases on an annual basis over the last twelve months. Based on recent release volume, determine how many releases to include. Refer to the following table for the number of releases and method of selecting them.

Sampling Guidelines for Constructing a Longitudinal Profile

Annual Bookings/Releases	Volume to be Analyzed	Suggested Sampling Technique
Less than 3,500	500 or 3 months' releases, whichever is greater.	Pick calendar period. Study all releases.
3,501 to 7,300	750 or 10 percent of releases, whichever is greater.	Pick calendar period. Select every "n-th" release to include. "N" represents the interval necessary to create sample size.
7,301 to 14,500	1,000 or 10 percent of releases, whichever is greater.	Same as above.
14,501 to 29,500	1,500 or 10 percent of releases, whichever is greater.	Same as above.
29,501	1,500 or 5 percent of releases, whichever is greater.	Same as above.

Reference

Lakner, Edward, **A Manual of Statistical Sampling Methods for Corrections Planners**, National Clearinghouse for Criminal Justice Planning and Architecture, University of Illinois, Champaign, Il, 1976.

Appendix D:

Estimated Time Requirements for Snapshot Profile

Data Collection Hours Per 100 Inmates *			
Data Element	Source	If Data Are Centralized in Jail Files	If Some Data Must be Reconstructed
1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 29, 30	Booking Sheet/ Custody File	From 10 to 20 person hours required to build tally sheet for each 100 inmates assuming that all data elements are available from custody files or booking sheets available from central source in the jail	6 to 7 person hours to extract data from booking sheets
18, 19, 20, 21	Custody File/ CII Rap Sheet		12 to 18 person hours to request printouts; sort; transfer to tally sheet
22, 23, 24, 25	Custody File/ CII Rap Sheet		Included in staff hours noted above
26, 27, 37	Custody File Court Records		16 to 32 person hours to access court records and transfer data
28	Custody File CII Rap Sheet		Included in staff hours noted above related to accessing CII history records
29	Custody File Police Agency Records		16 to 24 person hours to access police agency records
31	Classification Records; Interview w/Jail Staff		10 person hours/100 inmates
32, 33, 34, 36	Pretrial Interview From Inmate Survey		24 to 40 person hours to develop
35	Classification Records; Interview Medical or Mental Health Staff		10 person hours/100 inmates
Total		10 to 20 person hours/100 inmates	94 to 141 person hours per 100 inmates

* The actual time required is dependent on data accessibility; estimates noted in the table can be used to develop staff commitment requirements given varying levels of data availability.

Appendix F: Longitudinal Profile Data Form

Last	First	Middle Initial
Offender Name: _____		
CII Number: _____		
Jail File Control Number: _____		
<p>1. Arrest Date: _____</p> <p>2. Booking Date: _____</p> <p>3. Sex (B)</p> <p>1 = Male <input type="checkbox"/></p> <p>2 = Female</p> <p>4. Race (B)</p> <p>1 = White <input type="checkbox"/></p> <p>2 = Black</p> <p>3 = Mexican-American</p> <p>4 = Japanese</p> <p>5 = Chinese</p> <p>6 = American Indian</p> <p>7 = Filipino</p> <p>8 = Pacific Islander</p> <p>9 = Other/Unknown</p> <p>5. Age (B)</p> <p>(Enter Actual Years)</p> <p><input type="checkbox"/> <input type="checkbox"/></p> <p style="text-align: center;">3 4</p> <p>6. Place of Residence (B)</p> <p>Assign numbers to each city in the county to include one number for county unincorporated area</p> <p>If desired, assign numbers to neighboring counties</p> <p>Assign one number each to: other California county and out-of-state</p> <p><input type="checkbox"/></p> <p style="text-align: center;">5</p>	<p>7. Arresting Agency (B)</p> <p>Assign number to each agency which arrests and books in local facilities</p> <p><input type="checkbox"/> <input type="checkbox"/></p> <p style="text-align: center;">6 7</p> <p>8. Type of Arrest (B)</p> <p>1 = On-view <input type="checkbox"/></p> <p>2 = Warrant</p> <p>3 = Enroute</p> <p>4 =) Add other arrest</p> <p>5 =) categories as</p> <p>6 =) desired</p> <p>9. Primary Charge at Booking (B)</p> <p>See offense grouping sheet (Appendix G) for Penal Code violations related to the offense classes noted below.</p> <p><input type="checkbox"/> <input type="checkbox"/></p> <p style="text-align: center;">9 10</p> <p>Felony</p> <p>1 = Murder/related violent crime</p> <p>2 = Other violent anti-person crime</p> <p>3 = Violent crime involving police officer</p> <p>4 = Family offense</p> <p>5 = Sex offense</p> <p>6 = Commercial sex offense</p> <p>7 = Burglary</p> <p>8 = Weapons</p> <p>9 = Other property crimes (non-violent)</p> <p>10 = Drug/prohibited substance—use</p> <p>11 = Drug/prohibited substance—sale</p> <p>12 = Automobile violations</p> <p>13 = Probation violations</p> <p>14 = Miscellaneous</p>	

B = Basic S = Secondary

Misdemeanor

- 15 = Violent Offense—civilian
- 16 = Violent Offense—involving a police officer
- 17 = Burglary related
- 18 = Family violence
- 19 = Sex offense
- 20 = Commercial sex offense
- 21 = Weapons
- 22 = Non-violent/non-burglary property crime
- 23 = Nuisance
- 24 = Public inebriation
- 25 = Drug-prohibited substance—use
- 26 = Drug-prohibited substance—sale
- 27 = Probation violation

10. Number of Additional Felony Charges at Booking (B)

0 through 8, enter actual number; 9 or more, enter 9

11

11. Number of Additional Misdemeanor Charges at Booking (B)

0 through 8, enter actual number; 9 or more, enter 9

12

12. Reason Misdemeanor Offenses Not Cited (B)

- 01 = Too intoxicated
- 02 = Required medical care
- 03 = Multiple VC 40302 violations
- 04 = Outstanding warrants
- 05 = Lack of personal identification information
- 06 = Jeopardize prosecution of case
- 07 = Safety of persons/property endangered
- 08 = Refused to sign citation waiver
- 09 = Warrant arrest
- 99 = Unknown

13

14

13. Hold or Warrant at Arrest and Booking (B)

- 0 = No arrest warrant or parole hold
- 1 = Parole hold
- 2 = Arrest warrant by other county
- 3 = Arrest warrant by state agency
- 4 = Arrest warrant by federal agency
- 5 = Arrest warrant by local, in-county agency
- 6 = Unknown

15

14. Nature of Charges Related to Hold or Warrant (B)

Enter most serious charge using categories listed under # 9.

