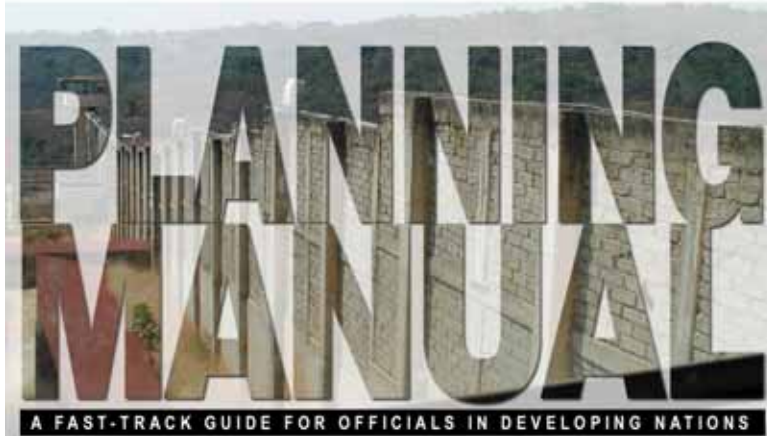


CORRECTIONAL FACILITIES NEEDS ASSESSMENT AND MASTER PLANNING



This document was produced under the auspices of the
The International Scientific and Professional Advisory Council of the United Nations Crime Prevention and Criminal Justice Program
and the
International Corrections and Prisons Association.

PREPARED BY



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IN SEARCH OF EXCELLENCE

The Functional Committee and Corrections Working Party of the International Scientific and Professional Advisory Council of the United Nations Crime Prevention and Criminal Justice Program (ISPAC) and the Training and Development Group of the International Prisons and Corrections Association (ICPA) have been working to provide a set of tools that correctional practitioners can use in their quest for excellence in the operations of humane and effective correctional systems.

Previous joint efforts and the work of others have produced draft training manuals for correctional workers, sample policies and a series of practical guidelines on such subjects as helping correctional facilities understand and implement the religious rights and duties of Islamic prisoners and on the treatment of foreign prisoners. Each of these efforts has been geared towards practical application and been prepared by experts and widely reviewed by peers. Though useful for all engaged in corrections, great emphasis has been placed on providing help for those in poor nations or nations in or just out of conflict situations.

This Planning Manual is possibly the most important of the work that has been done. Without a solid direction, a road map, individual activities within a correctional environment such as training or housing or individual inmate programs remain just that – individual activities. Too often, political leaders, academics, media representatives and even some less experienced correctional practitioners have approved facilities or programs without seeing how they impact on the larger system. Corrections must be based on a philosophy established by the nation in which it is used. To achieve the goals that society wishes for its correctional system takes planning based on detailed analysis and long-term thinking. This Manual is intended to help those responsible for the process to do their job effectively and efficiently.

Since this is an intricate and complex process, we decided to use the expertise of Robert Goble and his firm (Carter Goble Lee Companies) to prepare this Manual. In order to provide the reader with confidence in process described, I asked Mr. Goble to include information on his background and some examples of projects Carter Goble Lee companies have worked on. On a personal note, I must also thank them for the time and effort that went into this publication. They donated their time, talent and resources to this project.

As with all of our work in search of excellence in corrections, a draft of this Manual has been widely circulated and comments of correctional planners and practitioners incorporated. As new comments and suggestions continue to be received, appropriate changes will be made.

The following Web sites are available if you desire additional information:

- International Scientific and Professional Advisory Council of the United Nations Criminal Justice Program – <http://www.ispac-italy.org>
- International Corrections and Prisons Association – <http://icpa.ca/>
- Carter Goble Lee Companies – <http://www.cartergoblelee.com/>

Gary Hill, Chair
ISPAC Functional Committee
and ICPA Training and Development Group

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ABOUT THE AUTHOR



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Bob Goble has been with the CGL Companies since 1975 and worked as a planning consultant since 1972. His project responsibilities have included local, county, state, regional, national, and international government agencies, and private sector clients in the criminal justice field. A substantial amount of Mr. Goble's experience has been in both adult and juvenile criminal justice facilities planning. He has served as an expert witness in US federal and state courts on behalf of both local and State governments. Mr. Goble has also provided a variety of technical assistance to local officials, agencies, governors, and legislatures. He has authored a variety of papers, articles, and manuals and has presented at numerous US and international conferences and symposia.

The diagrams and statistical information used as examples in this Planning Manual are actual study products that were cited from previous CGL planning projects. These representative project examples are included for illustrative purposes only.

Report production assistance by Cassandra Johnson, CGL Marketing Associate.

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INTRODUCTION AND PURPOSE

Underdeveloped and emerging nations often face the daunting task of trying to replace obsolete prisons and jails while also trying to create a totally new correctional service system. Whether the focus is on many, just one, or a few old prisons and jails the analytic and planning work needed is not easily done without technical assistance. At the same time such countries usually have other critical priority needs for health care, social, educational, infrastructure and economic development needs that demand constant time and attention from its leaders and understandably those needs usually get higher priority.

How can a country's officials who are tasked with remaking its criminal justice and prison system begin to tackle the problem in a way that is manageable, affordable and does not become frustrated by unreasonable delay? The planning manual herein has been developed just for this situation and for newly appointed justice and prison service officials and leaders as a "how to" guide. The manual is specifically designed to take advantage of "lessons learned" in other countries and expertise that has evolved worldwide and has met with success in improving correctional systems and their facilities.



ENTRY GATE TO CHICLAYA PÍCSI PRISON - PERU

Normally such planning studies are done by planners and/or architect/planners who are experienced in the planning and design of jails and prisons. It is recommended that an agency or officials who do not have staff who are familiar with such work obtain technical assistance from planning specialists in order to conduct a Needs Assessment and develop a Facilities Master Plan. Leaders and key staff from the sponsoring or responsible agency should, however, be involved throughout the planning process to provide appropriate policy level guidance, reviews and approvals of the work being done. The steps and tasks outlined below should be followed by both those who oversee and those who do the work.

VALUES, ADOPTING GOALS, AND DIRECTION

■ Core Values and Goals ■

The "core values" and goals that a nation or a state has towards the treatment of criminal offenders will affect the direction and the degree to which the development of new correctional facilities or the reform of an entire system is undertaken. In beginning to assess the conditions and needs of a prison system, whether it be a national or sub-national state or tribal system, the very beginning of the effort should involve leaders and key staff who should affirm and document the jurisdiction's values and goals for its prison system. Such a written document would become the basic guide of values, goals and principles to be supported in the ensuing efforts by all those involved in preparing a Facilities Needs Assessment and System-wide Master Plan.

As a guide to nations seeking to reform their prison system The International Society for the Reform of Criminal Law with the support of the United Nations developed and adopted a set of "Core Values" as a guide for all

countries interested in prison reform. Those core values are consistent with both the UN “Standard Minimum Rules for the Treatment of Prisoners” and other contemporary national or state standards such as those adopted by the American Correctional Association. For nations interested in instituting major change or reform in their entire prison system those core values are as follows:

PRISON REFORM CORE VALUES¹


The foundation for the reform or improvement of a correctional system for both its buildings and infrastructure and its operating conditions and practices is a comprehensive set of core values. A group of nations under the auspices of The International Society for the Reform of Criminal Law, with the support of the United Nations has developed eight core values representing the results of more than two years of deliberation. These values are intended to establish the guiding principles for worldwide improvement in correctional systems. They are presented herein as an important planning and development foundation for all countries interested in prison reform.

1. As a component of the criminal justice system, corrections must abide by principles of justice that are expressed through a belief in:
 - the inherent human rights of all people,
 - the dignity and worth of individuals,
 - fairness and equality under and before the law, and
 - managing prisoners with honesty, openness, and integrity.
2. Fundamental to an effective corrections and justice system is a firm commitment to the belief that the offenders are responsible for their own behavior and have the potential to live as law-abiding citizens.
3. The majority of offenders can be dealt with safely by effective community correctional programs and imprisonment should be used with restraint.
4. Decisions about offenders, in the interest of public protection, must be based on informed risk assessment and risk management.
5. Effective corrections is dependent on working closely with and in cooperation with all criminal justice partners and with society as a whole in order to contribute to a more just, humane, and safe society.
6. Staff represents the most important resource and is essential to an effective correctional system.
7. The public has a right to be informed about and an obligation to participate in the criminal justice system.
8. The degree to which correctional officials are capable of adopting a future-oriented approach and responding to change will determine the excellence of corrections.

¹ The International Society for the Reform of Criminal Law.

■ Minimum Standards ■

An important directional focus that should be inherent in the methodology for updating or replacing obsolete prison facilities is that their conditions and operations should comply with the United Nations “Standard Minimum Rules for the Treatment of Prisoners.” The UN Standards describe the “essential elements and minimum conditions” that should be met for achieving good principles and practice in the treatment of prisoners and the management of prison institutions. To give the reader an idea of their breadth and focus the UN Minimum Rules cover 29 topics of operational practice, prisoner management and general conditions as shown below. A complete, verbatim copy of those standards is included as an appendix to this document.

 UNITED NATIONS STANDARD MINIMUM RULES FOR THE TREATMENT OF PRISONERS (TOPICS OF OPERATIONAL PRACTICE, PRISONER MANAGEMENT, AND GENERAL CONDITIONS)	
1. Basic Principle	16. Removal of Prisoners
2. Registration	17. Institutional Personnel
3. Personal Hygiene	18. Inspection
4. Clothing and Bedding	19. Prisoners Under Sentence
5. Food	20. Treatment
6. Exercise and Sport	21. Classification and Individualization
7. Medical Services	22. Privileges
8. Discipline and Punishment	23. Work
9. Instruments of Restraint	24. Education and Recreation
10. Information to and Complaints by Prisoners	25. Social Relations and After-care
11. Contact with the Outside World	26. Insane and Mentally Abnormal Prisoners
12. Books	27. Prisoners Under Arrest or Awaiting Trial
13. Religion	28. Civil Prisoners
14. Retention of Prisoners' Property	29. Persons Arrested or Detained Without Charge
15. Notification of Death, Illness, Transfer, etc.	

Also included as an appendix to this document is a copy of the Table of Contents of the “Physical Plant Standards Section” of the American Correctional Association (ACA) Standards for Adult Correctional Institutions. That listing is included simply because it is a well developed set of exemplary standards for environmental and physical conditions that have been found to be helpful in the planning of new prisons in a number of countries and because they are consistent with the UN Standards. The 24 topics on environment and physical conditions covered in the ACA Physical Plant Standards are noted below:



**AMERICAN CORRECTIONAL ASSOCIATION
STANDARDS FOR ADULT CORRECTIONAL INSTITUTIONS
(TOPICS OF THE PHYSICAL PLANT STANDARDS SECTION)**

- | | |
|-------------------------------------|---|
| 1. Building Codes | 13. Washbasins |
| 2. Fire Codes | 14. Showers |
| 3. Staff/Inmate Interaction | 15. Special Management Housing |
| 4. Facility Size | 16. Housing for the Disabled |
| 5. Unit Size | 17. Light Levels |
| 6. Rated Capacity | 18. Inmate Rooms/Cells Lighting |
| 7. Location | 19. Natural Light in Inmate Rooms and Cells |
| 8. Occupancy and Space Requirements | 20. Natural Light in Dayrooms |
| 9. Cell Furnishings | 21. Noise Levels |
| 10. Dayrooms | 22. Indoor Air Quality |
| 11. Dayroom Furnishings | 23. Heating and Cooling |
| 12. Toilets | 24. Exercise and Recreation |

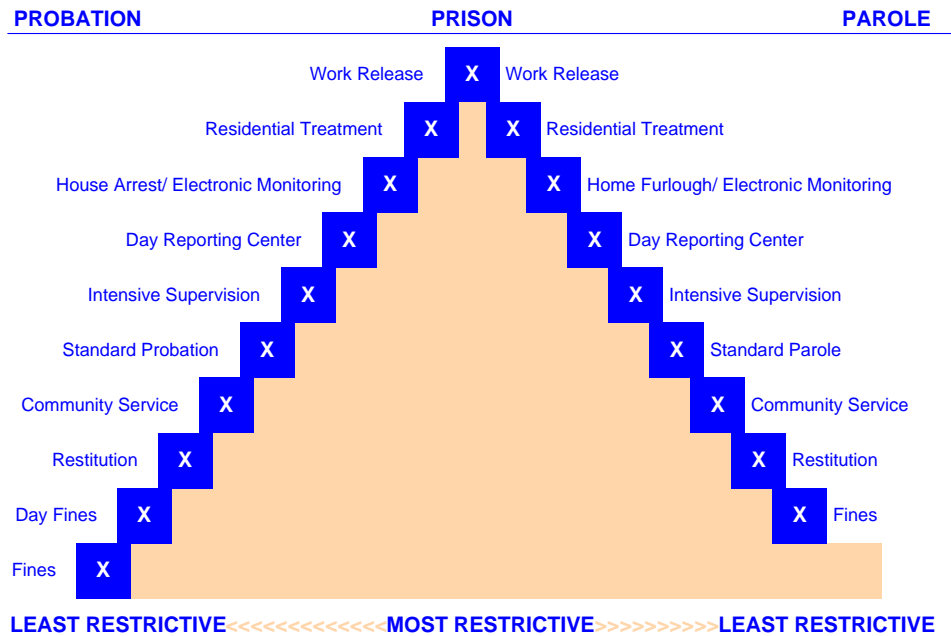
Leadership and Sub-National Cooperation

Close cooperation and representational involvement of sub-national, state government or tribal leadership can be valuable in planning a new nation-wide correctional system. If the national or central government does not have absolute or unchallenged control of the total correctional system then the support of its various states, cultures, or sub-populations would be critical to developing a consensus and support for an overall national philosophy, goals and values for prison reform. Planning that is participatory and inclusive rather than closed and exclusive will be far more successful in gaining popular support for what is likely to require substantial government funding for the construction of new facilities and perhaps the upgrading and expansion of prisons staffing and operations. Although technical expertise is needed to evaluate existing facilities and develop plans for new facilities, the involvement of representatives of the people in a review and advisory capacity can help to assure that the resulting plans will be supported.

Prison Confinement vs. Community-Based Corrections

In order to determine the most appropriate national, state, tribal or other governing jurisdiction’s prison capacity needed and thereby the ultimate construction and annual operating cost, the assessment needs to also consider criminal offender management and punishment options that can be provided in an by the community rather than in a national or state prison. As reflected in the UN minimum standards it has been found throughout the world that both the overall effectiveness and cost of corrections and offender rehabilitation improves with a balanced mix of prisons and community-based correctional programs. In fact corrections supervision or punishment/rehabilitation that is based in the community rather than in a prison has been proven to be far more effective and usually less costly for non-violent and less serious criminal offenders.

Thus, while the use of this manual is focused on correctional facilities planning it is essential that it also address and estimate how many criminal offenders are likely to be more appropriately managed in a community-based manner rather than being confined in a prison or remand center. Otherwise more prison and remand center capacity might be planned than is otherwise needed if an effective community corrections program is also in operation. Determining the right balance between how much prison versus how much community corrections for any government depends on the laws, policies, core values and goals for criminal justice in that jurisdiction.



Accordingly a custody/security profile analysis of who the criminal offenders are is useful to help estimate the number of non-violent offenders who may be safely managed and rehabilitated more effectively and more cost efficiently in community-based programs instead of prison or institutional programs. At the opposite end of the security and custody scale an objective estimate is needed of the type and number of sophisticated, manipulative, and violent prisoners who need the highest degree of secure confinement separated from all other prisoners. They will require the most maximum security prison available.

Thus, the system plan should reserve costly secure prison capacity for those violent and major offenders who need it the most; provide for lesser non-violent offenders to be supervised either in much lower cost minimal security facilities; or totally outside of prison under community control whereby they can retain community ties, their jobs, and support their families. The degree to which such a "diversion" of prisoners is used will in the end be a critical governmental policy decision. Such a decision will affect the projected size of prison capacity needed and its cost versus the capacity and cost needed for community corrections supervision.