16

17

15. Bail Amount of Outstanding Warrants (S)

- 0 = Information not available
- 1 = Less than \$150
- 2 = \$151 to \$500
- 3 = \$501 to \$1000
- 4 = \$1001 to \$2000
- 5 = \$2001 to \$3000
- 6 = \$3001 to \$4000
- 7 = \$4001 to \$5000
- 8 = \$5001 to \$7500
- 9 = \$7501 +

18

16. Outcome of Warrants and Holds in Force at Time of Booking (B)

- 1 = Cleared/withdrawn
- 2 = Not cleared

19

17. Elapsed Time Before Hold Cleared (B)

Enter actual number of days 1-98. If not cleared, enter 99

20

21

18. Pretrial Custody Status (B)

- 1 = Released—bail
- 2 = Released—10% bail
- 3 = Station house citation
- 4 = OR
- 5 = Supervised release
- 6 = "849" release
- 7 = Released—diversion
- 8 = Not released prior to disposition

22

23

19. Elapsed Time Before Pretrial Release Granted (B)

Enter actual days before release—if same day, enter "000."

24

25

26

No release—enter "999."

20. Elapsed Hours Before Pretrial Release (B)

- 0 = Less than 1 hour
- 1 = 1-3 hours
- 2 = 4-5 hours
- 3 = 6-8 hours
- 4 = 9-12 hours
- 5 = 12-18 hours
- 6 = 18-24 hours
- 7 = More than 24 hours

27

21. Elapsed Time Between Booking and Disposition (S)

Enter actual days—if unknown, enter "999."

28

29

30

22. Point of Disposition (S) 31

- 1 = Municipal Court arraignment
- 2 = Municipal Court preliminary hearing
- 3 = Other Municipal Court hearing
- 4 = Superior Court arraignment
- 5 = Superior Court trial
- 6 = Municipal Court trial
- 7 = Superior Court hearing
- 8 = Unknown

23. Type of Disposition (S) 32

- 1 = Diversion
- 2 = Guilty plea/found guilty
- 3 = Found not guilty
- 4 = Dismissed
- 5 = 849 Release
- 6) Add others as
- 7) appropriate
- 8)

24. Elapsed Time Between Disposition and Sentencing (S) 33 34

Enter actual number of days—if unknown/not applicable—enter "99."

25. Sentence (B) 35 36

- 01 = State Prison
- 02 = State Prison and probation
- 03 = State Prison and fine
- 04 = County jail
- 05 = County jail and probation
- 06 = County jail and fine
- 07 = Probation
- 08 = Probation and fine
- 09 = Fine
- 10 = Restitution
- 11 = Weekend jail
- 12 = Community service assignment
- 13 = Weekend jail/probation
- 14 = Weekend jail/fine
- 15 =) Add other potential sentences
- 16 =) as desired
- 88 = Not applicable

26. Sentence Length (B) 37 38 39

Enter actual days of sentence—deduct any credit for time served; if no sentence, enter "000"—if over 999 days, enter "999."

27. Elapsed Time Between Sentence and Transfer to State Facility (S) 40 41 42

Applicable only to those individuals who are sentenced to state facilities. Enter actual number of days—if not sentenced to state facility, enter "000."

28. Length of Stay (days) (B) 43 44 45

Enter actual number of days spent in the facility (this stay) up to release.

29. Charge Progression Comparison (B)

(a) Primary Charge at Arraignment 46 47

Enter most serious charge using categories listed under #9. If no arraignment charge, enter "00".

(b) Primary Charge at Conviction 48 49

Enter most serious charge using categories listed under #9. If no conviction charge, enter "00".

30. Failure to Appear While on Pretrial Release (B, if available) 50

- 1 = Yes
- 2 = No
- 9 = No information

31. Number of Prior Felony Convictions (B) 51

- 1-8 = Enter actual number
- 9 = 9 or more
- 0 = None

32. Most Serious Previous Felony Convictions (S) 52 53

Enter most serious charge using categories listed under #9. If no previous felony convictions, enter "00."

33. Number of Prior Misdemeanor Convictions (S) 54

- 1-8 = Enter actual number
- 9 = 9 or more
- 0 = None

34. Most Serious Previous Misdemeanor Conviction (S) 55 56

Enter most serious charge using categories listed under #9. If no previous misdemeanor convictions, enter "00."

35. Current Other Pending Cases at Time of Arrest and Booking (S) 57

(Excluding warrant or hold information recorded in #13 above.)

- 1 = Yes
- 2 = No
- 3 = No information

36. Previous Incarceration History (S)

- 0 = No previous incarceration.
- 1 = Previous time unsentenced in county system.
- 2 = Previous sentenced time in county system.
- 3 = Previous time in state facility.

58

37. Custody Problem(s) Determining Housing Requirements (B)

- (a) First Custody problem
- (b) Second Custody problem
- (c) Third Custody problem

<input type="checkbox"/>	<input type="checkbox"/>
59	60
<input type="checkbox"/>	<input type="checkbox"/>
61	62
<input type="checkbox"/>	<input type="checkbox"/>
63	64

- 0 = No custody problem
- 1 = Violent behavior
- 2 = Suicidal
- 3 = Escape history
- 4 = Mental problem
- 5 = Mental problem—violent
- 6 = Medical problem—general population
- 7 = Medical problem—requires observation
- 8 = Homosexual/transsexual
- 9 = Prison gang member
- 10 = Enemies in facility population
- 11 =) Add other relevant
- 12 =) characteristics which
- 13 =) impact housing and/or
- 14 =) consideration for pretrial release

38. Alcohol/Drug Abuse/Mental Health Problems (B) if available

- (a) First Problem
- (b) Second Problem
- (c) Third Problem

65

66

68

- 0 = No problems
- 1 = Drug addiction—active at time of booking
- 2 = Drug addiction—past history
- 3 = Alcoholic
- 4 = Mental problems—on medication in facility
- 5 = Mental problems—out-patient at time of arrest
- 6 = Mental problems—previous history of care but not under active care at time of arrest.