Guiding Document

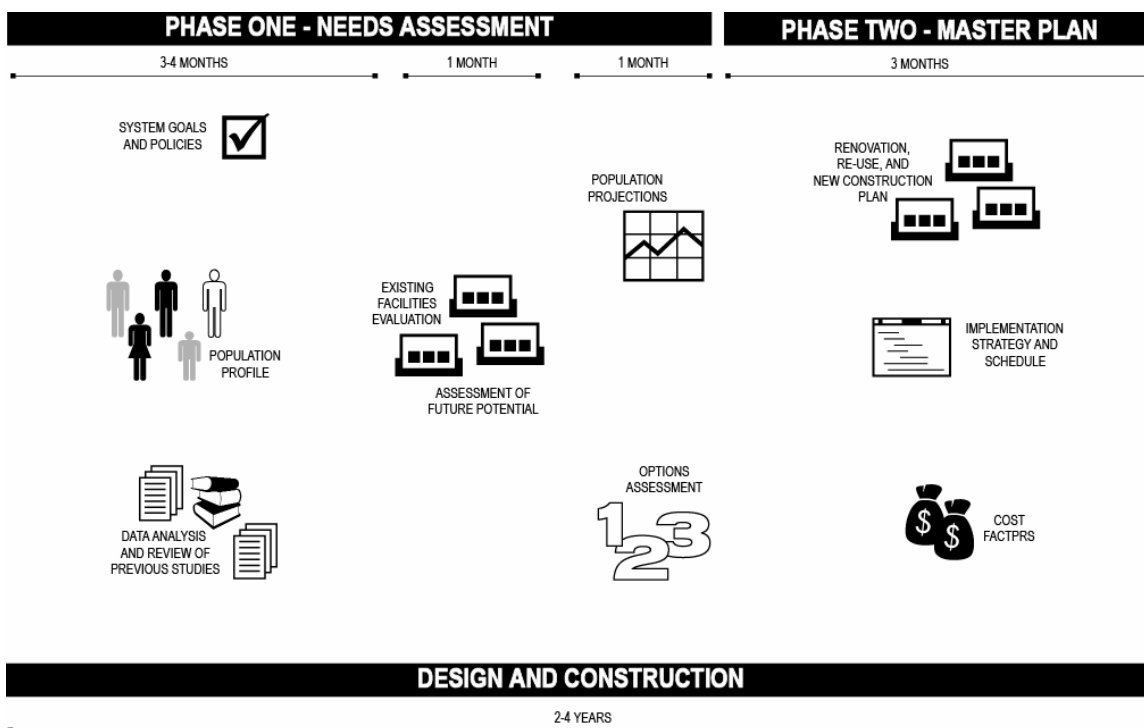
In summary, the result of this first and formative part of the total planning process should include a written document that affirms the specific values, goals and principles that the nation or jurisdiction wants its prison system to aspire to and achieve. It should be made known that this document has been approved and adopted and will serve as an official guide for the Needs Assessment and Master Plan. This document should be finalized as part of the first work task as described in the following section.

A sequence of tasks divided into two work phases are recommended to be followed by leaders, participants, assigned staff and specialist planners responsible for conducting the correctional facilities Needs Assessment and developing a resulting 10-Year Master Plan.

ASSESSMENT AND PLANNING GUIDELINES

Why A 10-Year Master Plan?

Because new prisons usually take at least three years to design and build; require substantial government funding; and should last for decades a national or state plan should look as far ahead as is feasible. Many governments have found that a 10-year period is manageable for projecting needs and for having enough time to “stretch out” the substantial funding required to construct what could be several new facilities. The Needs Assessment upon which the Master Plan would be based should thus include 10-year projections of criminal offender populations. It must then develop the resulting projection of the number of cells, dormitories and beds needed by custody and security classification groups, based on consideration of the need to separate prisoners depending on their risks and needs.



The plan should consider options for expanding or remodeling existing prisons as well as for constructing new ones, all of which must provide safe, secure, effective and operationally efficient environments for both inmates and staff. A major goal should be to assure that all facilities maximize the opportunity for effective rehabilitation and treatment programs. In a similar manner the plan should describe how community-based supervision can best be achieved with programs such as half-way houses, therapeutic communities, probation, supervision, day-reporting, house arrest and electronic monitoring, all coupled with rehabilitation, treatment and training programs in the community.

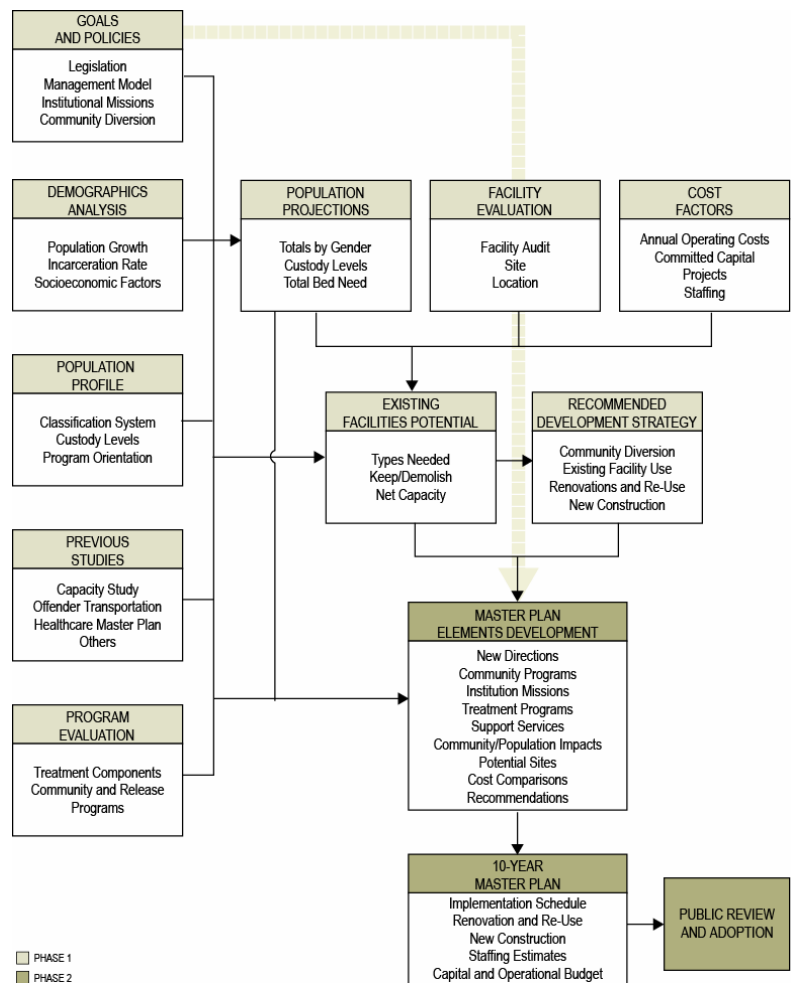
To not overtax national and/or sub-national funding capabilities the recommended prison and community-based supervision expansion and improvement plans should be prioritized and phased over a 10-year term rather than implemented all at once. The precise schedule of the plan should be guided by the corrections officials and political leaders learned balancing of national needs and priorities within the limits of the government's funding capacity.

Finally, due to the complexity and technical work involved it is assumed that an experienced qualified correctional facilities planner will be made available to conduct the assessments and develop recommended plans for the sponsoring government. It also assumes that the sponsoring government will provide an "advisory committee" of leaders and interested representatives who will review and advise the consultant on the recommended plan as it is developed. Ideally, the committee members would become advocates for the plan to help the corrections and justice officials gain full government support and approval to implement the recommendations of the plan.

■ Two Phases of Work ■

The work tasks are organized in two Phases. Phase I ends with a "check point" review and report summarizing the results of all analyses; assessment of development strategy options; and recommendation of a preferred Master Plan strategy. This will allow the sponsoring leaders, officials, and advisory committee to compare and debate the options considered for inclusion in a 10-Year Facilities Master Plan and to advise the planning team on what appears to be the most acceptable options for implementation. Phase II will then focus on developing guidelines, planning recommendations, preliminary cost estimates, and an implementation schedule for the preferred Master Plan strategy.

The following sections describe each specific work task that should be completed to reach the end point of adopting a 10-Year Facilities Master Plan.



Phase I: Needs Assessment and Master Plan Strategy Options

■ Task 1 – Finalize and Document Core Values and Goals ■

Upon designation of project planner(s) and establishment of a project advisory committee, the planning team should meet with the involved leaders, designated staff, and the advisory committee in order to review and confirm project goals, core values and policy-level direction. The degree of emphasis on the use of secure prisons versus community-based corrections and intermediate sanctions will need to be clarified and prioritized within the nation's laws, values and preferences for managing criminal offenders. Any available reports, laws or other documentation deemed relevant to the development of the 10-Year Plan should be identified or provided to the planner at this time.

Based on the "core values" summarized earlier the following overall goals are provided only as examples that could be used for developing a Master Plan supportive of prison reform and major change:

- Improving wellbeing, safety and security for both staff and inmates;
- Development of prison capacity that should be sufficient for a 10-year projection to accommodate all inmates in a facility that is appropriate for their needs and risks;
- Development of effective proven rehabilitation and treatment programs;
- Construction, operation and maintenance of a humane and UN Standards-compliant corrections system within the reach of economic possibilities of the nation;
- Administration and management of trustworthy, modern and professional prison and community corrections systems;
- Support of best practices in correctional facility design and operations that assure conditions that are secure, mission-effective, can be staffed efficiently and are operationally cost efficient;
- Development of appropriate public/private partnerships for the design and construction of prisons; and/or
- Development of appropriate public/private partnerships for the provision and operation of offender treatment programs and industrial work opportunities both in prisons and as a part of community-based corrections programs.

Whether a Master Plan includes just one prison or many, it is recommended that it be done consistent with the "Core Values" adopted by The International Society for the Reform of Criminal Laws; the United Nations Minimum Rules for the Treatment of Prisoners; and generally accepted best professional practices and standards. Equally important, however, are any other core values or specific goals that the nation may have beyond these general guidelines. They should be documented and adopted once agreed to by the sponsoring officials and project advisory committee and made publicly available.

■ Task 2 – Assessment of Existing Facilities Capacities and Capabilities ■

This task requires staff with expertise in facility planning and design to go to each existing prison and jail in the jurisdiction. A first-hand assessment needs to be made of the general conditions of each facility to determine whether they should be retained as is, upgraded and modified, or excluded from further use and demolished as soon as they can be replaced. Depending on their size the inspection and assessment of a prison can take up

to a full day to be able to examine every component and system. This means not only the buildings and building systems but also any site infrastructure or utility systems that are in the ground such as fresh water supply, sewage treatment systems, gas and electrical supply. A camera is very helpful to document conditions and to be able to remember everything when you are trying to write up the assessment results.

A survey instrument, such as the example included in the appendix, should be used by the planners to standardize the evaluation of each facility. The instrument should utilize best practice standards and guidelines including the UN Minimum Rules and others considered applicable to the nation's particular environment. This could include standards such as those of the American Correctional Association or others that provide specific quantitative and/or qualitative standards or benchmarks to be followed. Examples would include:

1. Adult and youthful or juvenile offenders and males and females should be confined in separate sleeping units if they are confined in the same facility.
2. Prisoners should have 24-hour access to a sanitary toilet, wash basin and fresh drinking water, whether they are confined to locked cells or communal areas.
3. Each prisoner should have a designated sleeping and personal space of at least 3.5 square meters that provides for separation from others whenever more than one prisoner shares the same room, cell or communal dormitory for sleeping. When one prisoner is confined alone in one cell or room the room size should be a minimum of 4.5 square meters.
4. In addition to sleeping areas each prisoner should have daytime activity space whenever they are confined inside their sleeping building of at least 3.5 square meters.
5. All confinement areas and areas of congregate activity should have a minimum air flow rate of ½ cubic meter per minute.
6. There should be a kitchen or food preparation system that is maintained in a sanitary condition that can provide an adequate number of nutritional meals to all inmates at least three times a day.
7. Dining space should be large enough to allow for meals to be served, affording each inmate the opportunity to have at least 20 minutes of dining time for each meal.
8. Circulation of indoor air should provide for at least .42 cubic meters of outside or recirculated air per minute per occupant for cells, rooms, dining rooms and officers stations.
9. Temperatures in indoor living and work areas are appropriate to the summer and winter comfort zones.
10. Both outdoor and covered/enclosed exercise areas for general population inmates are provided in sufficient size and number to assure that each inmate has at least one hour of access daily.

11. Staff needs are met through providing adequate spaces in locations that are convenient for use. Staff should be provided with areas for: changing clothes and showering; an area or room that allows privacy from inmates and space for meals; access to exercise/physical training facilities and equipment; training; shift-change briefings; and toilets and wash basins that are not used by inmates.

These are but a few examples of standards that may be useful and there are many more types of physical plant standards as shown in the example from the ACA Physical Plant Standards 24-category listing. The team should use it or some performance type standards that are appropriate for each category or component of the prison's physical plant that needs to be assessed. If professional architects/engineers are available on the assessment team they will be familiar with other general building condition standards that should be applied.

Many countries have some type of "Building and Safety Codes" or regulations that are applicable to building construction of all types including prisons. The big difference for prisons is in the special security conditions and elements that are needed.

Example: SITE AND FACILITIES CONDITION EVALUATION

Building Exterior / Site	N/A	Poor 1	2	Fair 3	4	Good 5	Remarks
Parking							
Site Access/ADA Issues							
Materials/Exterior Issues							
Roof Material/Condition							
Site Constraints/Expandability							
Historic Significance							

Building Interior	N/A	Poor 1	2	Fair 3	4	Good 5	Remarks
Structure							
Interior Access/ADA Issues							
Interior Layout							
Code Compliance Issues							
Renovation Suitability							

Building Systems	N/A	Poor 1	2	Fair 3	4	Good 5	Remarks
Plumbing							
Mechanical/HVAC							
Electrical							
Communications							
Vertical Transportation							

That is where the experienced corrections planner or architect will be useful on the assessment team to provide that added special perspective on secure design and construction, which goes well beyond durability and structural soundness. If the jurisdiction does not have such building regulations or codes some could be borrowed from a similar jurisdiction that is felt to have a relevant environment and building conditions.

Both the UN Minimum Standards and the American Correctional standards can be consulted as a basis for a comprehensive set of minimum standards and supplemented by any general building or safety codes or regulations available. The survey instrument will be used to document the total useable interior inmate space; the number and size of all cells and sleeping rooms; number of prison beds by custody and security level; acceptability of the interior environmental conditions, services and programs provided by facility.

The focus of the on-site inspections is to develop a first-hand objective assessment of the operational, security and physical plant conditions and capacities of the Nation's prisons, their future life expectancy and their feasibility for continuation as is, expansion or abandonment. Facility inspection teams of specialists should conduct each on-site inspection and need to be given access to all parts of each prison or jail and time to meet with the Warden and maintenance/physical plant manager at each location. The on-site inspections will be used to confirm and assess:

1. The type and level of inmate custody and management conditions, corrective and rehabilitative treatment programs and support services currently in place
2. The operational bed capacity, plus temporary management bed capacity (e.g., beds for medical observation, disciplinary separation, etc.).
3. The general physical plant conditions, improvement needs, life expectancy and physical security capabilities and deficiencies of each confinement facility
4. The availability and adequacy of technology support systems (inmate management information systems, security and communications systems, and building systems controls)
5. The viability of a prison's location and accessibility in a hierarchy of a unified system of prisons

From the results of the on-site assessments, recommendations should be made as to: (1) the most appropriate security and custody role and mission of each type of prison or jail; (2) what general type of physical plant and security improvements would be essential to assure the viability of each facility for a specific correctional mission; (3) the need for added or modified inmate management practices, corrective and rehabilitative treatment programs, and support services; and (4) whether and to what extent capacity expansion appears feasible and desirable for the existing facilities.

■ Task 3 – Correctional System Trends and Offender Profile Analysis ■

Task 3 is very different from the facility focus of Task 2 and requires a different type of expertise. An economist would say that the Task 2 assessment of existing prison facilities is the "supply side" analysis and that Task 3 is the "demand side" analysis. Both are needed in order to develop a good understanding of the system, its existing conditions and the level or severity of need for new prisons.