39. Employment Status (S)

- 0 = Currently unemployed
- 1 = Employed—full time job
- 2 = Employed—part-time job
- 3 = School—full time enrollment
- 4 = No information

69

40. Marital Status (S)

- 1 = Married
- 2 = Single
- 3 = Divorced
- 4 = Separated
- 5 = Widowed
- 6 = Unknown

70

41. Residence Pattern (S)

- 0 = No residence pattern local area.
- 1 = Present residence in local area—last four months and/or two local residences last six months.
- 2 = Present residence in local area—last six months and/or present and prior residence—one year.
- 3 = Present local residence—one year or more.
- 4 = No information.

71

42. Family/Community Ties (S)

- 0 = No family ties
- 1 = Lives with non-family
- 2 = Lives with/has weekly contact with family

72

Appendix G:

Suggested Offense Groupings of Penal Code Violations

(Note: Counties may wish to work out their own categories.)

Felony Classes

Profile Code	Penal Code	Offense	Profile Code	Penal Code	Offense
01 Murder/Related Violent Crime			09 Other Property Crimes (non-violent)		
	PC 187	Murder		PC 337A	Bookmaking
	PC 192	Manslaughter		PC 470	Forgery of I.D.
	PC 203	Mayhem		PC 475A	Forgery of checks
	PC 217	Assault w/intent to commit murder		PC 476	Fictitious checks
	PC 220	Assault w/intent to commit rape, etc.		PC 476A	Checks, insufficient funds
	PC 261	Rape		PC 484	Theft of credit card
				PC 487	Grand Theft
				PC 496	Receiving stolen property
				PC 594	Malicious mischiefs/vandalism
				PC 664	Attempted crime
				PC 666	Petty theft w/prior conviction
				PC 667G	Petty theft w/prior felony
				BP 4234	Using minor as agent
				VC 10851	Auto theft
02 Other Violent Anti-Person Crimes			10 Drug/Prohibited Substance-use		
	PC 207	Kidnap		BP 4230	Possession of dangerous drugs
	PC 209	Kidnap for ransom/robbery		BP 4390	Forging prescriptions
	PC 211	Robbery		HS 11350	Illegal possession
	PC 221	Assault w/intent to commit a felony		HS 11368	Forging presc. for narcotic
	PC 236	False Imprisonment		HS 11377	Possession w/o presc.
	PC 245	Assault w/a deadly weapon		VC 23106	D.U.I., Drugs
	PC 246	Shooting at a dwelling	11 Drug/Prohibited Substance-sale		
03 Violent Crime Involving a Police Officer				BP 4227	Furnishing drugs w/o presc.
	PC 241	Assault on a Police Officer		HS 11351	Possession for sale
	PC 243	Battery on a Police Officer		HS 11352	Illegal transport, sale
	PC 245B	Assault w/a deadly weapon on a Police Officer		HS 11353	Using minor in sale, transport
04 Family Violence				HS 11354	Sale to minor
	PC 273A	Child Beating		HS 11355	Sale (falsely represented)
	PC 273D	Child or Wife Beating		HS 11358	Cultivation of marijuana
05 Sex Offenses				HS 11359	Possession of marijuana for sale
	PC 285	Incest		HS 11360	Marijuana: transport, sale
	PC 288	Lewd act with child		HS 11361	Use of minor in sale, transport
	PC 288A	Perversion		HS 11366	Maintaining a place
	PC 647A	Child molestation		HS 11378	Illegal possess., for sale
06 Commercial Sex Offenses				HS 11379	Illegal transport, sale
	PC 266	Seduction for prostitution		HS 11380	Inducing, violating, minor agent
	PC 266H	Pimping/pandering		HS 11382	Furnishing substance
	PC 311	Obscene Material		HS 11383	Possess., intent to manufacture
07 Burglary			12 Automobile Violations		
	PC 459	Burglary		VC 20001	Hit & run w/injury
				VC 23101	D.U.I. w/injury
08 Weapons			13 Probation Violation		
	PC 12020	Prohibited weapon		PC 1203.2	
	PC 12021	Felon, addict w/weapon		PC 1551	
	PC 12025	Concealed weapon		PC 1551.1	
	PC 12303	Destructive device			
	PC 12560	Felon w/firearm			

Profile Penal
Code Code Offense

14 Arson

PC 447A Arson

15 Miscellaneous

PC 182 Conspiracy
PC 270 Non-support
PC 653F Solicitation to commit murder

Misdemeanor Classes

16 Violent Offense-Civilian

PC 240 Simple assault
PC 242 Battery
PC 245A Assault w/a deadly weapon
PC 246 Shooting at a dwelling

17 Violent Offense-Police Off. Involved

PC 148 Resisting a Police Off.
PC 241 Assault on a Police Off.
PC 243 Battery on a Police Off.

18 Burglary Related

PC 466 Possession of Burglary related tools
PC 466.5)
PC 466.513)
PC 602.5) Trespassing
PC 647G) Loitering on priv. prop.

19 Family Violence

PC 273A)
PC 273E) Child Beating
PC 273F)
PC 273G) Drunk in presence of a minor

20 Sex Offenses

PC 272 Contributing to the delinq. of a minor
PC 288A Perversion
PC 290 Failure to register w/Sheriff
PC 314 Indecent exposure
PC 647A Soliciting to indulge in lewd conduct
PC 647D Loitering in public toilet for lewd acts
PC 647H Peeking into inhabited dwelling
PC 653G Loitering where children congregate

21 Commercial Sex Offenses

PC 266 Seduction for prostitution
PC 311 Obscene matter
PC 647B Prostitution

22 Weapons

PC 417 Brandishing a weapon
PC 653K Concealed switchblade
PC 12021 Felon with a gun
PC 12025 Carrying a concealed weapon
PC 12031 Carrying a loaded weapon
PC 12303 Possession of a gun
PC 12560 Felon with a gun

Profile Penal
Code Code Offense

23 Non-violent/non-burglary property crime

PC 330 Gaming
PC 337A Bookmaking
PC 470 Forgery
PC 475)
PC 476) Insufficient funds—checks
PC 476A Insufficient funds—checks
PC 484 Petty theft
PC 484E Theft of credit card
PC 484F) Use of credit card—
) knowing illegal
PC 484G)
PC 488 Petty theft
PC 490.5 Shoplifting
PC 496 Receiving stolen prop.
PC 499B Taking vehicle temporarily
PC 537 Defrauding innkeeper
PC 537E Possess. of stolen articles
PC 594 Malicious mischief
PC 653 Soliciting crime
PC 664 Attempted crime
PC 666 Petty theft with prior misdemeanor
PC 667C Petty theft with prior felony

24 Nuisance

PC 270 Failure to provide
PC 404 Riot
PC 404.6 Incitement to riot
PC 406 Riot
PC 407 Unlawful assembly
PC 409 Refusal to disperse
PC 415 Disturbing the peace
PC 416 Refusal to disperse
PC 538D Impersonating a Police Off.
PC 606 Damaging jail
PC 647C Begging
PC 647E Disorderly conduct
PC 650.5 Outraging public decency
PC 653M Harassing by telephone

25 Public Drinking

PC 647F Under the influence of alc.

26 Drug Use

BP 4143 Possession of dang. drugs
BP 4390
HS 11357/AC Possession: less than 1 oz of marijuana
HS 11364 Possession of a needle
HS 11365 Frequenting place of narcotics
HS 11368 Forging or altering presc.
HS 11377 Possess. of dang. drugs.

27 Drug Sale

HS 11355
HS 11360 Transport less than 1 oz of marijuana
HS 11366 Maintaining a place where drugs used
HS 11382 Furnishing substance

28 Probation Violation

PC 1203.2

Profile Code	Penal Code	Offense
29	Automobile—Alcohol Related	
	VC 23102A) Driving under the influence
	VC 23102B) of alcohol/drugs
	VC 23121	Drinking in motor vehicle
	VC 23122) Open alcoholic container
	VC 23123) in vehicle

30	Automobile—Non-Alcohol Related	
	VC 20	False statements/fict. names
	VC 27	Impersonating a CHP Officer
	VC 31	False information
	VC 10501	False report of theft
	VC 10750	Altering motor or other no.
	VC 10751	Altering engine or serial no.
	VC 10852	Tampering with auto
	VC 12500	Driver must be licensed
	VC 12951	License presented to officer on demand
	VC 14601	Suspended or invoked license
	VC 20002	Hit & run w/property damage
	VC 23103	Reckless driving
	VC 23104	Reckless driving (w/injury)
	VC 23105	Driving under the influence of drugs
	VC 23109	Speed contests
	VC 23127	Vehicle on public paths/trails
	VC 23332	Trespassing
	VC 38316	Reckless driving, w/ORV
	VC 40504	False signatures
	VC 40508	Failure to appear to pay fine
	VC 42005	Failure to attend driving school
	SHC 126	Failure to observe signs, etc.

Appendix H:

Sample Inmate Needs Survey Form

"Hi, I'm _____. Thank you for coming. I hope you will be able to help me by answering a few questions. As you may know we are doing a survey to find out what people think about some of the jail programs and how they could be improved. We just want an overall picture—we will put all the information we get together and no one will know who said what. Because of this, the form we use to record your replies has no name on it. (Show questionnaire). We are just keeping this list of names (show interview schedule) so we know who we have seen and who we still have to see. No one outside our office will see the individual questionnaires. The information will be used to help plan improvements in the jail system.

"Now, as I said, we are interested in your opinions, but if you don't have any opinion on something, or don't know, or don't want to answer—that's OK. Just say so.

"Do you think you can help us?"

(Interviewer—answer any questions, clarify, etc. If respondent is unwilling to participate, thank him again and let him go.)

Respondent Number

Interviewer Introduction

The first section is about procedures, rules and regulations. But first, in general, would you say that the jail system is—

- Very good
- Good
- Poor
- Very Poor
- Don't know/no opinion/refuse to answer

(Interviewer, if response is stilted, etc., insert reassurance on lines of Introduction. Attempt to establish rapport. Answer to this question not coded.)

Now, in detail; were there any particular procedures which caused you problems:

1. When you were arrested and booked?
 1. Took too long
 2. Difficulty in getting use of telephone
 3. Other (Specify)
2. How many hours did the arrest and booking take? ____ hours.
3. Did you apply for OR?
 1. No
 2. Yes

(If No)
4. Why didn't you apply for OR?
 1. Didn't want it
 2. Didn't know about it
 3. Didn't think I would get it (previous record, type of offense)
 4. Too much hassle
 5. Too many inquiries made
 6. Other (Specify)

(If Yes)

5. Were you interviewed for OR?

1. No
2. Yes

6. Did you get OR?

1. No
2. Yes

(If No)

7. Why do you think you didn't get OR?

1. No family in area
2. No job
3. No local connections
4. Outstanding warrant(s)
5. Previous non-appearance
6. Type of offense
7. Previous absconding/escape
8. Other (Specify)

(If No to Q 6)

8. Did you post bail?

1. Relative posted bail
2. Friend posted bail
3. Bail bond from commercial company
4. Other (Specify)

(If on OR)

9. Did you have any particular difficulties in relation to making arrangements for your trial while on OR?

1. Difficulty in getting private attorney
2. Difficulty in getting together with Public Defender
3. Difficulty in getting practical help/advice from Probation Department
4. Difficulty in getting practical help/advice from Public Defender Department Social Workers
5. Other (Specify)

(If held in custody)

10. Did you have any particular difficulties in making arrangement for your trial while in jail?

1. Difficulty in getting private attorney
2. Difficulty in getting together with Public Defender
3. Difficulty in getting practical help/advice from official agencies (e.g., probation)
4. Difficulty in getting practical help/advice from Public Defender Department Social Workers
5. Other (Specify)

11. For your trial did you have:

1. Private attorney?
2. Public Defender?
3. Conducted own case?

(If private attorney)

12. How many discussions did you have with your private attorney before your trial?

(If Public Defender)

13. How many discussions did you have with your Public Defender before your trial?

14. Were discussions with your attorney

1. Before day of trial?
2. On day of your trial only?
3. Both before and on day of trial?

(Interviewer—If trial lasted more than one day, record position as at first day of trial)

15. After conviction but before sentence were you?

1. Released on OR?
2. Posted bail?
3. Held in custody?

16. Before you went into the jail, did you know the procedure for getting onto work furlough?

1. No
2. Yes

(If Yes)

17. Before you went into the jail, who told you about getting onto work furlough?

1. Previous knowledge
2. Private attorney
3. Public Defender/Public Defender Social Worker
4. Probation Department/Probation Officer
5. Friend
6. Other (Specify)

This section is about problems you may have had after being sentenced.