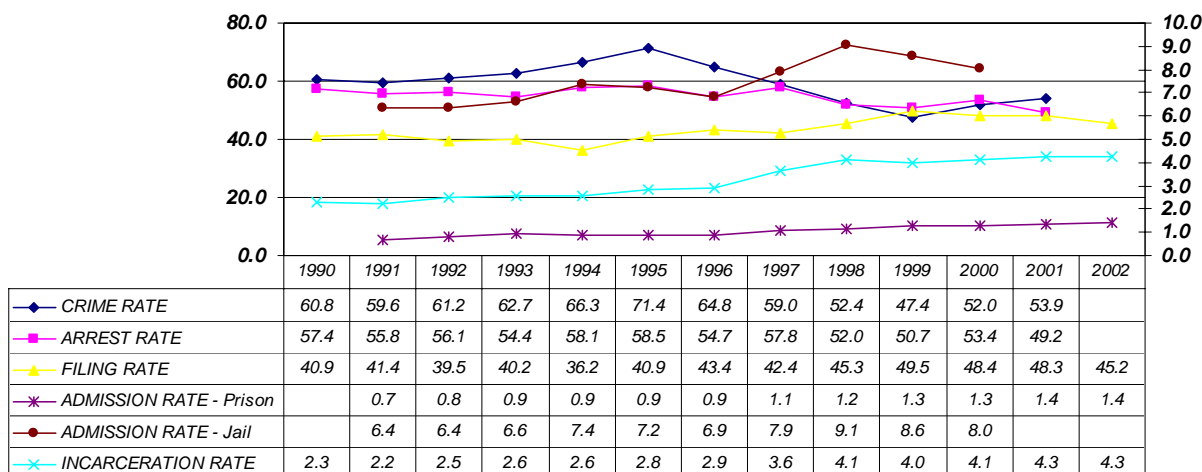
On the "demand" side the planning team needs to develop an understanding of the volume, flow through the system and kinds of prisoners that are normally imprisoned versus those that are sentenced to community-based supervision. In order to develop a projection in Task 4 of how many prisoners the jurisdiction is likely to need to accommodate in 10 years a substantial base of statistics needs to be collected for analysis. This work will need an experienced corrections planner or another specialist team member experienced in statistical analyses and the development of mathematical projections.

Trends Data – If and as available the various criminal justice and corrections systems trends data that are useful to examine in this assessment include the following, which should be collected for annual totals or averages for up to the last 10 years if available - except monthly where noted:

1. Number and type of crimes reported
2. Number and type of arrests reported
3. Number and type of criminal court filings reported
4. Number and type of sentence dispositions
5. Number of commitments *by month* to jails and prisons, and separately to community corrections or other minimum custody facility if so specified by a court
6. Number of prison admissions by new commitments versus probation/parole violators *by month*
7. Average length of stay (either for total population or classification groups if available)
8. Average daily population (*by month*) or end-of-month counts as available
9. Number of active probation cases by type of supervision
10. Number of active parole cases by type of supervision
11. Number of offenders in local community corrections or other minimum custody facilities
12. Number of offenders in non-confinement community corrections supervision or community punishment programs instead of jail or prison confinement by program type

Developing a descriptive assessment of crime trends and the justice system's response is important to being able to accurately analyze current needs and project future years' capacity demands for both prison and community-based corrections placements. The planners will need access to as much as 10 years of the most recently available data on reported crime, arrests, court filings, and prisons admissions for the entire jurisdiction. Also, they will need either actual data or estimates for: (1) the average length of stay in prison or community supervision, (2) yearly averages and the average daily population or end-of-month prisoner counts; monthly or averages and year-to-date for a variety of offender data as specified below. Comparable data for caseloads of any existing community corrections programs will also be needed for probation supervision, half-way houses, parole, house arrest, day reporting, etc.

Example: CRIMINAL JUSTICE SYSTEM TRENDS



Offenders Risk and Needs Profiles – A sample ‘risk and needs profile analysis’ of all sentenced offenders should be developed from records samples as may be available from prison and community corrections

records. This analysis gives the planning team an understanding of 'who' is being committed to prison versus community corrections and a profile of the rehabilitation or treatment needs they may have and the threats they present to society, other prisoners and staff. A sample from the most recent 12 months would be useful and should include the following data items for either total prison population or a sample as feasible for the most recent 12 months and for community corrections if applicable:

A. Offense Risk Profile:

1. Current commitment offense type
2. Offense severity
3. Number of prior commitments to prison or other confinement facilities in last 5 years
4. Number of escapes or walk-off from prisons or other confinement facilities in last 5 years
5. Length of sentence

a. Criminogenic Need Profile:

1. Gender
2. Substance abuse problem
3. Employed at time of admission
4. Education level at time of admission
5. Mental health disorder

This profile will be a key to objectively estimating the total number of prison beds needed by each appropriate level of custody supervision and security conditions versus the number of offenders suitable for placement in community corrections programs. The results will be used to separate the current prison inmate population and the Task 4 10-year future population projections. Doing so will allow a comparison of the existing supply or stock of prison beds with the projected need for beds by type of facility.

Prison and jail systems, community corrections systems, courts, and law enforcement agencies usually have the type of data needed for the trends analysis. The focus of the analysis should be on documenting recent trends and the volume and nature of demand for prison confinement versus community-based supervision or punishment options. This analysis will provide one basis for developing 10-year prisoner projections and the resulting bed space capacity needs estimates in relation to the current supply of beds by security level. The profile assessment will also provide one basis for estimating the number of offenders who may be candidates for diversion to community corrections rather than prison confinement, thereby potentially, reducing the number of secure prison and/or jail beds needed.

■ Task 4 – 10-Year Prison and Community Corrections Projections ■

The planner(s) will need to use the data collected in the Task 3 Trends Analysis as a basis to develop a 10-year projection of prison population and the resulting bed capacity needed. A policy level guidance decision would be needed at this point to approve the split of the number of projected offenders likely to be committed to prison versus community-based corrections programs. This would be done based on attitudes about public safety and the degree to which leaders believe that it is appropriate and needed to either increase or decrease the categories of offenders applicable to prison confinement versus community programs. With such guidance the

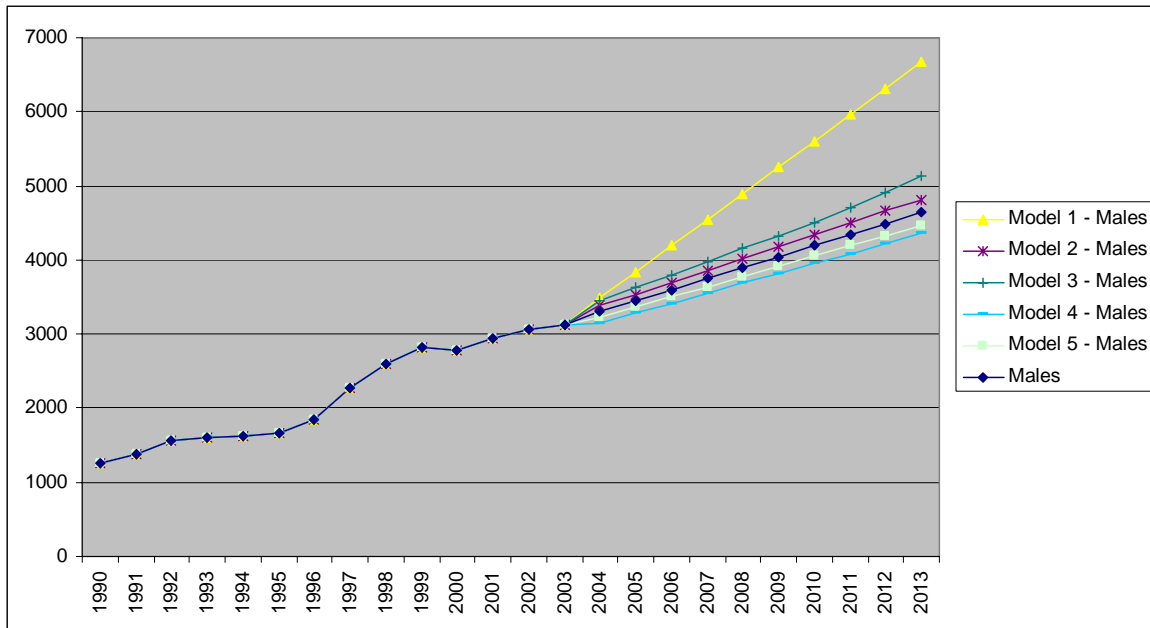
planners can then structure the projection formulas to reflect the desired trend towards more, less or the same degree of reliance on community-based corrections versus prisons.

The planner(s) will need to develop mathematical projection models that are appropriate and likely to be reliable for the data base that was found to be available in Task 3. The specific models used for projections will depend on the frequency and statistical strength of the data available. If obtaining such data proves infeasible the planners will need to develop assumed alternative future scenario projections based on current population counts, arrest trends, and prison population counts.

Several models should be tested in the end to show the possible 10-year outcomes from low, moderate or high levels of growth in the size of the future prison populations. For example, the low growth rate could be used to estimate a possible reduction in future prison capacity needed if leadership wants to make a significantly greater reliance on community-based supervision for non-violent minor offenders rather than jail or prison confinement. A moderate level outcome would be more in keeping with current trends and status quo justice system operation. The high level result would assume that the nation is expecting a high natural population growth rate and/or a higher level of crime and a resulting greater reliance on prisons.

Official total population growth projections for males, females and totals for the entire nation or jurisdiction should be obtained from the national agency responsible for such forecasts. If available, these official projections will be helpful for the development of prison population growth projections.

Example: ALTERNATIVE POPULATION PROJECTIONS



The final prisoner population projections should be separated by appropriate custody and security groups by using the results of the inmate profile data from Task 3. The profile results can be used to estimate the percentage of the total offender projections likely to result in each sub-category. A corresponding calculation should also be made to estimate the possible number of offender diversions that could be made to community corrections instead of prison confinement in each of the three growth level scenarios. The inmate projections should be converted to inmate space (bed count) estimates by adding factors for extra inmate space or beds needed for classification separations, temporary management segregation separations, and periodic peaks of admissions and average length of stay.

A 10-year projection of the resulting number of prison beds needed by security level that would result from continuing a “status quo” reliance on prisons compared to a change to the “preferred public safety policy” direction should be provided. The comparative results of ‘low, moderate and high’ projections should be reviewed and debated to determine which alternative future outcome would be most desired for planning purposes. That result should then be used by the planners to develop optional strategies in Task 5.

■ Task 5 – Define and Compare Development Strategy Options ■

At this point in the planning process the planners and participants should be ready to decide what specific development strategies they want to consider and compare for improving and/or expanding the capacity, conditions, and capabilities of the corrections system. There may be a few or several options that appear promising, but need further comparative evaluation in order to decide which one or ones are best and should be planned for full implementation and which ones should be discarded. The degree of reliance on the use of prisons and remand facilities versus the use of community-based supervision and sanctions should be defined and agreed to by the participants and leaders. Their stance will determine the direction of the plan; its balance between incarceration and community supervision, treatment or punishment; and its support of the jurisdiction’s “core values and goals” for corrections established at the beginning of the project.

Using the results of Task 1 through Task 4 the planning team should develop and review alternative ideas and strategies to meet both the current and projected 10-year prison, jail and community corrections capacity needs.

Community-Based Elements – Community corrections management options should be described for handling the estimated caseload volume of offenders who may be candidates for diversion to community-level supervision. Target offender populations, general program concepts and descriptions, and preliminary cost estimates for community-based options should be presented to aid the participants and leaders in considering their acceptability (e.g. regular probation, intensive supervision probation, intermediate sanction, day reporting centers, electronic monitoring, substance abuse treatment programs, half-way houses, etc.).

Confinement Options – Options for expanding prison and/or remand center bed capacity should be considered in relation to both the feasibility of expanding within or adjacent to existing prisons and for the construction of new facilities. The projections by type of bed space needed should be used to formulate design and construction concepts that would coincide with both the type and amount of bed space needed as well as the timing of such needs over the 10-year planning horizon.

Example: COMPARISON OF OPTIONS

Option:	OPTION 1	OPTION 3	OPTION 4	OPTION 5
Name:	TERMINATE PRACTICE OF LEASING BEDS TO FULTON COUNTY	DEVELOP NEW ALTERNATIVE TO INCARCERATION	CONSTRUCT TEMPORARY HOUSING	MOVE WORK RELEASE TO NEW FACILITY
Target Population:	Pre-Trial Detainees	Work-Release Offenders	Low-Risk Sentenced Offenders	Work-Release Offenders
Maximum Capacity:	13	50	48	300
Beds Saved/Created:	13	50	48	21
Costs				
Construction Cost	\$0	\$0	\$65,000	\$3,500,000 ¹
Equipment Cost			x 3	
<i>E.M. Devices (10 per year)</i>		\$18,000	\$195,000 ²	
<i>Vehicle Lease</i>		\$5,000		
<i>Substance Abuse Testing</i>		\$13,000		
Program Cost				
<i>Staff</i>	\$0	\$60,000		
<i>Treatment</i>		\$23,000		
<i>Op.Costs (\$45/day)</i>			\$788,400	\$4,927,500
Other Costs				
<i>Subtotal Annual Costs</i>	\$0	\$119,000	\$853,400	\$8,427,500
Revenue				
Fees for Service		\$109,500		\$0
Work Release Fee (garnishment)			\$206,736	\$0
(Lost Revenue)	(\$180,000)			\$0
<i>Subtotal Annual Revenue</i>	(\$180,000)	\$109,500	\$206,736	\$0
TOTAL PROGRAM COST	\$180,000	\$9,500	\$646,664	\$8,427,500
TOTAL COSTS (4 YEARS)	\$720,000	\$38,000	\$2,586,656	\$33,710,000
Avg. Cost/Per Capita/Per Annum	\$13,846	\$190	\$13,472	\$28,092

Comparing Options – A comparative evaluation of the potentially feasible options should also be developed in terms of their:

1. support for the core values and goals adopted under Task 1;
2. complexity and estimated time required to be fully implemented;
3. governance, organizational and operational responsibilities;
4. staffing needs;
5. potentials for either selective services contracting and/or total operational privatization;
6. preliminary estimated capital project and annual operating cost estimates; and
7. summary of all pros and cons for each option.

The planners and project advisory committee should review and debate the results of the comparative evaluations and make a recommendation of what elements should be included in the 10-year Master Plan.

■ Task 6 – Phase One Report of Findings and Strategy Recommendations ■

The findings, 10-year needs projections, expansion and improvement strategy option comparisons, and those concepts and elements recommended for inclusion in the 10-year Master Plan yet to be developed should be fully documented and consolidated into a Phase I Report. The purpose of the report is to provide an official decision “check point” in the planning process before the 10-year Master Plan is developed and finalized in Phase II. Such a “check point” can be critical to getting the jurisdiction’s top leadership as well as interested and involved citizens to be supportive of the direction being recommended by its appointed project advisory committee and project planners.

A draft of the report should be presented by the planners first to the project advisory committee for review and approval. Once sufficient debate and review has been completed and the consensus of the project advisory committee confirmed for a recommended direction for the Master Plan the planners should make any changes agreed to and prepare a final Phase I report. That report should be recommended by the Advisory Committee for acceptance and approval to whatever the highest level of government approval is needed to proceed with development of the 10-Year Master Plan in the Phase II work tasks.

Provided that all data needed and access to all prisons for inspections are provided to the planners in a timely manner, the Phase I Report could be completed and submitted as a draft for review and approval in about five (5) months from the time Task 1 began. For large nation-wide systems more time or more planning staff may be needed just to allow for the extra time required to inspect all facilities to be included. Conversely, if just one or a few facilities are involved Phase 1 could be completed in less than five months.

Once the Phase I Report has been finalized and approved by the government, the advisory committee and planners should proceed with the Phase II tasks to develop the 10-Year Facilities Master Plan.

Phase II – 10-Year Correctional Facilities Master Plan

Right Sizing the Facilities Plan – Due to the high cost both to build and to operate correctional facilities, getting the size right is critical. Consequently, although the 10-Year Master Plan is focused on facility needs it is necessary to at least account for whatever non-confinement community-based programs the jurisdiction intends to develop as well since they will have a very direct impact on the type and amount of correctional facility capacity needed.