18. Did you apply for work furlough before you started serving time?

1. No
2. Yes

(If No)

19. Why didn't you apply for work furlough?

1. Didn't want it
2. Didn't think I would get it
3. Didn't have job arranged
4. Too difficult to apply/too much hassle
5. Rehab people unsympathetic/unpleasant etc.
6. Other (Specify)

(If Yes)

20. Did you get work furlough?

1. No
2. Yes

(If No)

21. Why do you think you didn't get work furlough?

1. Nature of offense
2. Previous absconding/escape
3. Rehab people said I was unsuitable for work furlough
4. Didn't have job already arranged
5. Rehab people vetoed job already arranged
6. Rehab people couldn't find me a job
7. Rehab people prejudiced/out to get me/play favorites, etc.
8. Other (Specify)

(If Yes)

22. Were you in _____ (facility) when your work furlough was approved?
1. No
 2. Yes

(If Yes to Q 20)

23. How long were you in _____ (facility) before you started work furlough?
 ___ days

(If Yes to Q 20)

24. How long did it take for your first pay check to reach you?
 ___ days from pay day

Now, this next section is about things here at the jail.

25. What programs and facilities are there to help you while you are here in the jail and when you get out?
 (Interviewer—unaided recall—do not prompt)

Unaided recall Service used Rating of service used Impressions of other services

Alcohol and Drug program

Medical Services—

- Doctor
- Dentist
- Eye Doctor
- Nurse
- Other

Jail Counselors

Rehab Officers

Education/Teacher

Religious Programs/Clergy

26. Have you taken part in any of the programs or used any of the services?
 (Interviewer—use list above and read out each item)

27. How would you rate each of the programs you used—on a scale:
1. Don't know/no opinion/refused to answer
 2. Hindrance
 3. Not helpful
 4. Helpful
 5. Very helpful

(Interviewer—read out each service used by respondent and score above—e.g., Did you find ___ very helpful/helpful/not helpful/hindrance)

28. What impressions do you have of the other services?
 (Interviewer—read out services NOT used by respondent. Ask what is your impression of _____? Do you think it is very helpful, etc.?)

29. If other programs were available would you PERSONALLY use any of the following:
(Interviewer—read list through and then repeat item by item. Explain if necessary)

1. Reading, writing, arithmetic classes?
2. Art, music?
3. Individual counseling?
4. Personal problems discussion groups?
5. Classes on how to apply for a job (e.g. act at interviews)?
6. Training in the jail for the kinds of job you might look for outside?
7. Hobbies classes—woodwork, crafts etc.?
8. Other (Specify)?

30. What other kinds of programs would you find useful?

31. Would you work inside the jail for a small wage?

1. No
2. Yes

(If Yes)

32. What would be the minimum wage you would be willing to work for?

1. 50 cents per hour
2. \$1 per hour
3. \$1.50 per hour
4. \$2.00 per hour
5. \$2.50 per hour
6. Minimum wage (\$3.35 per hour)

This next section is about services from people outside the jail.

33. Have you been contacted by anyone from the Probation Department since you were arrested?

1. No
2. Yes

(If Yes)

34. When was this?

(mark as many as appropriate)

1. Between arrest and trial
2. For presentence report only
3. While convicted but unsentenced
4. While in jail sentenced

35. How many times have you talked with a probation officer about your affairs since you were arrested this time (i.e., since arrest on charge for which now serving sentence)?

36. Did you find your discussion(s) with the probation officer helpful?

1. No
2. Yes

37. Would you like more contact with a probation officer?

1. No
2. Yes

(If Yes)

38. Why would you like more contact with a probation officer?

1. For counseling/talking things over, etc.
2. For practical help
3. Other (Specify)

Now, could we talk about what you are going to do when you leave the jail?

39. What area are you going to live in?

40. Do you have somewhere to live immediately when you leave the jail?

1. No
2. Yes

41. Who will you live with immediately after you leave the jail?

1. Nuclear family—if married, (including common-law) with wife and children if unmarried, with parents
2. Extended family—including in-laws
3. With others—including hostels, etc.
4. Alone
5. No fixed abode

42. Have you got a job to go to?

1. No
2. Yes

(Interviewer—probe gently to see if this is realistic; e.g., "Gee, that's great, what is it?")

(If No)

43. Will you look for a job?

1. No
2. Yes

44. What kind of job will you look for?

45. In looking for a job, what kinds of things would help you before leaving this jail?

1. Employment counseling
2. Information about job openings
3. Information on job skills/training centers
4. Information on placement services/centers
5. Help in setting up interviews
6. Release for interviews
7. Other (Specify)

46. How are you going to look for a job when you leave?

1. Employment Department
2. Private employment agencies
3. Newspaper
4. Family or friends
5. Other (Specify)

The next section is about money.

47. How much money do you think you will have when you leave the jail?

48. Will that be enough to get you to (destination)?

1. No
2. Yes

49. After getting to _____, how long do you think that money will last?
_____ days

50. What will you do when you have spent the money you go out with?

1. Use savings, sell or pawn something
2. Borrow from family
3. Borrow from friends
4. Apply for Welfare
5. Apply to private charitable organizations
6. Creative financing/hustle
7. Other (Specify)

(If answer is 4-6, Interviewer should probe gently to ascertain if respondent knows enough about system to be able to get money from source.)

51. How will you do that?

1. Doesn't know enough
2. Knows enough

52. Now, so far, is there anything we haven't covered that you think is important, or would like to add?

"Now, I wonder if you would mind giving me a little background information about yourself? This is just for statistical purposes and won't be used to identify any individual."