Some prison systems and some community corrections systems include such correctional facilities as minimum custody confinement facilities, work release facilities, non-secure residential/transition facilities and/or half-way houses. If the approved Phase I Report included Strategy Recommendations for the development of such community-based facilities as part of the overall strategy that capacity should also be included in the Facilities Master Plan along with prison and remand center needs.

The Phase I assessment and strategy described for community-based corrections should provide an estimate of the amount of criminal offenders to be diverted away from correctional facility confinement; a general description of those programs; and estimates of their general caseload capacity. If a jurisdiction already has a community corrections system that it considers adequate then its annual caseloads simply need to be recognized and accounted for in the Phase I needs projections and the capacity planned for all correctional facilities.

Thus, the 10-Year Facilities Master Plan should at least include a section with descriptions, volume or caseload estimates and implementation guidance about offender management expected to be provided without confinement, since its success will account for a volume of criminal offenders who would otherwise have to be confined in a correctional facility. This will not be a total plan for community corrections programs, but it needs to be descriptive enough so that the 10-Year Facilities Master Plan for correctional facilities can be on target and will not provide too much or too little capacity.

The Phase II work should include a planner or planning team members who have correctional facility planning and design experience since general design concepts and related preliminary cost estimates will need to be made. Their involvement will help assure that the preliminary cost estimates will be reliable and realistic.

■ Task 7 – Master Plan Guidelines and Preliminary Cost Estimates ■

The Facilities Master should not be confused with an architectural master plan for a specific building or complex of facilities, which is part of a design architect's preliminary work in developing the design plans for a specific building project. The 10-Year Plan will be an overall guide for direction, policy, building strategy and concepts, location guidelines, and budget targets for the subsequent architectural design and construction of each facility called for by the Master Plan. As noted above the expertise of planners who have correctional facility planning and design experience will be essential for this type of work.

The following subsections describe the focus and general content for each section that should be included in the 10-Year Master Plan in the sequence given.


Background, Scope and Strategy – The first section of the Facilities Master Plan should describe the context, rationale, goals and objectives that the 10-Year plan is based on. As a basis and background the general state of the corrections system including salient problems and issues such as overcrowding, deterioration, obsolescence of existing facilities, lack of staff, etc. should be summarized from the assessment results of Phase I. Both the analytic findings as well as any of the government’s desire to “change direction” with different types of facilities should be summarized to explain the justification and direction being taken.

The role that community-based corrections should play compared to the use of prisons, remand centers and other types of confinement facilities should be clarified. The volumes and types of criminal offenders that are intended to be accommodated or managed in various types of facilities should be indicated compared to those that are projected to be assigned to community status without confinement. The jurisdiction’s desired use of correctional facilities and what the intended role may be for punishment, deterrence, incapacitation, behavioral change, treatment and rehabilitation, work programs, transitional and re-entry pre-release preparation, etc. should be described. Much of this should have already been debated, decided on and adopted as a foundation in Task 1.

Existing Facilities Conditions, Future Role and Improvement Recommendations – For each existing facility there should be a plan for its role in the future or its abandonment based on the Phase I findings and recommendations. Each facility’s future use plan should include recommendations for its fit within a unified correctional system including:

1. Recommended continued role and mission or abandonment
2. Recommended capacity by custody levels
3. Changes and improvements needed
4. Expansion potential and continued use
5. General space needs and site plan

Example: EXISTING FACILITY ASSESSMENT
WAIAWA CORRECTIONAL FACILITY (Hawaii)



WAIAWA CORRECTIONAL FACILITY
Hawaii Public Safety Department

Space Evaluation

Component	Existing Conditions		Recommended GSF/Inmate	Surplus (Shortfall)	
	Total GSF	GSF/Bedspace		GSF/Bedspace	Total GSF
Administration	3,226	9	18	(9)	(3,132)
Program Services	8,683	25	112	(87)	(30,276)
Support & Operations	16,044	46	120	(74)	(25,752)
Inmate Housing	37,877	109	200	(91)	(31,668)
348 Beds of Operating Capacity				Total:	(90,828)

Pictures of each existing facility should have been taken during the Task 2 on-site assessment. These could be helpful in documenting and describing any conditions found to be inadequate. In giving a recommended

capacity rating a distinction should be made between “operational permanent beds” and “special or temporary management” beds (e.g. medical, isolation, observation, etc.). Here again the use of standards will be important to be able to make consistent and uniform ratings or the true holding capacity of each facility. A site plan or map of each facility’s layout should be included to show both all existing facilities and possible general locations for replacement or expansion construction.

System Capacity Plan – This plan element will tell what number of facility beds are to be provided. The total number of correctional beds needed by general security/custody level by year for 10 years and by male and female groups should be calculated. A third category by prison, remand center or community-based facility should also be used to further break down the allocations needed. The data assessment and projections completed in Phase I should provide the data base for these computations. Allowance also needs to be made for beds for: (1) “special needs offenders” such as the mentally disordered, substance abuse addicts, youthful, aged, and handicapped; and (2) for “segregation cells” needed for violent offenders who require at least temporary separation; and (3) clinic or infirmary type beds for temporary medical observation or isolation.

Example: FACILITIES OPERATING CAPACITY PLAN

FACILITY	2003 RATING	PHASE 1 2004-2008	PHASE 2 2009 -2013
CORRECTIONAL FACILITIES			
Halawa Medium Security Correctional Facility	992	1,446	1,446
Kulani Correctional Facility	160	310	310
Waiawa Correctional Facility (Replace Phase 2)	348	754	--
Women’s Community Correctional Center (Replace Phase 2)	260	468	--
New Special Needs Treatment Correctional Facility	--	498	498
New Medium Security Correctional Facility	--	--	613
New Minimum Security Correctional Facility	--	--	275
New Minimum Security Correctional Facility	--	--	350
Waiawa Correctional Facility Replacement (Medium & Minimum Security)	--	--	756
Women’s Community Correctional Center Replacement	--	--	512
TOTAL - CORRECTIONAL FACILITIES	1,760	3,476	4,760
COMMUNITY CORRECTIONAL CENTERS			
Hawaii Community Correctional Center (Replace Phase 2)	226	226	434
Kauai Community Correctional Center (Replace Phase 1)	128	343	343
Maui Community Correctional Center (Replace Phase 1)	301	761	843
Oahu Community Correctional Center (Replace Phase 1)	954	1,964	2,160
West Hawaii Correction Center (New Phase 1)	--	359	359
TOTAL - COMMUNITY CORRECTIONAL CENTERS	1,609	3,653	4,139
GRAND TOTALS	3,369	7,199	8,899

As noted earlier the allocation by year of the number of offenders assumed to be suited for community supervision instead of a correctional facility should also be shown for its role in the providing the total system capacity needed. This will show how the improved system can provide a comprehensive hierarchy or continuum of placement options needed for a successful corrections system from the least restrictive community-based residential confinement to the highest level of maximum security prison or remand center confinement.

Facility Development Plan – This section should describe the actual strategy that may consist of a combination of using remodeled and expanded existing facilities and new facilities the need to be constructed. Any facilities that are recommended for abandonment or demolition would also be so specified.

Each type of confinement facility needed from community residential to half-way houses or work release, to secure institutional facilities should be described in summary fashion. The general security conditions, levels of custody or supervision, and general types of rehabilitative or treatment programs proposed for each category of inmates should be described. If changes in general staffing patterns are likely to result from new designs or new inmate management methods staffing guidelines should be proposed. For each remodeled/expanded facility and/or each new facility proposed the following guidelines should be described:

1. Targeted offender population profile as defined by general security, custody and rehabilitative needs
2. Correctional goals and objectives
3. General conditions of confinement
4. Total capacities
5. Staffing and other operational resources needed
6. Diagrams or conceptual sketches to depict expansion concepts at or adjacent to existing facilities or for the development of totally new facilities
7. Preliminary cost estimates for construction and/or annual operation

Example: MASTER PLAN BED ALLOCATIONS

Phase and Category	Male		Female		Totals		Grand Total All Beds	
	CF	CCC	CF	CCC	CF	CCC		
PHASE 1 - 2004 - 2008								
Facility Expansions								
Operational Beds	1,154		208		1,362	-	1,362	
Special Management Beds	72		10		82	-	82	
Total Beds	1,226	-	218	-	1,444	-	1,444	
New Facilities								
Operational Beds	498	2,769		658	498	3,427	3,925	
Special Management Beds	24	144		32	24	176	200	
Total Beds	522	2,913	-	690	522	3,603	4,125	
Phase 1 Totals								
Operational Beds	1,652	2,769	208	658	1,860	3,427	5,257	
Special Management Beds	96	144	10	32	106	176	200	
PHASE 1 Totals	1,748	2,913	218	690	1,966	3,603	5,557	
PHASE 2 - 2009 - 2013								
Facility Expansions								
Operational Beds		228		50	-	278	278	
Special Management Beds					-	-	-	
Total Beds	-	228	-	50	-	278	278	
New Facilities								
Operational Beds	1,994	260	512	74	2,506	334	2,840	
Special Management Beds	100	12	24	4	124	16	140	
Total Beds	2,094	272	536	78	2,630	350	2,980	
Phase 2 Totals								
Operational Beds	1,994	488	512	124	2,506	612	3,118	
Special Management Beds	100	12	24	4	124	16	140	
PHASE 2 Totals	2,094	500	536	128	2,630	628	3,258	
PHASE 1 + PHASE 2								
Operational Beds	3,646	3,257	720	782	4,366	4,039	8,405	
Special Management Beds	196	156	34	36	230	192	422	
GRAND TOTAL	3,842	3,413	754	818	4,596	4,231	8,827	
Projected Need vs. Plan Capacity (operational beds)	2008				2013			
	CF		CCC		CF		CCC	
	Proj. Need	Plan	Proj. Need	Plan	Proj. Need	Plan	Proj. Need	Plan
	Male	3,684	1,652	2,930	2,769	4,386	1,994	3,312
Female	375	208	636	658	476	512	776	1,200
Totals	4,059	1,860	3,566	3,427	4,862	2,506	4,088	610
Retained Beds	1,616		226		2,254		3,527	
Retained + Planned Beds	3,476		3,653		4,760		4,139	

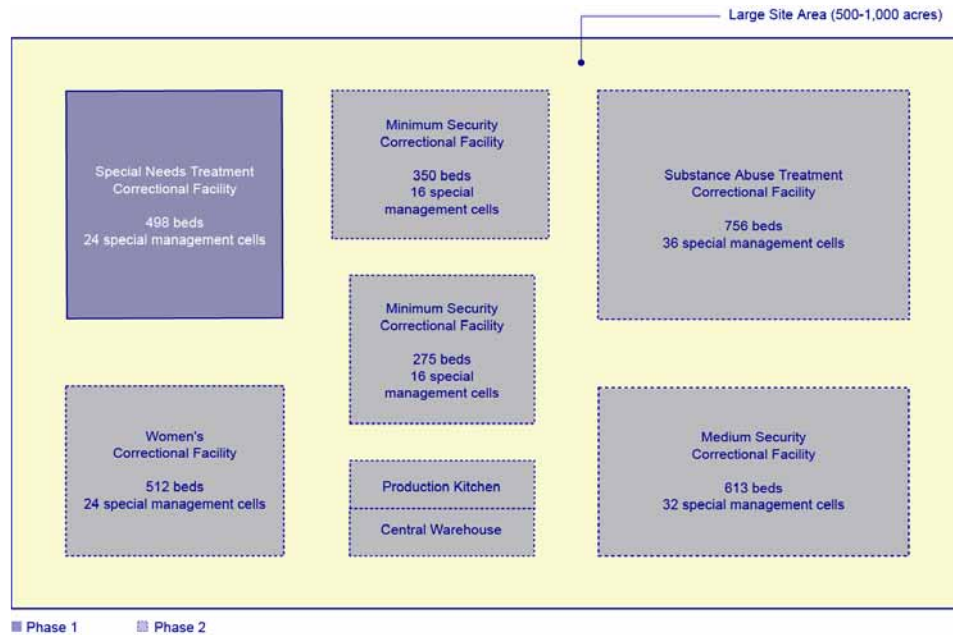
A proposed 10-year phasing schedule that indicates when specific projects should be designed, constructed and available for occupancy to coincide with the needs projections should be developed. Projecting a schedule of projects that includes all facilities should help to avoid funding and constructing too soon or too late in relation to the 10-year demand projections. Also, a map or indication of the general location needed for each new facility should be provided with an explanation of the rationale for each location.

Due to the relatively high cost to build and operate correctional facilities consideration should be given to co-locating facilities on the same site whenever feasible. Significant cost savings can result from having shared site infrastructure, utilities and certain building support systems. Also, by co-locating common support services can be used such as for food preparation, supplies storage, laundry, and medical services that would otherwise have to be replicated at each facility on a separate site.

Example: CAPITAL IMPROVEMENT GROWTH PLAN SUMMARY

PHASE 1 – 2003 – 2008 (build 1,860 CF ops. beds & 3,427 CCC ops. beds)	PHASE 2 – 2009 – 2013 (build 2,570 CF ops. beds & 612 CCC ops. beds)
Facility Expansions 1,362 CF ops. beds 1. Unless affordable to replace in Phase 1, add a 256-bed medium unit, 150-bed minimum unit, 32 spc. mgt. cells at Waiawa CF with needed support improvements (<i>short-term</i>). 2. Unless affordable to replace in Phase 1, add 8 maximum, 8 close, 192 medium beds, 10 spc. mgt. cells at WCCC with needed support improvements (<i>short-term</i>). 3. Add 150 minimum security beds, 8 spc. mgt. cells at Kulani CF with needed support improvements. 4. After new treatment facility available demolish HSNCF and reuse site for HMSCF expansion for 448 medium security beds, 150-bed minimum security unit, 32 spc. mgt. cells.	Facility Expansions 64 CF ops. beds <i>contingency</i> , 278 CCC ops. beds 1. Add ONLY if recommended new Women's CF is not funded: a 64-bed medium unit at the WCCC. 2. Add 82 male ops. beds at the Maui CCC. 3. Add 146 male ops. beds and 50 female ops. beds at the Oahu CCC.
New Facilities 498 CF ops. beds, 3,427 CCC ops. beds 1. 498-bed correctional special needs treatment facility, 24 spc. mgt. cells, either at a new Oahu site or at Halawa complex. 2. 1,964 ops. bed CCC on Oahu, 104 spc. mgt. cells (1,364 ops. beds jail near court and 600 community custody ops. beds other locations) 3. 761-bed CCC on Maui, 40 spc. mgt. cells 4. 343-bed CCC on Kauai, 16 spc. mgt. cells 5. 359-bed West Hawaii correctional center near Kona courts, 16 spc. mgt. cells	New Facilities 2,506 CF ops. beds; 334 CCC ops. beds 1. 334-bed Hawaii CCC on new site near Hilo, plus 16 spc. mgt. cells and retention of the 100-bed Hale Nani Work Furlough Center. 2. 613-bed medium security CF with 288 medium and 325 minimum security beds, 32 spc. mgt. cells. 3. 350-bed minimum security CF with 16 spc. mgt. cells. 4. Replace WCCC @ 512 ops./24 spc. mgt. cells. 5. Replace WCF @ 756 ops./36 spc. mgt. cells. 6. 275-bed minimum security CF, 16 spc. mgt. cells

Example: SINGLE SITE DEVELOPMENT OPTION



Community Corrections Development Guidelines – For each new community-based program concept approved to be included in the Master Plan a descriptive profile and general planning and implementation guidelines should be described. Any new program approved for development would be matched to the target population projections as allocated in the “System Capacity Plan” described above. The general development guidelines for each approved program concept should include the following elements as applicable:

1. Targeted offender population and caseload
2. Correctional goals and objectives
3. General program characteristics
4. Staffing and other operational resources needed
5. Program facility needs if any (office, residential, confinement)
6. Preliminary cost estimates (operating and capital project if applicable)

■ **Task 8 – Recommended 10-Year Implementation Schedule and Budget** ■

In close collaboration with the Advisory Committee the planners should develop a recommended implementation schedule for all the Master Plan elements as developed in Task 7. The schedule should be developed to reflect the priority order found to be appropriate based on the needs assessment results and logical time spans needed for individual project planning, design, and construction to be completed over each year of the 10-year Plan.

Example: SUMMARY MASTER PLAN IMPLEMENTATION SCHEDULE

10-YEAR MASTER PLAN RECOMMENDATIONS		PHASE 1					PHASE 2				
		2004	2005	2006	2007	2008	2009	2010	2011	2012	2013
FACILITY EXPANSION PROJECTS											
Waiawa CF	256 Medium, 150 Minnum, 32 Special Management										
Women's CCC	192 Medium, 16 Maximum/Close, 10 Special Management										
Kulani CF	150 Minimum, 8 Special Management										
Halawa Medium CF	448 Medium, 150 Minimum, 32 Special Management, SNF Demo										
CF Support Space Additions											
CCC Support Space Additions											
Maui CCC	32 Medium, 25 Minimum, 25 Community Custody										
Oahu CCC	96 Medium, 25 Minimum, 75 Community Custody										
NEW FACILITY PROJECTS											
Special Needs Treatment CF	498 Beds, 24 Special Management										
Oahu CCC	1,964 Beds, 104 Special Management										
Maui CCC	761 Beds, 40 Special Management										
Kauai CCC	343 Beds, 16 Special Management										
West Hawaii CCC	359 Beds, 16 Special Management										
Hawaii CCC Hilo	334 Beds, 16 Special Management										
Medium Security CF	613 Beds, 32 Special Management										
Minimum Security CF	350 Beds, 16 Special Management										
Women's CF	512 Beds, 24 Special Management										
Substance Abuse Treatment	756 Beds, 36 Special Management										
Minimum Security CF	275 Beds, 16 Special Management										

■ PHASE 1 PLANNING/DESIGN ■ PHASE 2 PLANNING/DESIGN
■ PHASE 1 CONSTRUCTION ■ PHASE 2 CONSTRUCTION

All projects should be sequenced in a manner which meets projected capacity needs, but is also responsive to the jurisdiction's funding limits as recommended by the Advisory Committee members. The planners should prepare a final 10-year budget summary in present value costs so that the total impact of the plan can be estimated and incorporated by government budget officials as needed. Additionally, since correctional facilities require 24-hour operation and thus a major annual operating budget a preliminary annual operating cost estimate should be made for each new facility proposed. Development of this estimate obviously requires cooperation and input from local government budget specialists to assure that operating cost estimates are based on realistic national or local operating cost experience.

Task 9 – Final Report, Reviews, and Presentations

A draft of the Phase II 10-Year Master Plan should be presented for review and approval by the Project Advisory Committee and ultimately the government. All elements of the Phase I report should be consolidated with the Phase II Master Plan to be presented for review, finalized and approved for adoption.

An executive summary appropriate for briefings, public distribution, and presentations should also be developed once all elements of the final report draft has been reviewed and approved by the Advisory Committee and finalized to be recommended for adoption by the government. Once completed a camera-ready master copy plus multiple bound copies of the complete plan should be prepared for public distribution as appropriate for the jurisdiction. Summary briefing presentations by the planning team and Advisory Committee members should be given to help gain support for the plan by other leaders, agencies and the public if and as considered to be needed and appropriate in the jurisdiction.

From the time Phase II work begins a minimum of three months should be allowed for completion of a draft report and longer for large systems and where the planning process requires a high degree of public interaction and participation.

IN CONCLUSION

Like most technical documents and manuals prospective users will benefit from discussing the ideas and contents with colleagues from other jurisdictions who themselves have been involved in the development of a facilities or system master plan. Describing the details of the technical methods used to develop a master plan would alone require several text books from the different disciplines of facilities and systems planning, architecture and construction. Hence, the recommendation to use experienced staff or consulting planners to perform the technical work needed.

The intent of this manual is to give officials and staff in developing nations a guide that they can use to be sure that whoever undertakes the technical work on their master plan will at least include the variety of analyses and planning components needed to create a credible plan. Users may also find it helpful to obtain copies of correctional facility master plans from other jurisdictions to review and compare to what they believe is needed.

APPENDICES

APPENDIX A

Standard Minimum Rules for the Treatment of Prisoners. United Nations, May 1977.

APPENDIX B

Standards for Adult Correctional Institutions, 4th Edition, Part II: Physical Plant. American Correctional Association, Lanham, Maryland, USA, January 2003.

APPENDIX C

Example of Prisons Conditions Survey Form

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Standard Minimum Rules for the Treatment of Prisoners

Adopted by the First United Nations Congress on the Prevention of Crime and the Treatment of Offenders, held at Geneva in 1955, and approved by the Economic and Social Council by its resolution 663 C (XXIV) of 31 July 1957 and 2076 (LXII) of 13 May 1977

Preliminary Observations

1. The following rules are not intended to describe in detail a model system of penal institutions. They seek only, on the basis of the general consensus of contemporary thought and the essential elements of the most adequate systems of today, to set out what is generally accepted as being good principle and practice in the treatment of prisoners and the management of institutions.
2. In view of the great variety of legal, social, economic and geographical conditions of the world, it is evident that not all of the rules are capable of application in all places and at all times. They should, however, serve to stimulate a constant endeavour to overcome practical difficulties in the way of their application, in the knowledge that they represent, as a whole, the minimum conditions which are accepted as suitable by the United Nations.
3. On the other hand, the rules cover a field in which thought is constantly developing. They are not intended to preclude experiment and practices, provided these are in harmony with the principles and seek to further the purposes which derive from the text of the rules as a whole. It will always be justifiable for the central prison administration to authorize departures from the rules in this spirit.
4. (1) Part I of the rules covers the general management of institutions, and is applicable to all categories of prisoners, criminal or civil, untried or convicted, including prisoners subject to "security measures" or corrective measures ordered by the judge.

(2) Part II contains rules applicable only to the special categories dealt with in each section. Nevertheless, the rules under section A, applicable to prisoners under sentence, shall be equally applicable to categories of prisoners dealt with in sections B, C and D, provided they do not conflict with the rules governing those categories and are for their benefit.
5. (1) The rules do not seek to regulate the management of institutions set aside for young persons such as Borstal institutions or correctional schools, but in general part I would be equally applicable in such institutions.

(2) The category of young prisoners should include at least all young persons who come within the jurisdiction of juvenile courts. As a rule, such young persons should not be sentenced to imprisonment.

PART I

RULES OF GENERAL APPLICATION

Basic principle

6. (1) The following rules shall be applied impartially. There shall be no discrimination on grounds of race, colour, sex, language, religion, political or other opinion, national or social origin, property, birth or other status.

(2) On the other hand, it is necessary to respect the religious beliefs and moral precepts of the group to which a prisoner belongs.

Register

7. (1) In every place where persons are imprisoned there shall be kept a bound registration book with numbered pages in which shall be entered in respect of each prisoner received:

- (a) Information concerning his identity;
- (b) The reasons for his commitment and the authority therefor;
- (c) The day and hour of his admission and release.

(2) No person shall be received in an institution without a valid commitment order of which the details shall have been previously entered in the register. Separation of categories

8. The different categories of prisoners shall be kept in separate institutions or parts of institutions taking account of their sex, age, criminal record, the legal reason for their detention and the necessities of their treatment. Thus,

- (a) Men and women shall so far as possible be detained in separate institutions; in an institution which receives both men and women the whole of the premises allocated to women shall be entirely separate;
- (b) Untried prisoners shall be kept separate from convicted prisoners;
- (c) Persons imprisoned for debt and other civil prisoners shall be kept separate from persons imprisoned by reason of a criminal offence;
- (d) Young prisoners shall be kept separate from adults. Accommodation

9. (1) Where sleeping accommodation is in individual cells or rooms, each prisoner shall occupy by night a cell or room by himself. If for special reasons, such as temporary overcrowding, it becomes necessary for the central prison administration to make an exception to this rule, it is not desirable to have two prisoners in a cell or room.

(2) Where dormitories are used, they shall be occupied by prisoners carefully selected as being suitable to associate with one another in those conditions. There shall be regular supervision by night, in keeping with the nature of the institution.

10. All accommodation provided for the use of prisoners and in particular all sleeping accommodation shall meet all requirements of health, due regard being paid to climatic conditions and particularly to cubic content of air, minimum floor space, lighting, heating and ventilation.

11. In all places where prisoners are required to live or work,

(a) The windows shall be large enough to enable the prisoners to read or work by natural light, and shall be so constructed that they can allow the entrance of fresh air whether or not there is artificial ventilation;

(b) Artificial light shall be provided sufficient for the prisoners to read or work without injury to eyesight.

12. The sanitary installations shall be adequate to enable every prisoner to comply with the needs of nature when necessary and in a clean and decent manner.

13. Adequate bathing and shower installations shall be provided so that every prisoner may be enabled and required to have a bath or shower, at a temperature suitable to the climate, as frequently as necessary for general hygiene according to season and geographical region, but at least once a week in a temperate climate.

14. All pans of an institution regularly used by prisoners shall be properly maintained and kept scrupulously clean at all times.

Personal hygiene

15. Prisoners shall be required to keep their persons clean, and to this end they shall be provided with water and with such toilet articles as are necessary for health and cleanliness.

16. In order that prisoners may maintain a good appearance compatible with their self-respect, facilities shall be provided for the proper care of the hair and beard, and men shall be enabled to shave regularly.

Clothing and bedding

17. (1) Every prisoner who is not allowed to wear his own clothing shall be provided

with an outfit of clothing suitable for the climate and adequate to keep him in good health. Such clothing shall in no manner be degrading or humiliating.

(2) All clothing shall be clean and kept in proper condition. Underclothing shall be changed and washed as often as necessary for the maintenance of hygiene.

(3) In exceptional circumstances, whenever a prisoner is removed outside the institution for an authorized purpose, he shall be allowed to wear his own clothing or other inconspicuous clothing.

18. If prisoners are allowed to wear their own clothing, arrangements shall be made on their admission to the institution to ensure that it shall be clean and fit for use.

19. Every prisoner shall, in accordance with local or national standards, be provided with a separate bed, and with separate and sufficient bedding which shall be clean when issued, kept in good order and changed often enough to ensure its cleanliness.

Food

20. (1) Every prisoner shall be provided by the administration at the usual hours with food of nutritional value adequate for health and strength, of wholesome quality and well prepared and served.

(2) Drinking water shall be available to every prisoner whenever he needs it.

Exercise and sport

21. (1) Every prisoner who is not employed in outdoor work shall have at least one hour of suitable exercise in the open air daily if the weather permits.

(2) Young prisoners, and others of suitable age and physique, shall receive physical and recreational training during the period of exercise. To this end space, installations and equipment should be provided.

Medical services

22. (1) At every institution there shall be available the services of at least one qualified medical officer who should have some knowledge of psychiatry. The medical services should be organized in close relationship to the general health administration of the community or nation. They shall include a psychiatric service for the diagnosis and, in proper cases, the treatment of states of mental abnormality.

(2) Sick prisoners who require specialist treatment shall be transferred to specialized institutions or to civil hospitals. Where hospital facilities are provided in an institution, their equipment, furnishings and pharmaceutical supplies shall be proper for the medical care and treatment of sick prisoners, and there shall be a staff of suitable trained officers.

(3) The services of a qualified dental officer shall be available to every prisoner.

23. (1) In women's institutions there shall be special accommodation for all necessary pre-natal and post-natal care and treatment. Arrangements shall be made wherever practicable for children to be born in a hospital outside the institution. If a child is born in prison, this fact shall not be mentioned in the birth certificate.

(2) Where nursing infants are allowed to remain in the institution with their mothers, provision shall be made for a nursery staffed by qualified persons, where the infants shall be placed when they are not in the care of their mothers.

24. The medical officer shall see and examine every prisoner as soon as possible after his admission and thereafter as necessary, with a view particularly to the discovery of physical or mental illness and the taking of all necessary measures; the segregation of prisoners suspected of infectious or contagious conditions; the noting of physical or mental defects which might hamper rehabilitation, and the determination of the physical capacity of every prisoner for work.

25. (1) The medical officer shall have the care of the physical and mental health of the prisoners and should daily see all sick prisoners, all who complain of illness, and any prisoner to whom his attention is specially directed.

(2) The medical officer shall report to the director whenever he considers that a prisoner's physical or mental health has been or will be injuriously affected by continued imprisonment or by any condition of imprisonment.

26. (1) The medical officer shall regularly inspect and advise the director upon:

(a) The quantity, quality, preparation and service of food;

(b) The hygiene and cleanliness of the institution and the prisoners;

(c) The sanitation, heating, lighting and ventilation of the institution;

(d) The suitability and cleanliness of the prisoners' clothing and bedding;

(e) The observance of the rules concerning physical education and sports, in cases where there is no technical personnel in charge of these activities.

(2) The director shall take into consideration the reports and advice that the medical officer submits according to rules 25 (2) and 26 and, in case he concurs with the recommendations made, shall take immediate steps to give effect to those recommendations; if they are not within his competence or if he does not concur with them, he shall immediately submit his own report and the advice of the medical officer to higher authority.

Discipline and punishment

27. Discipline and order shall be maintained with firmness, but with no more restriction than is necessary for safe custody and well-ordered community life.

28. (1) No prisoner shall be employed, in the service of the institution, in any disciplinary capacity.

(2) This rule shall not, however, impede the proper functioning of systems based on self-government, under which specified social, educational or sports activities or responsibilities are entrusted, under supervision, to prisoners who are formed into groups for the purposes of treatment.

29. The following shall always be determined by the law or by the regulation of the competent administrative authority:

- (a) Conduct constituting a disciplinary offence;
- (b) The types and duration of punishment which may be inflicted;
- (c) The authority competent to impose such punishment.

30. (1) No prisoner shall be punished except in accordance with the terms of such law or regulation, and never twice for the same offence.

(2) No prisoner shall be punished unless he has been informed of the offence alleged against him and given a proper opportunity of presenting his defence. The competent authority shall conduct a thorough examination of the case.

(3) Where necessary and practicable the prisoner shall be allowed to make his defence through an interpreter.

31. Corporal punishment, punishment by placing in a dark cell, and all cruel, inhuman or degrading punishments shall be completely prohibited as punishments for disciplinary offences.

32. (1) Punishment by close confinement or reduction of diet shall never be inflicted unless the medical officer has examined the prisoner and certified in writing that he is fit to sustain it.

(2) The same shall apply to any other punishment that may be prejudicial to the physical or mental health of a prisoner. In no case may such punishment be contrary to or depart from the principle stated in rule 31.

(3) The medical officer shall visit daily prisoners undergoing such punishments and shall advise the director if he considers the termination or alteration of the punishment necessary on grounds of physical or mental health.

Instruments of restraint

33. Instruments of restraint, such as handcuffs, chains, irons and strait-jacket, shall never be applied as a punishment. Furthermore, chains or irons shall not be used as restraints. Other instruments of restraint shall not be used except in the following circumstances:

(a) As a precaution against escape during a transfer, provided that they shall be removed when the prisoner appears before a judicial or administrative authority;

(b) On medical grounds by direction of the medical officer; (c) By order of the director, if other methods of control fail, in order to prevent a prisoner from injuring himself or others or from damaging property; in such instances the director shall at once consult the medical officer and report to the higher administrative authority.

34. The patterns and manner of use of instruments of restraint shall be decided by the central prison administration. Such instruments must not be applied for any longer time than is strictly necessary.

Information to and complaints by prisoners

35. (1) Every prisoner on admission shall be provided with written information about the regulations governing the treatment of prisoners of his category, the disciplinary requirements of the institution, the authorized methods of seeking information and making complaints, and all such other matters as are necessary to enable him to understand both his rights and his obligations and to adapt himself to the life of the institution.

(2) If a prisoner is illiterate, the aforesaid information shall be conveyed to him orally.

36. (1) Every prisoner shall have the opportunity each week day of making requests or complaints to the director of the institution or the officer authorized to represent him.

(2) It shall be possible to make requests or complaints to the inspector of prisons during his inspection. The prisoner shall have the opportunity to talk to the inspector or to any other inspecting officer without the director or other members of the staff being present.

(3) Every prisoner shall be allowed to make a request or complaint, without censorship as to substance but in proper form, to the central prison administration, the judicial authority or other proper authorities through approved channels.