53. (Do not ask unless uncertain) Ethnic Group

- | | |
|---------------------|---------------------|
| 1. White | 6. American Indian |
| 2. Black | 7. Filipino |
| 3. Mexican-American | 8. Pacific Islander |
| 4. Japanese | 9. Other/Unknown |
| 5. Chinese | |

54. Could you tell me what age you were last birthday?
_____ years

55. What is the highest grade of school or college you completed?

1. Grade School
2. High School
3. High School Graduate
4. Some College, Trade or Tech School
5. College Graduate
6. Postgraduate

56. How long is your sentence in the jail?
_____ weeks

57. How long have you still to serve?
 _____ weeks

58. What was your conviction for?
 (Interviewer—circle this conviction)

Col 1 Felony	Col 2 No. of convs.	Col 3 Place(s) sentence served	Col 4 Misdemeanor	Col 5 No. of convs.	Col 6 Place(s) sentence served
Violent			Violent		
Sex			Property		
Burglary			Family		
Other Property			Sex		
Drug Use			Public Drunk		
Drug Sale			Drug Use		
Other			Drunk Driving		
			Other		

59. How many previous convictions do you have?

(Interviewer—fill in columns 2 & 5 above for each category of offenses)

60. How many times have you been in jail or prison (sentenced) before this time?

61. Where was that?
 (Interviewer—write in table above places sentence served for each conviction)

(If had previous sentence(s))

62. How long were you free between release from your last sentence and being arrested on the charge you are now serving time for?
 _____ weeks

63. How long have you been free during the last year?
 _____ weeks
 (Interviewer—help respondent define 1 year past)

64. Who were you living with during that time?
1. Nuclear family—if married, with wife and children
 if unmarried, with parents
 2. Extended family—including in-laws
 3. With others—including hostels, etc.
 4. Alone
 5. No fixed abode

65. Are you married?
 (Interviewer— prompt if answer is No)
- | | |
|---------------|--------------|
| 1. Single | 4. Widowed |
| 2. Cohabiting | 5. Separated |
| 3. Married | 6. Divorced |

66. Have you any children? How many?

67. Were you working immediately prior to coming into the jail?

1. No
2. Yes
3. Sometimes/casual

(If Sometimes/Yes)

68. What was your job?

69. Did it pay well? About how much per hour?

\$ _____

70. How long had you had that job?

_____ weeks

71. Did you lose this job when you were arrested?

1. No
2. Yes

72. How many jobs did you have in the last year?

73. What is the longest time you have ever been in any one job?

_____ weeks

74. What is the longest time you have been in any one job in the last year?

_____ weeks

"Well, that's the end. Thank you very much. Is there anything you would like to ask me about the survey?"

(Interviewer—answer any questions as simply as possible)

"Well, thank you very much (name) for your help. We really appreciate it. I hope everthing goes well for you now."
Show respondent out.

Interviewer—check over questionnaire for blanks, etc. Now, before next interview.

Appendix I:

Projection Method Two

Projection Method Two: Project future trends based on average daily population and average length of stay

Task 1: Record Average Daily Population (ADP)

Document or compute average daily population in your county's detention facilities for the last 10 years or whatever period is available (preferably 5 years or more). Record separately for each facility.

Figure I-1: Example of Historic Arrest Trends

Year	ADP
1971	114
1972	118
1973	116
1974	124
1975	132
1976	127
1977	139
1978	136
1979	140
1980	142

Figure I-1a: Your Computation of Historical Arrest Trends

Year	ADP
19	
19	
19	
19	
19	
19	
19	
19	
19	
19	
19	

Task 2: Record Average Daily Bookings (ADB)

Document average daily bookings in your county's detention facilities for the last 10 years or whatever period is available (preferably 5 years or more). Record separately for each facility.

Figure I-2: Example of Average Daily Bookings

Year	ADB
1971	16
1972	18
1973	17
1974	20
1975	23
1976	22
1977	24
1978	27
1979	26
1980	30

Figure I-2a: Your Computation of Average Daily Bookings

Year	ADB
19	
19	
19	
19	
19	
19	
19	
19	
19	
19	
19	

Task 3: Compute Average Length of Stay (ALS)

Compute the average length of stay for each of the last ten years by dividing average daily population by average daily bookings. Repeat for each facility. (Average Daily Population **divided by** Average Daily Bookings **equals** Average Length of Stay in Days.)

Figure 1-3: Example of Average Length of Stay

Year	ADP	÷	ADB	=	ALS
1971	114		16		7.1
1972	118		18		6.5
1973	116		17		6.8
1974	124		20		6.2
1975	132		23		5.7
1976	127		22		5.8
1977	139		24		5.6
1978	136		27		5.0
1979	140		26		5.4
1980	142		30		4.7

Figure 1-3a: Your Computation of Average Length of Stay

Year	ADP	÷	ADB	=	ALS
19					
19					
19					
19					
19					
19					
19					
19					
19					
19					
19					

Task 4: Study Trends in ADP and ALS

Observe and compute trends in average length of stay and average daily bookings for the last ten years. Use the data displayed in Task 3, totaling the average daily population and average lengths of stay and dividing by the number of years included (for 10 years of data, divide by 10). Display trends in graphic format by plotting your data for each year in the same manner as the illustrations.

Figure 1-4: Average Daily Bookings by Year

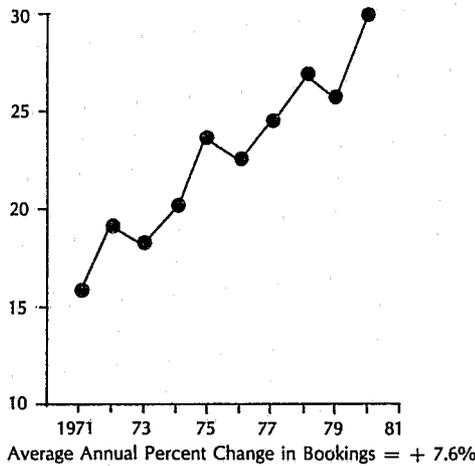
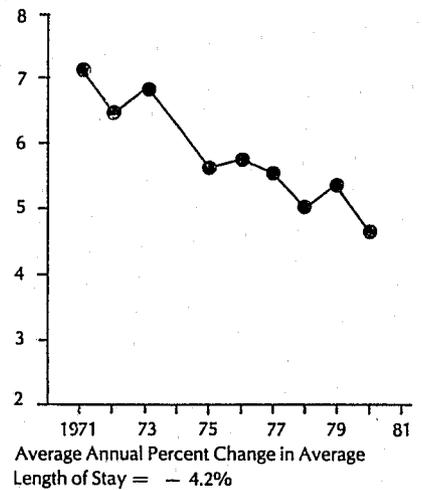


Figure 1-5: Average Length of Stay by Year



Task 5: Make Projection Assumptions

Review past trends and consider what you've learned from your analysis of the criminal justice system in other steps of this process. For example, consider whether it is reasonable to expect continuing decreases in average length of stay, continuing increases in daily bookings and so forth. Based upon this review, state the assumptions which you feel will provide a reasonable basis for the projections.