(4) Unless it is evidently frivolous or groundless, every request or complaint shall be promptly dealt with and replied to without undue delay.

Contact with the outside world

37. Prisoners shall be allowed under necessary supervision to communicate with their family and reputable friends at regular intervals, both by correspondence and by receiving visits.

38. (1) Prisoners who are foreign nationals shall be allowed reasonable facilities to communicate with the diplomatic and consular representatives of the State to which they belong. (2) Prisoners who are nationals of States without diplomatic or consular representation in the country and refugees or stateless persons shall be allowed similar facilities to communicate with the diplomatic representative of the State which takes charge of their interests or any national or international authority whose task it is to protect such persons.

39. Prisoners shall be kept informed regularly of the more important items of news by the reading of newspapers, periodicals or special institutional publications, by hearing wireless transmissions, by lectures or by any similar means as authorized or controlled by the administration.

Books

40. Every institution shall have a library for the use of all categories of prisoners, adequately stocked with both recreational and instructional books, and prisoners shall be encouraged to make full use of it.

Religion

41. (1) If the institution contains a sufficient number of prisoners of the same religion, a qualified representative of that religion shall be appointed or approved. If the number of prisoners justifies it and conditions permit, the arrangement should be on a full-time basis.

(2) A qualified representative appointed or approved under paragraph (1) shall be allowed to hold regular services and to pay pastoral visits in private to prisoners of his religion at proper times.

(3) Access to a qualified representative of any religion shall not be refused to any prisoner. On the other hand, if any prisoner should object to a visit of any religious representative, his attitude shall be fully respected.

42. So far as practicable, every prisoner shall be allowed to satisfy the needs of his religious life by attending the services provided in the institution and having in his possession the books of religious observance and instruction of his denomination.

Retention of prisoners' property

43. (1) All money, valuables, clothing and other effects belonging to a prisoner which under the regulations of the institution he is not allowed to retain shall on his admission to the institution be placed in safe custody. An inventory thereof shall be signed by the prisoner. Steps shall be taken to keep them in good condition. (2) On the release of the prisoner all such articles and money shall be returned to him except in so far as he has been authorized to spend money or send any such property out of the institution, or it has been found necessary on hygienic grounds to destroy any article of clothing. The

prisoner shall sign a receipt for the articles and money returned to him.

(3) Any money or effects received for a prisoner from outside shall be treated in the same way.

(4) If a prisoner brings in any drugs or medicine, the medical officer shall decide what use shall be made of them.

Notification of death, illness, transfer, etc.

44. (1) Upon the death or serious illness of, or serious injury to a prisoner, or his removal to an institution for the treatment of mental affections, the director shall at once inform the spouse, if the prisoner is married, or the nearest relative and shall in any event inform any other person previously designated by the prisoner.

(2) A prisoner shall be informed at once of the death or serious illness of any near relative. In case of the critical illness of a near relative, the prisoner should be authorized, whenever circumstances allow, to go to his bedside either under escort or alone.

(3) Every prisoner shall have the right to inform at once his family of his imprisonment or his transfer to another institution.

Removal of prisoners

45. (1) When the prisoners are being removed to or from an institution, they shall be exposed to public view as little as possible, and proper safeguards shall be adopted to protect them from insult, curiosity and publicity in any form.

(2) The transport of prisoners in conveyances with inadequate ventilation or light, or in any way which would subject them to unnecessary physical hardship, shall be prohibited.

(3) The transport of prisoners shall be carried out at the expense of the administration and equal conditions shall obtain for all of them.

Institutional personnel

46. (1) The prison administration, shall provide for the careful selection of every grade of the personnel, since it is on their integrity, humanity, professional capacity and personal suitability for the work that the proper administration of the institutions depends.

(2) The prison administration shall constantly seek to awaken and maintain in the minds both of the personnel and of the public the conviction that this work is a social service of great importance, and to this end all appropriate means of informing the public should be used.

(3) To secure the foregoing ends, personnel shall be appointed on a full-time basis as professional prison officers and have civil service status with security of tenure subject only to good conduct, efficiency and physical fitness. Salaries shall be adequate to attract and retain suitable men and women; employment benefits and conditions of service shall be favourable in view of the exacting nature of the work.

47. (1) The personnel shall possess an adequate standard of education and intelligence.

(2) Before entering on duty, the personnel shall be given a course of training in their general and specific duties and be required to pass theoretical and practical tests.

(3) After entering on duty and during their career, the personnel shall maintain and improve their knowledge and professional capacity by attending courses of in-service training to be organized at suitable intervals.

48. All members of the personnel shall at all times so conduct themselves and perform their duties as to influence the prisoners for good by their example and to command their respect.

49. (1) So far as possible, the personnel shall include a sufficient number of specialists such as psychiatrists, psychologists, social workers, teachers and trade instructors.

(2) The services of social workers, teachers and trade instructors shall be secured on a permanent basis, without thereby excluding part-time or voluntary workers.

50. (1) The director of an institution should be adequately qualified for his task by character, administrative ability, suitable training and experience.

(2) He shall devote his entire time to his official duties and shall not be appointed on a part-time basis.

(3) He shall reside on the premises of the institution or in its immediate vicinity. (4) When two or more institutions are under the authority of one director, he shall visit each of them at frequent intervals. A responsible resident official shall be in charge of each of these institutions.

51. (1) The director, his deputy, and the majority of the other personnel of the institution shall be able to speak the language of the greatest number of prisoners, or a language understood by the greatest number of them.

(2) Whenever necessary, the services of an interpreter shall be used.

52. (1) In institutions which are large enough to require the services of one or more full-time medical officers, at least one of them shall reside on the premises of the institution or in its immediate vicinity.

(2) In other institutions the medical officer shall visit daily and shall reside near enough to be able to attend without delay in cases of urgency.

53. (1) In an institution for both men and women, the part of the institution set aside for women shall be under the authority of a responsible woman officer who shall have the custody of the keys of all that part of the institution.

(2) No male member of the staff shall enter the part of the institution set aside for women unless accompanied by a woman officer.

(3) Women prisoners shall be attended and supervised only by women officers. This does not, however, preclude male members of the staff, particularly doctors and teachers, from carrying out their professional duties in institutions or parts of institutions set aside for women.

54. (1) Officers of the institutions shall not, in their relations with the prisoners, use force except in self-defence or in cases of attempted escape, or active or passive physical resistance to an order based on law or regulations. Officers who have recourse to force must use no more than is strictly necessary and must report the incident immediately to the director of the institution.

(2) Prison officers shall be given special physical training to enable them to restrain aggressive prisoners.

(3) Except in special circumstances, staff performing duties which bring them into direct contact with prisoners should not be armed. Furthermore, staff should in no circumstances be provided with arms unless they have been trained in their use.

Inspection

55. There shall be a regular inspection of penal institutions and services by qualified and experienced inspectors appointed by a competent authority. Their task shall be in particular to ensure that these institutions are administered in accordance with existing laws and regulations and with a view to bringing about the objectives of penal and correctional services.

PART II

RULES APPLICABLE TO SPECIAL CATEGORIES

A. PRISONERS UNDER SENTENCE

Guiding principles

56. The guiding principles hereafter are intended to show the spirit in which penal institutions should be administered and the purposes at which they should aim, in accordance with the declaration made under Preliminary Observation I of the present

text.

57. Imprisonment and other measures which result in cutting off an offender from the outside world are afflictive by the very fact of taking from the person the right of self-determination by depriving him of his liberty. Therefore the prison system shall not, except as incidental to justifiable segregation or the maintenance of discipline, aggravate the suffering inherent in such a situation.

58. The purpose and justification of a sentence of imprisonment or a similar measure deprivative of liberty is ultimately to protect society against crime. This end can only be achieved if the period of imprisonment is used to ensure, so far as possible, that upon his return to society the offender is not only willing but able to lead a law-abiding and self-supporting life.

59. To this end, the institution should utilize all the remedial, educational, moral, spiritual and other forces and forms of assistance which are appropriate and available, and should seek to apply them according to the individual treatment needs of the prisoners.

60. (1) The regime of the institution should seek to minimize any differences between prison life and life at liberty which tend to lessen the responsibility of the prisoners or the respect due to their dignity as human beings.

(2) Before the completion of the sentence, it is desirable that the necessary steps be taken to ensure for the prisoner a gradual return to life in society. This aim may be achieved, depending on the case, by a pre-release regime organized in the same institution or in another appropriate institution, or by release on trial under some kind of supervision which must not be entrusted to the police but should be combined with effective social aid. 61. The treatment of prisoners should emphasize not their exclusion from the community, but their continuing part in it. Community agencies should, therefore, be enlisted wherever possible to assist the staff of the institution in the task of social rehabilitation of the prisoners. There should be in connection with every institution social workers charged with the duty of maintaining and improving all desirable relations of a prisoner with his family and with valuable social agencies. Steps should be taken to safeguard, to the maximum extent compatible with the law and the sentence, the rights relating to civil interests, social security rights and other social benefits of prisoners.

62. The medical services of the institution shall seek to detect and shall treat any physical or mental illnesses or defects which may hamper a prisoner's rehabilitation. All necessary medical, surgical and psychiatric services shall be provided to that end.

63. (1) The fulfilment of these principles requires individualization of treatment and for this purpose a flexible system of classifying prisoners in groups; it is therefore desirable that such groups should be distributed in separate institutions suitable for the treatment of each group.

(2) These institutions need not provide the same degree of security for every group. It is desirable to provide varying degrees of security according to the needs of different

groups. Open institutions, by the very fact that they provide no physical security against escape but rely on the self-discipline of the inmates, provide the conditions most favourable to rehabilitation for carefully selected prisoners.

(3) It is desirable that the number of prisoners in closed institutions should not be so large that the individualization of treatment is hindered. In some countries it is considered that the population of such institutions should not exceed five hundred. In open institutions the population should be as small as possible.

(4) On the other hand, it is undesirable to maintain prisons which are so small that proper facilities cannot be provided.

64. The duty of society does not end with a prisoner's release. There should, therefore, be governmental or private agencies capable of lending the released prisoner efficient after-care directed towards the lessening of prejudice against him and towards his social rehabilitation.

Treatment

65. The treatment of persons sentenced to imprisonment or a similar measure shall have as its purpose, so far as the length of the sentence permits, to establish in them the will to lead law-abiding and self-supporting lives after their release and to fit them to do so. The treatment shall be such as will encourage their self-respect and develop their sense of responsibility.

66. (1) To these ends, all appropriate means shall be used, including religious care in the countries where this is possible, education, vocational guidance and training, social casework, employment counselling, physical development and strengthening of moral character, in accordance with the individual needs of each prisoner, taking account of his social and criminal history, his physical and mental capacities and aptitudes, his personal temperament, the length of his sentence and his prospects after release.

(2) For every prisoner with a sentence of suitable length, the director shall receive, as soon as possible after his admission, full reports on all the matters referred to in the foregoing paragraph. Such reports shall always include a report by a medical officer, wherever possible qualified in psychiatry, on the physical and mental condition of the prisoner.

(3) The reports and other relevant documents shall be placed in an individual file. This file shall be kept up to date and classified in such a way that it can be consulted by the responsible personnel whenever the need arises.

Classification and individualization

67. The purposes of classification shall be:

(a) To separate from others those prisoners who, by reason of their criminal records or

bad characters, are likely to exercise a bad influence;

(b) To divide the prisoners into classes in order to facilitate their treatment with a view to their social rehabilitation.

68. So far as possible separate institutions or separate sections of an institution shall be used for the treatment of the different classes of prisoners.

69. As soon as possible after admission and after a study of the personality of each prisoner with a sentence of suitable length, a programme of treatment shall be prepared for him in the light of the knowledge obtained about his individual needs, his capacities and dispositions.

Privileges

70. Systems of privileges appropriate for the different classes of prisoners and the different methods of treatment shall be established at every institution, in order to encourage good conduct, develop a sense of responsibility and secure the interest and co-operation of the prisoners in their treatment.

Work

71. (1) Prison labour must not be of an afflictive nature.

(2) All prisoners under sentence shall be required to work, subject to their physical and mental fitness as determined by the medical officer.

(3) Sufficient work of a useful nature shall be provided to keep prisoners actively employed for a normal working day.

(4) So far as possible the work provided shall be such as will maintain or increase the prisoners, ability to earn an honest living after release.

(5) Vocational training in useful trades shall be provided for prisoners able to profit thereby and especially for young prisoners.

(6) Within the limits compatible with proper vocational selection and with the requirements of institutional administration and discipline, the prisoners shall be able to choose the type of work they wish to perform.

72. (1) The organization and methods of work in the institutions shall resemble as closely as possible those of similar work outside institutions, so as to prepare prisoners for the conditions of normal occupational life.

(2) The interests of the prisoners and of their vocational training, however, must not be subordinated to the purpose of making a financial profit from an industry in the institution.

73. (1) Preferably institutional industries and farms should be operated directly by the administration and not by private contractors.

(2) Where prisoners are employed in work not controlled by the administration, they shall always be under the supervision of the institution's personnel. Unless the work is for other departments of the government the full normal wages for such work shall be paid to the administration by the persons to whom the labour is supplied, account being taken of the output of the prisoners.

74. (1) The precautions laid down to protect the safety and health of free workmen shall be equally observed in institutions.

(2) Provision shall be made to indemnify prisoners against industrial injury, including occupational disease, on terms not less favourable than those extended by law to free workmen.

75. (1) The maximum daily and weekly working hours of the prisoners shall be fixed by law or by administrative regulation, taking into account local rules or custom in regard to the employment of free workmen.

(2) The hours so fixed shall leave one rest day a week and sufficient time for education and other activities required as part of the treatment and rehabilitation of the prisoners.

76. (1) There shall be a system of equitable remuneration of the work of prisoners.

(2) Under the system prisoners shall be allowed to spend at least a part of their earnings on approved articles for their own use and to send a part of their earnings to their family.

(3) The system should also provide that a part of the earnings should be set aside by the administration so as to constitute a savings fund to be handed over to the prisoner on his release.

Education and recreation

77. (1) Provision shall be made for the further education of all prisoners capable of profiting thereby, including religious instruction in the countries where this is possible. The education of illiterates and young prisoners shall be compulsory and special attention shall be paid to it by the administration.

(2) So far as practicable, the education of prisoners shall be integrated with the educational system of the country so that after their release they may continue their education without difficulty. 78. Recreational and cultural activities shall be provided in all institutions for the benefit of the mental and physical health of prisoners.

Social relations and after-care

79. Special attention shall be paid to the maintenance and improvement of such relations between a prisoner and his family as are desirable in the best interests of both.

80. From the beginning of a prisoner's sentence consideration shall be given to his future after release and he shall be encouraged and assisted to maintain or establish such relations with persons or agencies outside the institution as may promote the best interests of his family and his own social rehabilitation.

81. (1) Services and agencies, governmental or otherwise, which assist released prisoners to re-establish themselves in society shall ensure, so far as is possible and necessary, that released prisoners be provided with appropriate documents and identification papers, have suitable homes and work to go to, are suitably and adequately clothed having regard to the climate and season, and have sufficient means to reach their destination and maintain themselves in the period immediately following their release.

(2) The approved representatives of such agencies shall have all necessary access to the institution and to prisoners and shall be taken into consultation as to the future of a prisoner from the beginning of his sentence.

(3) It is desirable that the activities of such agencies shall be centralized or co-ordinated as far as possible in order to secure the best use of their efforts.

B. INSANE AND MENTALLY ABNORMAL PRISONERS

82. (1) Persons who are found to be insane shall not be detained in prisons and arrangements shall be made to remove them to mental institutions as soon as possible.

(2) Prisoners who suffer from other mental diseases or abnormalities shall be observed and treated in specialized institutions under medical management.

(3) During their stay in a prison, such prisoners shall be placed under the special supervision of a medical officer.

(4) The medical or psychiatric service of the penal institutions shall provide for the psychiatric treatment of all other prisoners who are in need of such treatment.

83. It is desirable that steps should be taken, by arrangement with the appropriate agencies, to ensure if necessary the continuation of psychiatric treatment after release and the provision of social-psychiatric after-care.

C. PRISONERS UNDER ARREST OR AWAITING TRIAL

84. (1) Persons arrested or imprisoned by reason of a criminal charge against them, who are detained either in police custody or in prison custody (jail) but have not yet been tried and sentenced, will be referred to as "untried prisoners," hereinafter in these rules.

(2) Unconvicted prisoners are presumed to be innocent and shall be treated as such.

(3) Without prejudice to legal rules for the protection of individual liberty or prescribing the procedure to be observed in respect of untried prisoners, these prisoners shall benefit by a special regime which is described in the following rules in its essential requirements only.

85. (1) Untried prisoners shall be kept separate from convicted prisoners.

(2) Young untried prisoners shall be kept separate from adults and shall in principle be detained in separate institutions.

86. Untried prisoners shall sleep singly in separate rooms, with the reservation of different local custom in respect of the climate.

87. Within the limits compatible with the good order of the institution, untried prisoners may, if they so desire, have their food procured at their own expense from the outside, either through the administration or through their family or friends. Otherwise, the administration shall provide their food.

88. (1) An untried prisoner shall be allowed to wear his own clothing if it is clean and suitable.

(2) If he wears prison dress, it shall be different from that supplied to convicted prisoners.

89. An untried prisoner shall always be offered opportunity to work, but shall not be required to work. If he chooses to work, he shall be paid for it.

90. An untried prisoner shall be allowed to procure at his own expense or at the expense of a third party such books, newspapers, writing materials and other means of occupation as are compatible with the interests of the administration of justice and the security and good order of the institution.

91. An untried prisoner shall be allowed to be visited and treated by his own doctor or dentist if there is reasonable ground for his application and he is able to pay any expenses incurred.

92. An untried prisoner shall be allowed to inform immediately his family of his detention and shall be given all reasonable facilities for communicating with his family and friends, and for receiving visits from them, subject only to restrictions and supervision as are necessary in the interests of the administration of justice and of the security and good order of the institution.

93. For the purposes of his defence, an untried prisoner shall be allowed to apply for free legal aid where such aid is available, and to receive visits from his legal adviser with a view to his defence and to prepare and hand to him confidential instructions. For

these purposes, he shall if he so desires be supplied with writing material. Interviews between the prisoner and his legal adviser may be within sight but not within the hearing of a police or institution official.

D. CIVIL PRISONERS

94. In countries where the law permits imprisonment for debt, or by order of a court under any other non-criminal process, persons so imprisoned shall not be subjected to any greater restriction or severity than is necessary to ensure safe custody and good order. Their treatment shall be not less favourable than that of untried prisoners, with the reservation, however, that they may possibly be required to work.

E. PERSONS ARRESTED OR DETAINED WITHOUT CHARGE

95. Without prejudice to the provisions of article 9 of the International Covenant on Civil and Political Rights, persons arrested or imprisoned without charge shall be accorded the same protection as that accorded under part I and part II, section C. Relevant provisions of part II, section A, shall likewise be applicable where their application may be conducive to the benefit of this special group of persons in custody, provided that no measures shall be taken implying that re-education or rehabilitation is in any way appropriate to persons not convicted of any criminal offence.

2. Physical Plant

Unless otherwise noted, each standard applies to existing institutions, renovations, additions, and/or new plant construction. "New construction" is for final plans approved after January 1, 1990.

Section A: Building and Safety Codes

Principle: Compliance with professional building and fire safety codes helps to ensure the safety of all persons within the facility.

Building Codes

4-4123
(Ref. 3-4120)

The institution conforms with applicable federal, state, and/or local building codes. (Renovation, Addition, New Construction Only)

Comment: Conformance with codes is indicated by licensing or, in cases where a license is not issued, by letters or certificates of compliance. If the agency is not subject to local building codes, appropriate state or national codes must be applied.

Fire Codes

4-4124
(Ref. 3-4121)

(MANDATORY) The institution conforms with applicable federal, state, and/or local fire safety codes. Compliance is documented by the authority having jurisdiction. A fire alarm and automatic detection system are required, as approved by the authority having jurisdiction, or there is a plan for addressing these or other deficiencies within a reasonable time period. The authority approves any variances, exceptions, or equivalencies that do not constitute a serious life safety threat to the occupants or the facility.

Comment: The applicable fire safety code(s) must be comprehensive, ensure basic protection of life, and include the use of fire detection and alarm systems in all habitable areas of the facility. The applicable code(s) should be applied to all areas of the facility. Reports of periodic inspections and any actions taken in respect to those inspections must be available.

Section B: Size, Organization, and Location

Principle: The question of facility size is most accurately approached from the perspective of the individual units that make up the institution. This approach encourages flexibility, creativity, and innovation in meeting concerns for safety and quality of life.

Staff/Inmate Interaction

4-4125

(Ref. 3-4122)

Physical plant design facilitates personal contact and interaction between staff and inmates. (Renovation, Addition, New Construction Only)

Comment: Separation of supervising staff from inmates reduces interpersonal relationships and staff awareness of conditions on the housing unit. Staff effectiveness is limited if the only staff available are isolated in control centers as observers or technicians in charge of electronic management systems.

Facility Size

4-4126 Revised August 2003. The facility should encourage staff/inmate interaction. The facility has a management system that provides staff with the authority to make decisions, the ability to make recommendations regarding security, classification, services, and programs for inmates.

COMMENT: None.

Unit Size

4-4127

Revised August 2003. The maximum size of a single management unit is variable and is based on the characteristics of its inmate population. The exact size of each management unit is determined by (1) the security classification of the inmate occupants (higher security levels require smaller unit size), and (2) the ability of staff to complete regular security checks, maintain visual and auditory contact, maintain personal contact and interaction with inmates, and be aware of unit conditions.

COMMENT: The scale of the management unit should facilitate and encourage the involvement of all staff in decision making.

4-4128

(Ref. 3-4125)

Single-cell living units shall not exceed 80 inmates. (New Construction Only)

Comment: None.

Rated Capacity

4-4129
(Ref. 3-4126)

The number of inmates does not exceed the facility's rated bed capacity.

Comment: Rated bed capacity is considered to be the original design capacity, plus or minus capacity changes resulting from building additions, reductions, or revisions.

Location

4-4130
(Ref. 3-4127)

The institution is located within 50 miles of a civilian population center of at least 10,000 people, or minimally within one hour's driving time of a hospital, fire protection, and public transportation. (New Construction Only)

Comment: Proximity to a civilian population center is essential in order to augment the services provided directly by the institution, to provide greater recruitment and training opportunities for staff, to accommodate visitors, and to provide educational and employment opportunities for inmates on work or study release.

Section C: Inmate Housing

Principle: Inmate housing areas are the foundation of institutional living and must promote the safety and well-being of both inmates and staff.

Inmate Sleeping Areas Occupancy and Space Requirements

4-4131
(Ref. 3-4128)

Single cells are required for inmates assigned to maximum custody. All cells in which inmates are confined conform to the following requirements:

1. There must be 35 square feet of unencumbered space for the single cell occupant.
2. When confinement exceeds 10 hours per day, there is at least 80 square feet of total floor space for the occupant.
3. "Unencumbered space" is usable space that is not encumbered by furnishing or fixtures. At least one dimension of the unencumbered space is no less than seven feet. In determining unencumbered space, all fixtures must be in operational position and must provide the following minimum areas per person: bed, plumbing fixtures, desk, and locker.
4. Supervision is consistent with standard 4-4177.

Comment: This standard encourages design flexibility and creativity by relating cell size to the amount of unencumbered or free space provided.

4-4132

Revised August 2002. Single cells/rooms and multiple-occupancy cells/rooms may be used for housing inmates in medium/minimum custody when the classifications system, cell/room size, and level of supervision meet the following requirements:

1. <u>Number of occupants</u>	<u>Amount of Unencumbered Space*</u>
1	35 square feet per occupant
2-50	25 square feet

"Unencumbered space" is usable space that is not encumbered by furnishings or fixtures. At least one dimension of the unencumbered space is no less than seven feet. In determining unencumbered space in the cell or room, the total square footage is obtained and the square footage of fixtures and equipment is subtracted. All fixtures and equipment must be in operational position and must provide the following minimums per person: bed, plumbing fixtures (if inside the cell/room), writing surface, and proximate area to sit, and locker.

2. When confinement exceeds 10 hours per day, there are at least 80 square feet of total floor space per occupant.
3. Housing is in compliance with American Correctional Association standards 4-4137, 4-4138, 4-4139, 4-4142, 4-4151, and 4-4295.
4. Medium-security inmates housed in multiple-occupancy cells/rooms require direct supervision.

- **mental and emotional stability**
- **escape history**
- **history of assaultive behavior**
- **medical status**
- **age**
- **enemies of record**

Male and female inmates are housed in separate cells/rooms.

COMMENT: The standard encourages design flexibility and creativity by relating cell size to the amount of unencumbered, or free, space provided by the design. Unencumbered space is determined by multiplying the length and width of the cell/room and subtracting from that figure the total number of square feet encumbered by bed(s), plumbing fixtures, desk(s), locker(s), and other fixed equipment. Measurements should be made with equipment and furnishings in their normal use position (in other words, to discourage Murphy beds).

4-4133

(Ref. 3-4128-2)

Written policy, procedure, and practice provide that single-occupancy cells/rooms shall be available, when indicated, for the following:

- **inmates with severe medical disabilities**
- **inmates suffering from serious mental illness**
- **sexual predators**
- **inmates likely to be exploited or victimized by others**
- **inmates who have other special needs for single housing**

Comment: While the standard permits the housing of medium-security inmates in multiple cells/rooms, there is a need for single cells/rooms for the inmate groups listed. The caveat "when indicated" refers to determinations made by the classification system, medical diagnosis, or other professional conclusions.

Cell Furnishings

4-4134

(Ref. 3-4129)

Each inmate confined to a cell/room for ten or more hours daily is provided a sleeping area with the following: a sleeping surface and mattress at least 12 inches off of the floor; a writing surface and proximate area to sit; storage for personal items; and adequate storage space for clothes and personal belongings.

Each inmate confined to a cell/room for less than ten hours daily is provided a sleeping area with the following: a sleeping surface and mattress at least 12 inches off of the floor; storage for personal items; and adequate storage space for clothes and personal belongings.

Comment: The words "writing surface" refer to a fixed or free-standing surface under which a person can sit.

Dayrooms

Space Requirements

4-4135

(Ref. 3-4130)

Dayrooms with space for varied inmate activities are situated immediately adjacent to the inmate sleeping areas. Dayrooms provide a minimum of 35 square feet of space per inmate (exclusive of lavatories,

Part 2: Physical Plant

showers, and toilets) for the maximum number of inmates who use the dayroom at one time, and no dayroom encompasses less than 100 square feet of space (exclusive of lavatories, showers, and toilets).

Comment: While the standard establishes a minimum square footage for any dayroom, total square footage is calculated for the maximum number of users at one time rather than the total number of inmates served.

Dayroom Furnishings

4-4136

(Ref. 3-4131)

Dayrooms provide sufficient seating and writing surfaces. Dayroom furnishings are consistent with the custody level of the inmates assigned.

Comment: The standard provides managers and designers with flexibility in designing and furnishing dayrooms and takes into consideration the range of activities that may occur (for example, dayroom activities usually include television viewing, reading, recreation, conversation, and games, and sometimes include eating and work). In lower security settings, the use of "normalized" furnishings should be considered.

Toilets

4-4137

(Ref. 3-4132)

Inmates have access to toilets and hand-washing facilities 24 hours per day and are able to use toilet facilities without staff assistance when they are confined in their cells/sleeping areas.

Toilets are provided at a minimum ratio of 1 for every 12 inmates in male facilities and 1 for every 8 inmates in female facilities. Urinals may be substituted for up to one-half of the toilets in male facilities. All housing units with 3 or more inmates have a minimum of 2 toilets. These ratios apply unless national or state building or health codes specify a different ratio.

Comment: The standard ensures the availability of toilets and requires a measure of privacy and control for users. At the same time, the standard provides flexibility for designers and managers, who have increased options for "dry" cells if toilet facilities are accessible by other means (for example, push-button locks on cells for use during night hours). Creative design approaches that increase privacy and decrease management problems associated with congregate facilities (for example, the creation of a series of "single occupancy" toilet areas) are encouraged. The requirement of an approved ratio is designed to assure that inmates have adequate access to meet their basic personal hygiene needs.

Washbasins

4-4138

(Ref. 3-4133)

Inmates have access to operable washbasins with hot and cold running water in the housing units at a minimum ratio of 1 basin for every 12 occupants, unless national or state building or health codes specify a different ratio.

Section C. Inmate Housing

Comment: Provision must be made for inmate access in cells or sleeping areas, dayrooms, and other parts of the facility. The requirement of an approved ratio is designed to assure that inmates have adequate access to meet their basic personal hygiene needs.

Showers

4-4139
(Ref. 3-4134)

Inmates have access to operable showers with temperature-controlled hot and cold running water, at a minimum ratio of one shower for every eight inmates, unless national or state building or health codes specify a different ratio. Water for showers is thermostatically controlled to temperatures ranging from 100 degrees Fahrenheit to 120 degrees Fahrenheit to ensure the safety of inmates and to promote hygienic practices.

Comment: Offenders can use scalding showers as a weapon against, or punishment for, other inmates. Also, accidental injury could occur when cold water is drawn in other areas, thereby unexpectedly elevating the hot water in showers to scalding temperatures. Water temperatures below 100 degrees Fahrenheit are uncomfortable and may deter an individual from pursuing good hygienic practices. The temperature controls should not preclude the use of water at higher temperatures, if needed, in other areas of the institution, such as kitchens.

Special Management Housing

4-4140
(Ref. 3-4135)

Segregation housing units provide living conditions that approximate those of the general inmate population; all exceptions are clearly documented. Segregation cells/rooms permit the inmates assigned to them to converse with and be observed by staff members.

Comment: None.

4-4141
(Ref. 3-4136)

All cells/rooms in segregation provide a minimum of 80 square feet, of which 35 square feet is unencumbered space.

Comment: Segregated inmates are confined in cells/rooms for more extended periods during the day. Therefore the cell/room must provide additional space for in-cell activity.

Housing for the Disabled

4-4142
(Ref. 3-4137)

Inmates with disabilities are housed in a manner that provides for their safety and security. Housing used by inmates with disabilities is designed for their use and provides for integration with other inmates. Programs and services are accessible to inmates with disabilities who reside in the facility.

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showers, and other common elements. An offender with a disability should not be placed in a special unit (for example, the infirmary, security room, or protective custody) that cannot accommodate the offender's disability. Program and service areas include, but are not limited to, exercise and recreation areas, visiting rooms, classrooms, dining rooms, commissary/canteen, telephone facilities, library, reception and classification areas, chapel, and administrative areas where appropriate.

4-4143
(New)

Written policy, procedure, and practice provide for the assignment of appropriately trained individuals to assist disabled offenders who cannot otherwise perform basic life functions.

Comment: None.

4-4144
(New)

Written policy, procedure, and practice provide education, equipment and facilities, and the support necessary for inmates with disabilities to perform self-care and personal hygiene in a reasonably private environment.

Comment: A “reasonably private” environment will vary, depending on individual and institutional circumstances, but is one which will maintain the dignity of the disabled individual in light of that person’s disability.

PERU PRISONS CONDITIONS CHECKLIST

NAME OF FACILITY	LOCATION
PERSON COMPLETING CHECKLIST	DATE

This checklist is intended to focus the prison tour towards the overall condition of the prison and to provide a basis for recommending the expansion of the prison. The prisons that are included in the survey have been selected as representative. Our focus is not upon the highest and best use of a specific prison, but more on a general statement based on these representative prisons of current adequacy and capacity. Use judgement in completing the various boxes. In some instances the answer is simply yes or no; in others, provide a quantitative response if possible. This checklist is a guide, but we will complete a form for each prison that is visited.