Figure 1-6: Example of Assumptions

"Assume that bookings will continue to increase at the historically computed rate of 7.6 percent per year."
 "Assume that Average Length of Stay will continue to decrease at same rate as observed for the last ten years (4.2 percent) for the next five years and then remain constant."

Figure I-6a: List of Your Assumptions

1. _____

2. _____

3. _____

4. _____

etc. _____

Task 6: Select Projection Technique

Select a mathematical technique for making the projections. Choose from among techniques such as straight line progression based on past trends, regression analysis, or other comparable projection techniques.

Task 7: Project Average Daily Bookings

Using the selected technique and based on your assumptions, project Average Daily Bookings for the 20-year planning period. Project yearly for the first ten years and in five-year increments thereafter. The following example uses a straight line projection that assumes a constant increase of 7.6 percent each year.

Figure I-7: Example of Projected Average Daily Bookings

Projection Year	% Change	ADB
1980	—	30
1981	7.6	32
1982	7.6	35
1983	7.6	37
1984	7.6	40
1985	7.6	43
1986	7.6	47
1987	7.6	50
1988	7.6	54
1989	7.6	58
1990	7.6	62
1995	7.6	90
2000	7.6	130

Figure I-7a: Your Computation of Projected Daily Bookings

Projection Year	% Change	ADB
1st Year		
2nd Year		
3rd Year		
4th Year		
5th Year		
6th Year		
7th Year		
8th Year		
9th Year		
10th Year		
15th Year		
20th Year		

Task 8: Project Average Length of Stay

Project anticipated Average Length of Stay for the 20-year planning period. The following example uses a straight line method with a constant decrease of 4.2 percent each year for five years and then a leveling off.

Figure 1-8: Example of Projected Average Length of Stay

Year	% Change	ALS
1980	-	4.7
1981	-4.2%	4.5
1982	-4.2%	4.3
1983	-4.2%	4.1
1984	-4.2%	4.0
1985	-4.2%	3.8
1986	-	3.8
1987	-	3.8
1988	-	3.8
1989	-	3.8
1990	-	3.8
1995	-	3.8
2000	-	3.8

Figure 1-8a: Your Computation of Projected Average Length of Stay

Year	% Change	ALS
1st Year		
2nd Year		
3rd Year		
4th Year		
5th Year		
6th Year		
7th Year		
8th Year		
9th Year		
10th Year		
15th Year		
20th Year		

Task 9: Project (Unadjusted) Average Daily Population

Convert Average Length of Stay and Average Daily Booking projections to Projected Average Daily Population for the planning period. This is accomplished by multiplying average daily bookings by average length of stay for each year over the planning period. The following formula is used:

$$\text{Projected Average Daily Population} = \text{Projected Daily Bookings} \times \text{Projected Average Length of Stay}$$

Figure 1-9: Example of Projected Average Daily Population

Year	ADB	×	ALS	=	ADP
1981	32	×	4.5	=	144
1982	35	×	4.3	=	150
1983	37	×	4.1	=	152
1984	40	×	4.0	=	160
1985	43	×	3.8	=	163
1986	47	×	3.8	=	179
1987	50	×	3.8	=	190
1988	54	×	3.8	=	205
1989	58	×	3.8	=	220
1990	62	×	3.8	=	236
1995	90	×	3.8	=	342
2000	130	×	3.8	=	494

Figure 1-9a: Your Computation of Projected Average Daily Population

Year	ADB	×	ALS	=	ADP
1st Year					
2nd Year					
3rd Year					
4th Year					
5th Year					
6th Year					
7th Year					
8th Year					
9th Year					
10th Year					
15th Year					
20th Year					

Task 10: Develop Compensation Factor for Peak Population Times

Review daily population data for the last six to twelve months. Compute "average" high or peak population by noting high or peak population each month and dividing by the number of months. Compare to the average daily population for the same period.

Task 10.1: Compute Population Fluctuations

Figure I-10: Example of Population Fluctuations

Month	ADP	Monthly High
Dec.	136	148
Jan.	135	149
Feb.	137	144
Mar.	138	150
Apr.	135	151
May	140	147
Total:	821	889
Div. by 6 =		
Average:	137	148

Figure I-10a: Your Computation of Population Fluctuations

Month	ADP	Monthly High
1st		
2nd		
3rd		
4th		
5th		
6th		
Total:		
Div. by 6 =		
Average:		

Task 10.2: Compute Adjustment Factor

The Adjustment Factor is computed as the percentage of the peaks over the average population.

$$\frac{\text{Difference}}{\text{Average Population}} + 1 = \text{Adjustment Factor}$$

Figure I-11: Example of Computation of Adjustment Factor

High Population:	148
Average Population:	<u>-137</u>
Difference:	11
$\frac{11}{137} + 1 = 1.08$	

Figure I-11a: Your Computation of Adjustment Factor

High Population:	_____
Average Population:	<u>_____</u>
Difference:	_____
$\frac{\text{Difference ()}}{\text{Average Population ()}} + 1 = \text{Adjustment Factor ()}$	

Task 11: Project Required Capacity

Use the Adjustment Factor to convert Population Projections into needed projected capacity to accommodate projected peak population swings.

Figure I-12: Example of Projected Capacity

Year	Projected ADP	×	Adjustment Factor	=	Projected Capacity
1981	144	×	1.08	=	155
1982	150	×	1.08	=	162
1983	152	×	1.08	=	164
1984	160	×	1.08	=	173
1985	163	×	1.08	=	176
1986	179	×	1.08	=	193
1987	190	×	1.08	=	205
1988	205	×	1.08	=	221
1989	220	×	1.08	=	238
1990	236	×	1.08	=	255
1995	342	×	1.08	=	369
2000	494	×	1.08	=	533

Figure I-12a: Your Computation of Projected Capacity

Proj. Year	Projected ADP	X	Adjustment Factor	=	Projected Capacity
1st					
2nd					
3rd					
4th					
5th					
6th					
7th					
8th					
9th					
10th					
15th					
20th					

Task 12: Divide Projected Population By Sentence Status and Sex

In this last task of Method Two, review data from past years and calculate proportions of the average daily sentenced population and unsentenced males and females (if both are to be included in the subject facility). Apply these percentages to projected total population. If such historical breakdowns are unavailable, use percentages developed from analysis of jail population profile data. If adequate data are available, the entire projection process can be based upon figures for sentenced and unsentenced populations.