SITE ANALYSIS AND SELECTION

Site Location

- | | |
|--------------------------------------|---|
| <input type="checkbox"/> Residential | <input type="checkbox"/> Is the site close to a railroad, interstate highway, or other major route? |
| <input type="checkbox"/> Commercial | <input type="checkbox"/> Potential problem of hazardous waste accident – evacuation of prison? |
| <input type="checkbox"/> Industrial | <input type="checkbox"/> Potential problem with ease of “get away” should there be an escape? |
| <input type="checkbox"/> Farm Land | <input type="checkbox"/> Close to lakes, rivers, streams, wetlands, swamps, or drainage ditches? |
| <input type="checkbox"/> Other | <input type="checkbox"/> Potential for flooding? |

Proximity To: (In meters or kilometers)

- | | | |
|-------------------------------------|---|--|
| <input type="checkbox"/> Schools | <input type="checkbox"/> Medical Facilities | <input type="checkbox"/> Child Care Facilities |
| <input type="checkbox"/> Churches | <input type="checkbox"/> Other Public Buildings | <input type="checkbox"/> Parks |
| <input type="checkbox"/> Courthouse | <input type="checkbox"/> Residential Area | <input type="checkbox"/> Businesses |

Topography

- | | |
|--|---|
| <input type="checkbox"/> Ground Water | <input type="checkbox"/> Rock Outcroppings |
| <input type="checkbox"/> Wooded Area | <input type="checkbox"/> Buried Hazardous Waste |
| <input type="checkbox"/> Lay of Land (i.e., hills, valleys, ravines, etc.) | <input type="checkbox"/> Potential Natural Disaster (possibility of flooding) |

Availability of Utilities

- | | | |
|---|--------------------------------------|---|
| <input type="checkbox"/> Water (including fire support) | <input type="checkbox"/> Telephone | <input type="checkbox"/> Electrical |
| <input type="checkbox"/> Sewer (EPD requirements) | <input type="checkbox"/> Natural Gas | <input type="checkbox"/> Transportation |

Availability of Essential Services

- | | | |
|---|---|-------------------------------------|
| <input type="checkbox"/> Medical Services | <input type="checkbox"/> Food Service Providers | <input type="checkbox"/> Courthouse |
|---|---|-------------------------------------|

____ Other Law Enforcement

____ Accessibility for Volunteers

____ Accessibility by Employees

Adequate Useable Land

____ Room for Future Expansion

____ Impound Area

____ Recreation / Emergency Evacuation

____ Parking (staff and visitors)

____ Outdoor Storage Building or Area

DESIGN AND SUPERVISION/SURVEILLANCE

Style of Housing Pavilion Design

- Linear-Intermittent Surveillance
- Podular-Indirect Surveillance
- Podular-Direct Supervision

- Single-Story
 - Multi-Story (Note method for monitoring elevators/stairwell:)
-

Technological Equipment Used for Management of Inmates

- | | | |
|--|--|---|
| <input type="checkbox"/> Cameras (CCTV) | <input type="checkbox"/> Audio Monitoring | <input type="checkbox"/> Panic buttons (i.e., attorney visiting rooms, visitation area areas, others) |
| <input type="checkbox"/> Privacy rights considered | <input type="checkbox"/> Video Visiting | <input type="checkbox"/> Automated Locking Systems |
| <input type="checkbox"/> Permanent video recording | <input type="checkbox"/> Video Arraignment | |
| <input type="checkbox"/> Motion Detectors | <input type="checkbox"/> Metal Detectors | |

Staffing Analysis

- | | |
|--|---|
| <input type="checkbox"/> # of control posts requiring 24-hour staffing | <input type="checkbox"/> # of support staff to include programs/workshops |
| <input type="checkbox"/> # of other security staff | <input type="checkbox"/> # of administrative/supervisory staff |

RECEPTION AND CLASSIFICATION

Vehicle Sallyport

- Entrance:*
- Drive-in/back-out (increased accidents, possibility of vehicles being blocked in the sallyport)
 - Drive through (doors interlocked)

- Security Of:*
- Interlocking doors (manual override for emergencies – cutouts for fire hoses)
 - Gun lockers (adequate number and location of)
 - CCTV (permanently recording)
 - Audio monitoring
 - Separate outside entrance to booking area other than through sallyport
 - Walk through metal detector

Design / Flow of Prisoner Reception Area

- | | |
|--|--|
| <input type="checkbox"/> Orderly flow of facility traffic | <input type="checkbox"/> All doors controlled from secured control post |
| <input type="checkbox"/> Security of staff | <input type="checkbox"/> Is the receiving and discharge area located in close proximity to the intake sallyport? |
| <input type="checkbox"/> Clear visibility (sight lines) of area by staff | |
| <input type="checkbox"/> Method for accommodating bondsmen | |

Reception Holding Cells

- | | | |
|--|---|-------------------------------------|
| <input type="checkbox"/> Visibility of cells | <input type="checkbox"/> CCTV or Audio monitoring | <input type="checkbox"/> # of Cells |
|--|---|-------------------------------------|

Admissions Area

- | | | |
|---|-------------------------------------|----------------------------------|
| <input type="checkbox"/> Fingerprint Area | <input type="checkbox"/> Photo Area | <input type="checkbox"/> Toilets |
|---|-------------------------------------|----------------------------------|

- | | | |
|--|--|--|
| <input type="checkbox"/> Inmate Uniform Storage | <input type="checkbox"/> Records and Forms Storage | <input type="checkbox"/> Inmate Property Storage |
| <input type="checkbox"/> Storage of Hygiene Kits/Items | <input type="checkbox"/> Showers | <input type="checkbox"/> Interview Rooms |

Waiting Area

- | | | |
|---|--|--|
| <input type="checkbox"/> Telephone (inmate) | <input type="checkbox"/> Sitting Area (type of furnishing) | <input type="checkbox"/> Adequate Size |
| <input type="checkbox"/> Toilets | <input type="checkbox"/> Private attorney visiting area | <input type="checkbox"/> Visibility into security area |

Means to Manage Cell Assignment

- | | | |
|-----------------------------------|-------------------------------------|--|
| <input type="checkbox"/> Computer | <input type="checkbox"/> Chalkboard | <input type="checkbox"/> Porcelain Board |
|-----------------------------------|-------------------------------------|--|

Admission Control Post

- | | | |
|--|-------------------------------------|---|
| <input type="checkbox"/> Site Lines for Control of Doors | <input type="checkbox"/> Toilet | <input type="checkbox"/> CCTV Monitors (adequate #) |
| <input type="checkbox"/> Intercom System | <input type="checkbox"/> Telephones | <input type="checkbox"/> Life Safety Monitoring Systems |

HOUSING AREA

General Conditions

- Adequate Artificial lighting (Approx. 20 ft. candles at 30 inches above the floor)
- Acoustical treatment (noise levels do not exceed 70 decibels in the daytime and 45 decibels at night)
- Adequate heating (average temperature between 17 c. – 30c. [65-85 f.] degrees)
- Adequate natural ventilation
- All vents secured to prevent possible tampering or escape by prisoners
- All vent openings located to prevent prisoners from using openings as a possible means of suicide
- All vent openings located to make storage of contraband difficult

Provisions for Classification (Provide numbers if possible)

- | | | |
|--|---|---|
| <input type="checkbox"/> Total Bedspace Capacity | <input type="checkbox"/> Temporary Holding Beds | <input type="checkbox"/> Medical Beds |
| <input type="checkbox"/> Disciplinary/Segregation Beds | <input type="checkbox"/> Medium Custody Beds | <input type="checkbox"/> Other Special Beds |
| <input type="checkbox"/> Maximum Custody Beds | <input type="checkbox"/> Dorms Beds | <input type="checkbox"/> |

Cell and Dayroom Statistics (Enter approximate size whenever possible; use a "typical housing pavilion)

- Single cell floor area (approximate square meters)
- Ceiling height in meters (should be approximately 3 meters)
- Dayrooms or multi-use area (approximate size)
- Dayroom adjacent to cells (yes or no)
- Multi-occupancy cells (approximate size)
- Dormitory space (approximate size)

Ability to Expand Housing Area

- | | |
|---|--|
| <input type="checkbox"/> Adequate land | <input type="checkbox"/> Adequate support services (i.e., kitchen, visitation) |
| <input type="checkbox"/> Ability to expand w/o interrupting prisoner flow | <input type="checkbox"/> Adequate sight lines |

Security of Cells

- | | |
|---|---|
| <input type="checkbox"/> Type of construction (block, steel, wood, other) | <input type="checkbox"/> Type of locks (padlock, paracentric, medico) |
| <input type="checkbox"/> Special electronic monitoring equipment | <input type="checkbox"/> Remote locking |
| <input type="checkbox"/> Solid doors | <input type="checkbox"/> Electrical power outlets in cells |
| <input type="checkbox"/> Sight lines to shower and toilet areas | |

Window Configuration in Cells/Dayrooms

- | | |
|--|--|
| <input type="checkbox"/> Security glazing (i.e., polycarbonate) for windows | <input type="checkbox"/> Size of window openings |
| <input type="checkbox"/> Windows mounted horizontal or vertical | <input type="checkbox"/> Will windows open (if yes, security screen) |
| <input type="checkbox"/> (accessibility of opening to inmate – possible tampering) | <input type="checkbox"/> Skylights (steel bars over opening) |
| <input type="checkbox"/> Other means for natural light | <input type="checkbox"/> Glass blocks |

Furnishings

Type of Bunks:

- | | | |
|---|--|--|
| <input type="checkbox"/> Wall-Mounted | <input type="checkbox"/> Toilet | <input type="checkbox"/> Water Fountain |
| <input type="checkbox"/> Floor-Mounted | <input type="checkbox"/> Shower | <input type="checkbox"/> Sink |
| <input type="checkbox"/> Double-Decked | <input type="checkbox"/> Floor Drains | <input type="checkbox"/> Stainless Steel Mirror |
| <input type="checkbox"/> Desk and Stool | <input type="checkbox"/> Storage Area (fire resistant) | <input type="checkbox"/> Clothes Hooks (breakaway) |
| | <input type="checkbox"/> Fire Retardant Mattresses | |

Dayroom (Provide area if possible)

- | | | |
|-------------------------------------|--|---|
| <input type="checkbox"/> Size | <input type="checkbox"/> Adjacent to Cells | <input type="checkbox"/> Toilets Provided |
| <input type="checkbox"/> Telephones | <input type="checkbox"/> Ability to lock out prisoners | <input type="checkbox"/> TV |

SERVICES PROGRAMS AND ACTIVITIES

Centralized vs. Decentralized

Are services brought to the prisoners (D) or are the prisoners moved to the areas where the services are provided (C).

	C	D		C	D		C	D
Food Service			Visitation			Recreation		
Medical			Library			Vocational Training		
Religious Services			Academic Education			Workshops		

Medical Area

- | | | |
|--|---|--|
| <input type="checkbox"/> Exam Room | <input type="checkbox"/> Toilet and Shower Area | <input type="checkbox"/> Secure Pharmaceutical Storage |
| <input type="checkbox"/> Dental | <input type="checkbox"/> Width of halls | <input type="checkbox"/> Isolation Cells |
| <input type="checkbox"/> Records Storage | <input type="checkbox"/> Clean & Soiled Linen Closets | <input type="checkbox"/> Separate Utility Closet |

Laundry Area

- | | | |
|---|---|--|
| <input type="checkbox"/> Number of Washers and Dryers | <input type="checkbox"/> Adequate Area for Sorting | <input type="checkbox"/> Method for Supervising Area |
| <input type="checkbox"/> Secure Cleaning Supply Storage | <input type="checkbox"/> Automatic Detergent Dispensing | <input type="checkbox"/> Adequate Storage |

Storage Areas

	C	D
Institutional Supplies		

	C	D
Secure Storage		

	C	D
Commissary Supplies		

Food Service Locations

	C	D
Food Preparation		

	C	D
Prisoner Dining		

	C	D
Staff Dining		

Food Service Conditions

- Area for Food Preparation
- Area for Prisoner Dining
- Prisoners used in food prep

- Availability of trained staff
- Secure food storage
- Adequate storage space

- Staff toilets
- Prisoner toilets
- Separate office area

Rehabilitation Services

- Availability of Program Director
- Use of Volunteers
- Approximate area for Programs

- Specialized Counseling Programs
- Central vs. De-Centralized
- Records Storage

- Separate Counseling Rooms
- Offices for Counselors

Workshops and Vocational Training

- Availability of Workshops
- Approximate area for Workshops
- Number of qualified prisoners
- Is a local market available for workshop products

- Number of qualified staff
- Local availability of raw materials
- Availability of adequate equipment
- Secure storage area for tools and products

- Separate Counseling Rooms
- Offices for Counselors
- Are prisoners paid for work
- Relationships with local technical schools for training

Academic Education

- Availability of Education Director
- Approximate area for Education Programs

- Number of Classrooms
- Central vs. De-Centralized
- Records Storage

- Availability of Security Staff
- Offices for Teachers
- Use of Volunteers

Inmate Communications

Visitation Area

- Open visitation area
- Approximate number of visitors at one time
- Approximate size of visitation area
- Capability for intimate visits
- Centralized vs. De-centralized visitation
- Set aside area for attorney visits

- Capability for outdoor visits
- Amenities provided for visitors
- Separate toilets for prisoners and visitors
- Raised security officers platform
- Number of closed visitation rooms
- Adequate visitor waiting and screening area

Prisoner Telephone

- Access to telephones in housing pavilion

- Number of prisoner telephones in prison

Outdoor Recreation

- Availability of sports field (s)
- Approximate hours/day available for use
- Approximate numbers of users at one time

- Availability of pavilion-based courtyard
- Fixed supervision post
- Availability of prisoner toilets from sports field

Administrative/Support Offices

- Availability of central administrative offices
- Separate entrance for staff and visitors
- Adequate records storage area

- Inside (I) or Outside (O) security area
- Availability of courtroom

SECURITY OF FACILITY

Type of Locks Used

- Any remote locking for sallyports?
- Mass release possibility for cell doors?
- Any remote locking for housing pavilions?
- Any emergency release capability?

- Type of locks:
- Paracentric
 - Medico
 - Padlock

Control of Doors

- Any remotely controlled doors:
- Pavilion security vestibules
 - Cell doors
 - Vehicle sallyport doors

- Audio/video observation of doors?
- Any use of interlocking doors ?

Perimeter Security

Type of Fence/Wall

- Chain link
- Height (at least 4 meters)

- Concrete/masonry construction
- Single or double

Devices

- Rolls of razor wire
- Motion detection devices
- Uninterrupted sight lines
- Buffer zone surrounding the perimeter

- Surveillance cameras
- Adequate lighting
- Number of towers
- Number of penetrations

Control Post or Room

Type of Communication from Central Control Room

Telephone
 Video monitoring

Radio
 Intercom

Visibility from Central Control

Perimeter
 Pedestrian sallyport
 Primary prisoner courtyard/recreation field

Vehicle sallyport
 Hallways
 Housing pavilions

PRIMARY CONSTRUCTION MATERIALS

Exterior

Poured-in-place concrete
 Brick/stone
 Pre-cast Concrete

Masonry block
 Wood
 Other

Walls and Ceilings of Housing Pavilions

Poured-in-place concrete
 Dry wall materials
 Pre-cast materials

Masonry
 Acoustical materials
 Suspended ceiling

EMERGENCY PROVISIONS

Riot Control

Arrangements with local law enforcement/military
 Arsenal for weapons storage

Separate entrance for riot teams
 Internal riot control team

NON-PROJECT V RELATED QUESTIONS:

- Of the following, what items are in short supply? Electronics, electrical components, furniture, or welded items (plumbing)?

- If there is already an industry in one of these areas, is there a need for more updated equipment, more skilled workers, or intermediate stages of work that could be completed within the prison and returned to the market outside the prison?

- What raw materials are available in each of these industries in the area immediately surrounding the prison?

- What is the estimated transportation time to the nearest large market, and what is the standard means of transporting goods? (Train, truck, etc.)

- Is this population disposed to work? Do they have skills in this industry, or would such skills be marketable in this region after their release?

- Would your inmate population respond equally well to any work opportunity, or would they respond better if given a choice of industries from which to choose a job?

- Would receiving pay motivate your inmates to work? Would such pay disrupt the security of the prison by offering means to bribe guards and other inmates, or would it improve their lives by offering a means to support their families outside?

- In your opinion, would the income from these shops be better spent paying for the costs of incarceration, paying inmates, or a little of both?

- Which is the best point of sale for goods manufactured in the prison—a shop adjacent to the prison or a larger market at some distance away?