Appendix J:

Jail Staffing Analysis Forms

(Note: These forms are adapted from similar ones developed by Dave Voorhis and John Milosovich for the National Institute of Corrections Jail Center.)

How to Calculate Your Jail's Shift Relief Factor

Step

1. Number of days per year that the jail is closed (that is, no services are offered; for jail, should be zero). _____ (a)
2. Number of work days per year equals $365 - (a)$. _____ (b)
3. Number of regular days off per employee per year (Usually $52 \text{ weeks/yr} \times 2 \text{ days off/week} = 104$). _____ (c)
4. Number of vacation days off per employee per year. _____ (d)
5. Number of holiday days off per employee per year. _____ (e)
6. Number of sick days off per employee per year. _____ (f)
7. Number of other days off per employee per year. (This includes time off for injury on the job, union meetings, military leave, funeral leave, unexcused absences, disciplinary time off, special assignments, etc.)* _____ (g)
8. Number of training days per year. _____ (h)
9. Total number of days off per employee per year equals $(c) + (d) + (e) + (f) + (g) + (h)$. _____ (i)
10. Number of actual work days per employee per year equals $365 - (i)$. _____ (j)
11. Shift relief factor equals $(b) \div (j)$. _____ (k)

* Note: Another factor you might wish to include in Step 7 is the time it takes to fill a vacancy.

Potential Positions in Jail Staffing

To develop an estimate of the total staffing required in the jail, start by considering every function which staff must fulfill. Determine the number of staff needed for each function on each shift. If the position operates on a 3 shift per day, 7 day per week basis, (such as Control Room Officer) multiply the number of separate posts times the relief factor to determine the number of positions required.

For example, if there are 3 residential control rooms, each operated by a single officer, and the relief factor is 5.8, multiply 3 times 5.8 to obtain the 17.4 required positions.

Description of Position	Number of Staff			or	Number of 24 Hour Posts	×	Relief Factor (if applies)	=	Total Positions Required
	Per Shift	Shift 1	Shift 2						
Administration									
GENERAL:									
Jail Administrator									
Assistant Jail Administrator									
Administrative Assistant									
Public Information/Community Affairs									
Internal Affairs Officer									
PERSONNEL:									
Personnel Officer									
Training Officer									
Payroll Clerk									
BUSINESS:									
Business Manager									
Budget Officer									
Accountant/Accounting Clerk									
CLERICAL:									
Administrative Secretary									
Receptionist/Typists									
Record Clerks									
Clerk Typists									
Clerks									
Switchboard									
PLANNING AND RESEARCH:									
Director									
Research Assistant									
Research Secretary									
Planner/Analyst									
ADMINISTRATION SUBTOTAL:									

Description of Position	Number of Staff Per Shift			or	Number of 24 Hour Posts	X	Relief Factor (if applies)	=	Total Positions Required
	Shift 1	Shift 2	Shift 3						

Security

GENERAL:

- Supervisor
- Secretary
- Shift Supervisor
- Assistant Shift Supervisor

AREA SUPERVISION:

- Master Control Room Officer
- Control Room Officer

INTAKE:

- Intake/Release Supervisor
- Intake/Release Officer
- Clothing/Property Officer
- (See programs for additional staffing)

SPECIAL:

- Visitation Officer
- Dining Officer
- Tower Officer
- Gate Officer
- Reception Officer
- Internal Movement Officer
- Program Correctional Officer
- Shakedown Officer

TRANSPORTATION:

- Transportation Supervisor
- Transportation Officer
- Courtroom Officer
- Hospital Duty
- Elevator Operator

LIVING UNITS:

- Control Rooms
- Living Unit Officer
- Floor Control Officer

SECURITY SUBTOTAL:

Description of Position	Number of Staff or			Number of 24 Hour Posts	×	Relief Factor (if applies)	=	Total Positions Required
	Per Shift	Shift 1	Shift 2					

Support Services Unit

GENERAL:

Unit Supervisor
Secretary

HEALTH SERVICES

Health Service Director
Physician
Nurse/Physicians Assistant/EMT.
Dentist
Dental Technician
Pharmacist
Medical Consultant
Orderly
X-ray Technician
Laboratory Technician

DIAGNOSTIC PERSONNEL:

Psychiatrist
Clinical Psychologist
Social Worker
Psychiatric Social Worker

FOOD SERVICE:

Food Service Director
Nutritionist
Cook
Food Service Assistant
Baker

PLANT MAINTENANCE:

Building Supervisor
Engineer
Fireman
Janitor
Carpenter
Plumber
Painter
Locksmith
Electrician
Computer Technician
Groundskeeper
Trustee Supervisor

MISCELLANEOUS:

Barber
Commissary
Property Clerk
Storeroom Officer
Purchasing Officer
Safety Officer
Mail
Laundry

SUPPORT SERVICE UNIT SUBTOTAL:

Description of Position	Number of Staff			or	Number of 24 Hour Posts	×	Relief Factor (if applies)	=	Total Positions Required
	Per Shift	Shift 1	Shift 2						

Program Unit

GENERAL:

Unit Supervisor
 Secretary
 Volunteer Coordinator

TREATMENT:

Psychologist
 Social Worker
 Clergy
 Counselor
 Caseworker
 Recreation
 Librarian
 Substance Abuse Counselor
 Intern

EDUCATION:

Director
 Vocational Trainer
 Academic Instructor
 Art/Craft/Music Instructor
 Intern

WORK RELEASE:

Work Release Coordinator
 Job Developer
 Instructor
 Caseworker/Follow-Up

CLASSIFICATION/INTAKE:

Classification Officer
 Intake Screening
 Court Liaison

RECORDS:

Record Supervisor
 Booking Clerk

MISCELLANEOUS:

Grievance Officer
 Disciplinary Officer
 Ombudsman
 Movement Officer
 Legal Services

PROGRAM UNIT SUBTOTAL:

GRAND TOTAL:
