

N E B R A S K A

# JAIL BULLETIN

NOVEMBER/DECEMBER 1997

NUMBER 138

The *Jail Bulletin* may be used as a supplement to your jail in-service training program. If officers study the material and complete the attached "open book" quiz, they may receive **one hour of credit**. The bulletin and quiz may be reproduced for staff use as necessary. **We welcome any material you would like to contribute to the "Jail Bulletin".**

**CIVIL LIABILITIES,  
UNCONSTITUTIONAL JAILS AND  
PLANNING OF NEW INSTITUTIONS  
PART IV**

**THE CORRECTIONAL FACILITY DEVELOPMENT PROCESS**

## **Introduction**

This bulletin is intended to give Jail Administrators an overview of the entire facility development process from needs assessment through construction and occupancy, up to the eventual obsolescence of the facility. For convenience, the process is shown as a step-by-step sequence from start to finish, even though in reality some steps can happen earlier or later and some may need to be repeated.

We explain the steps in facility development to help each individual understand what lies in store as he or she enters into this long process: An even more important purpose is to encourage your county, especially the corrections department, to take control of the process, rather than letting it control you or provide you with nasty surprises.

The contents of the *Jail Bulletin* represent the views of the author(s) and do not necessarily reflect official views or policies of the Nebraska Crime Commission or the Nebraska Jail Standards Board

The roles of the project manager, who sees the whole process through, and of the task forces, which provide input, are critical to the continued success of the project.

Your county should identify where it is in the process at the present time, then study with particular care the steps from that point on. (If you are at the beginning of the process, you might also wish to refer to the final step, "Obsolescence and Renovation", which may describe where you are now as well as a point to be reached again someday.)

Remember that for each stage of the process there is a product (or conclusion) and a formal sign-off by responsible bodies.

## **Facility Development Process Chart**

For each step charts show four facets of the process: the name and major activities of the step, the people or actors involved, a list of typical products, and a roster of who must sign off on these products. Please note that "sign off" may mean either acceptance and endorsement of product or, more formally, legal approval and contractual authorization to proceed.

The section on actors includes nine groups:

- ! the Board of Supervisors;
- ! the sheriff, and especially, the jail or corrections division;
- ! representatives of county criminal justice agencies, such as courts and probation staff, some of whom may be on the Advisory Committee;
- ! the county administrative officer and staff from other county departments such as finance, planning, engineering and assessing;
- ! the project manager of this facility development effort;
- ! the project ' s Planning Team;
- ! the Advisory Committee;
- ! task forces with specific duties, such as site selection, facility evaluation, consolidation, funding or programming;
- ! consultants or contractors employed to complete specified tasks, such as planning or architecture;
- ! agencies that either have jurisdiction over particular products or else offer advice, training, or other forms of support.

## Phases in the Facility Development Process

The sixteen steps of the facility development process are divided into five main phases of work:

- ! Phase I: Pre-architectural Planning
- ! Phase II: Site Selection and Planning
- ! Phase III: Architectural and Engineering Design
- ! Phase IV: Construction
- ! Phase V: Occupancy

The balance of this bulletin elaborates on the tasks involved in each step.

### Phase I: Pre-architectural Planning

#### Step 1. Corrections Needs Assessment Study and Master Plan.

By now, you may be familiar with the needs assessment process that helped your county identify the need to construct or renovate a facility.

#### Major Activities

- Organize Planning Team.
- Set up Advisory Committee and task forces.
- Review corrections issues: standards and legal; developments in operations and design; costs.
- Develop Mission Statement.
- Gather and analyze corrections system data.
- Consider alternative programs.
- Project correction system and facility needs.

#### Actors / Roles

- Supervisors**: help select and define roles and functions of Planning Team and Advisory Committee; evaluate, approve recommendations, needs assessment study and master plan.
- Sheriff and Corrections Staff**: serve on Planning Team, Advisory Committee and task forces.
- Justice Agency Representatives**: serve on Planning Team, Advisory Committee and task forces.
- Project Manager**: coordinates; assigns tasks, manages work.
- Planning Team**: collects, analyzes information; prepares reports; makes recommendations; provides information for decision; develops Mission Statement and functional program.

**Advisory Committee**: studies and evaluates Planning Team's recommendations/reports and

information; identifies criminal justice problems; considers policy issues.

**Task Forces:** receive assignments regarding topics of concern (i.e., site), conduct studies, make recommendations.

**Consultant/Contractor:** corrections planner may collect, analyze data and provide information.

**Agencies:** Jail Standards Board, NIC and regional planning agencies may provide input and assistance; Jail Standards Board approves Needs Assessment Study.

### **Products**

- Mission Statement
- Needs Assessment Study
- Corrections System Master Plan

### **Sign-off:**

- Citizens Advisory Committee
- Sheriff/Corrections staff
- Justice Agencies (if their cooperation is required)
- Board of Supervisors

## **Step 2. Feasibility Study**

To continue with the development of your facility, the feasibility study must show your project to be economically viable. In fact, the economic feasibility analysis should continue as an issue throughout the design process--at least until construction bids are received. Only at that point is the true initial cost of the building established. Operating costs, especially staffing, should also be reviewed throughout the design phase since the layout of the building will have considerable effect on the number of staff required to operate it.

### **Major Activities**

- Project facility needs.
- Develop Preliminary Program Statement.
- Evaluate existing facilities.
- Explore facility options.
- Consider regional facility.
- Analyze Costs.
- Explore Funding Sources.
- Determine Project Feasibility.

### **Actors' Roles**

**Supervisors**: approve Feasibility Study Report, determine whether or not to proceed.

**Sheriff and Corrections Staff**: provide and gather information.

**Justice Agency Representatives**: provide and gather information.

**Project Manager**: helps develop Preliminary Program; manages Feasibility Study.

**Planning Team**: develops Preliminary Program; conducts portions of Feasibility Study.

**Advisory Committee**: reviews and approves Feasibility Study Report.

**Task Forces**: conduct portions of Feasibility Study: evaluate existing facility, consider building-related options, look at consolidation; explore funding possibilities.

**Consultant/Contractor**: may conduct facility evaluation.

### **Products**

Preliminary Program

Feasibility Study Report

### **Sign-off**

Advisory Committee

Board of Supervisors

Sheriff/Corrections

## **Step 3. Consultant/Architect Selection**

Future jail bulletins will discuss the selection of architects and other consultants and contractors. To avoid needless delays or hurried work, consultants should be selected and hired early enough to give them enough time to perform their tasks to your county's satisfaction. Before completion of the next step, it is wise to initiate the architect selection process so that the design team will be on board and ready to start work on site selection, architectural design, and, perhaps, programming.

### **Major Activities**

Deciding if need consultants: for what, when.

Identifying, screening, hiring consultants and architects.

Managing and supervising consultant and architects.

### **Actors' Roles**

**Supervisors**: (with their staff) define scope of services; solicit Requests for Proposals; screen, select consultants and architects; allocate funds for contracts; approve contracts.

**Sheriff and Corrections Staff**: help determine what types of consultants are needed; provide information to consultants.

**Justice Agency Representatives**: may help determine what types of consultants are needed; provide information to consultants.

**Project Manager:** identifies need for consultants; may help screen and recommend consultants; may help define scope of services; manages consultants.

**County Departments:** planning and building departments help determine what types of consultants are needed; facilities department may help select and manage architects and engineers.

**Planning Team:** works with, reviews and critiques consultants' work.

**Advisory Committee:** provides input to and reviews consultants' work.

**Task Forces:** monitor projects and plan meetings with consultants.

**Consultant/Contractor:** corrections planners, architects and contractors; may also include master planners, facility programmers or evaluators, energy consultants, financial consultants, etc.

### **Products**

Contract(s)

### **Sign-off**

Board of Supervisors

Sheriff/Corrections

## **Step 4. Facility Programming**

Facility programming includes both functional and architectural programming. While some architectural expertise is required for the latter, functional programming may be done largely by jail and other staff. At the conclusion of programming, set a realistic project budget.

If your county opts to use programming consultants, be sure to work very closely with them. You must explore and express what you want from the facility or the programmers and the architect will never know and the resulting building will not be responsive to your county's needs.

### **Major Activities**

Conduct functional programming

Conduct architectural programming

Estimate staffing

### **Actors' Roles**

**Supervisors:** provide input to, review and approve program.

**Sheriff and Corrections Staff:** may conduct functional programming; facility users provide input.

**Project Manager:** supervise/manage programming effort.

**Planning Team:** contributes to program.

**Advisory Committee:** contributes to program.

**Task Forces:** may conduct programming.

**Consultant/Contractor:** may use facility programmers.

**Agencies:** input and technical assistance available from Jail Standards Board.

**Products**

Facility Program:

**Functional Program**

**Architectural Program**

**Sign-off**

Sheriff/Corrections

Board of Supervisors

**Phase II: Site Selection and Planning**

**Step 5. Site Analysis and Selection**

Site selection is very important for functional, technical, economic and political reasons. The site must support the amount and type of construction required. Its location will have major impact on the operations of law enforcement agencies and movement of prisoners to and from the courts. Political issues surrounding the acceptability of various locations are also of great significance. Unfortunately, politics sometimes result in a jail being placed other than where it would best be located.

**Major Activities**

Develop site requirements.

Identify available sites.

Evaluate available sites.

Consider technical and political issues.

Select and acquire site.

**Actors' Roles**

**Supervisors:** review and approve site selection.

**Sheriff and Corrections Staff:** provide input.

**Justice Agency Representatives:** provide input.

**Project Manager:** helps review and select site.

**Planning Team:** provides input on site requirements and selection.

**Advisory Committee:** provides input on selection.

**Task Forces:** evaluate and recommend site.

**Consultant/Contractor:** traffic engineer, real estate assessor may advise.

### **Products**

Selection of Site

Acquisition of Site

### **Sign-off**

Board of Supervisors

Planning/Zoning Commission

Advisory Committee

Sheriff/Corrections

## **Step 6. Site Master Plan**

Once the site has been selected, master planning activities center around examining and determining long-term site utilization. The master plan locates open space, parking, circulation routes and security zones. It takes into account the long-term development of the site including required phasing over time.

### **Major Activities**

Plan the long term utilization of the site once it has been selected.

Survey site characteristics (soils, utilities, vegetation, existing uses, circulation, etc.).

Conduct long range planning and phasing.

Plan site utilization and organization (open space, parking, security, etc.).

Complete Environmental Impact Report.

Complete Site Development Guidelines and Master Plan.

### **Actors' Roles**

**Supervisors:** review and approve Site Development Guidelines and Site Master Plan.

**Project Manager:** manages master planning efforts.

**Sheriff and Corrections Staff:** contribute input to Master Plan.

**Justice Agency Representatives:** (if affected) contribute input to Master Plan.

**Planning Team:** may compile/complete Site Development Guideline & Site Master Plan.

**Task Forces:** may work on Guidelines or Master Plan.

**Consultant/Contractor:** architect/planner/landscape architect may work on Master Plan. Site Development Guidelines; geologist, surveyor, ecologist may contribute to Environmental Impact Report.



**Products**

Master Plan document (plans and written report)  
Site Development Guidelines  
Environmental Impact Report (may be required)

**Sign-off**

Planning/Zoning Commissioners  
Board of Supervisors  
Sheriff/Corrections

**Phase III: Architectural-Design****Step 7. Schematic Design**

During schematic design, the most critical design phase, basic concepts emerge for how the facility will be organized. While it is easy to make changes at this stage, it gets more difficult as the design becomes more developed. Major changes after this stage can be costly, too, since design work would have to be repeated or construction torn out and rebuilt. These cautions are not given as reasons against making changes later on if needed, but rather to stress the importance of making sure that you are getting what you need at this point.

The users and client must be actively involved in all phases of the design, directing the architect and not solely reacting to or approving his or her suggestions. At this stage, users are concerned with the design's performance on functional and organizational issues. Use the **facility program** to see where all the required spaces are and that they have all been accommodated. Review the required relationships between areas and imagine actually moving from one to another to carry out typical activity sequences. Where are security and control points? How many stories are proposed? Does the arrangement appear to satisfy your program and design goals? Have the architect explain precisely how the proposed design responds to your needs.

Be aware that there may be certain problems in how you will understand what the architect is showing you. It is difficult, for instance, to read and interpret plans. The non-architect can more easily understand scale models, especially larger scale ones which show the interior of spaces or even full scale mock-ups if warranted by the magnitude or innovation of the project.

Verify adherence to the budget at this point, before giving approval to proceed to design development.

**Major Activities**

- Execute conceptual and schematic architectural design.
- Develop preliminary engineering concepts.
- Complete preliminary cost analysis.
- Consult with applicable agencies.
- Consider alternative bidding procedures (standard construction manager, separate contracts, fast track).
- Revise staffing analysis.

**Actors' Roles**

- Supervisors:** review and approve schematics and budget; give notice to proceed.
- Sheriff and Corrections Staff:** provide input to designers.
- Justice Agency Representatives:** provide input to designers.
- Project Manager:** insures schedules are met.
- Planning Team:** provides input to designers, uses program to test design.
- Advisory Committee:** provides input to designers, uses program to test design.
- County Departments:** Fire Marshal, building inspector review plans.
- Consultant/Contractor:** architects and engineers, construction manager/cost estimator estimates costs.
- Agencies:** Jail Standards Board reviews plans.

**Products**

- Schematic design drawings
- Schematic cost estimate

**Sign-off**

- Board of Supervisors
- Sheriff/Corrections
- Jail Standards Board

**Step 8. Design Development**

During design development, review the same issues as during schematic design, particularly in terms of any changes that have been made. As design progresses, information becomes more and more specific and refined, so you must continue to re-evaluate the building's performance as you learn more about what it will be like. As the outline specification evolves, it is important to be involved in and review the selection of systems and materials.

Your county and its architects may wish to employ specialists to conduct special design studies

during design development. These studies may be necessary because of the complexity of the jail building and its sophisticated systems. It is probably better to rely on an expert (or even do considerable research and testing yourself) rather than depend upon the potentially biased advice of a vendor or manufacturer. By visiting jails at this point you can observe systems in practice and get valuable input from their operators.

Special design studies are not part of "basic" architectural services, but may be contracted as additional services. They are normally coordinated by the architect although the county can contract independently for them.

### Major Activities

- Refine and develop architectural and engineering design.
- Develop outline specification.
- Conduct energy analysis.
- Update/refine costs.
- May execute special design studies of security, equipment, communications, kitchen/food services, interior, graphics, furnishings, etc.

### Actors' Roles

**Supervisors**: review and approve design development, special studies, and budget; notice to proceed.

**Sheriff and Corrections Staff**: provide input to special design studies and facility design.

**Justice Agency Representatives**: (if their spaces are affected) provide input to special design studies and design.

**Project Manager**: directs and supervises study teams; insures schedule and budget are met.

**Planning Team**: provides input to study teams; reviews systems, selections, design.

**Advisory Committee**: provides input to study teams; reviews systems, selections, design.

**County Departments**: fire marshal, building inspector may review plans and specifications in progress.

**Consultant/Contractor**: architects, engineers, construction manager/cost estimator; may have special study teams/consultants.

**Agencies**: Jail Standards Board may review plans and specifications in progress.

### Products

- Design development drawings
- Outline specifications
- Construction cost estimate
- Reports, studies

**Sign-off**

Board of Supervisors  
Sheriff/Corrections  
Jail Standards Board

**Step 9. Contract Documents**

"Contract documents" are the plans (blueprints), specifications, and other bidding documents. Together, these form the basis for bids and for the contract with the contractor specifying what will be built and at what cost. Since these documents establish what you will get for your money, they must reflect exactly the building you want. The final cost estimate is also done at this stage. Changes after this time, which will be by negotiation or "change order", can be highly disruptive and costly.

Contract documents are highly technical and, especially for larger projects, can be voluminous, sometimes running up to hundreds of pages of blueprints and text. The problem you face as a user or client is how to absorb and understand all this information. While you may feel a sense of trust for your architect or public works representative, it is important to keep on asking questions about what is being provided in order to make sure that you get what you want.

**Major Activities**

Complete plans (blueprints).  
Complete specifications.  
Develop bidding documents.  
Execute final cost estimate.

**Actors' Roles**

**Supervisors**: review and approve contract documents and final cost estimate for bids).

**Sheriff and Corrections Staff**: provide input, review.

**Justice Agency Representatives**: (if affected) provide input and review.

**Project Manager**: insures tasks are completed.

**Planning Team**: provides input and review.

**County Departments**: fire marshal, building inspector may review plans and specifications.

**Consultant/Contractor**: architects and engineers complete plans and specifications;  
construction manager/cost estimator determines cost estimate.

**Agencies**: Jail Standards Board reviews plans and specifications.

**Products**

Plans (blueprints)  
Specifications  
Bidding documents  
Final cost estimate

**Sign-off**

Board of Supervisors  
Sheriff/Corrections  
Jail Standards Board

**Step 10. Agency Approvals**

Your programmer and architect establish and maintain close liaison with review and approval agencies from the beginning of the project. While they should be familiar with many of the regulatory agencies and their requirements, the county stipulates required approvals, particularly from such local agencies as water or sewer districts. The architect normally takes care of submitting documents and obtaining required approvals. Even so, there may be times when user or client representatives wish to attend meetings or work directly with certain agencies to understand their concerns and participate more fully in solving potential problems.

**Major Activities**

Obtain building permit  
Procure regulatory agency approvals  
Seek/secure funding agency approvals

**Actors' Roles**

**Project Manager:** facilitates securing approvals, submits formally required documentation.

**County Departments:** fire marshal, building inspector approve contract documents.

**Consultant/Contractor:** architect aids in submission of documents and obtaining approvals.

**Agencies:** Jail Standards Board approves contract documents.

**Product**

Written approvals

**Sign-off**

Jail Standards Board  
Fire Marshal's Office  
County Building Department  
State/County Health Department

Other regulatory agencies  
Funding agencies

## **Acknowledgment**

The first draft of the material contained in this chapter was developed with support from the National Institute of Corrections Jail Center for use in its PONI program.

The next *Jail Bulletin* will continue with the correctional facility development process.

Material prepared by Jay Farbstein, Ph.D. and the California Board of Corrections. If you or your agency wish to contribute to the *Jail Bulletin* or have a special subject to be addressed through the bulletin, please contact: Jail Standards Division, P.O. Box 94946, Lincoln, Nebraska 68509-94946, Telephone 402-471-3710, FAX 402-471-2837.

## **QUIZ**

Nebraska Jail Standards require that jail staff receive eighteen (18) hours of

in service training each year. The Jail Bulletin may be used to supplement in service training if an officer studies the bulletin, completes the quiz, and this process is documented by the jail administrator for review during annual jail inspections.

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**NOVEMBER/DECEMBER 1997**

**NUMBER 138**

**NAME** \_\_\_\_\_ **DATE** \_\_\_\_\_

**SUBJECT: CIVIL LIABILITIES, UNCONSTITUTIONAL JAILS AND  
PLANNING OF NEW INSTITUTIONS - PART IV**

1. List the five main phases of the Facility Development Process. (List them)
  - 1)
  - 2)
  - 3)
  - 4)
  - 5)
2. What are the three products derived from the Needs Assessment Study and Master Plan? (List them)
  - 1)
  - 2)
  - 3)
3. The feasibility study must show your project to be economically viable in order to continue with the facility development process.
  - a. True
  - b. False
4. Selecting consultants early in the project should help avoid...(select the correct answers)
  - a. Needless delays or hurried work
  - b. Cost increases
  - c. Costly equipment selections
  - d. Change orders
5. List the Supervisor's roles in selecting a Consultant/Architect. (List them)
  - 1)
  - 2)
  - 3)
  - 4)
  - 5)
6. In facility programming, functional programming may be done largely by jail and other staff.
  - a. True
  - b. False
7. What are the major activities with site analysis and selection. (List them)
  - 1)

- 2)
- 3)
- 4)
- 5)
- 8. The users (jail officials) and client (county officials) must be actively involved in all phases of the design (of the jail) directing the architect.
  - a. True
  - b. False
- 9. In the Schematic Design Step, users should refer to the **Facility Program Documents** to see where all the required spaces are and that they all have been accommodated.
  - a. True
  - b. False
- 10. List the two products produced upon the completion of the Schematic Design Step.
  - 1)
  - 2)
- 11. What are the supervisors' and sheriffs' roles in Design Development?  
  
Supervisors:  
  
Sheriffs:
- 12. 'Contract Documents' are not the plans (blueprints) specifications and other bidding documents.
  - a. True
  - b. False
- 13. Who would sign-off on "Contract Documents"?
  - 1)
  - 2)
  - 3)

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**Credit: One Hour credit for jail in service training requirement.**



# QUIZ

## ANSWER SHEET

Nebraska Jail Standards require that jail staff receive eighteen (18) hours of in service training each year. The Jail Bulletin may be used to supplement in service training if an officer studies the bulletin, completes the quiz, and this process is documented by the jail administrator for review during annual jail inspections.

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NAME \_\_\_\_\_ DATE \_\_\_\_\_

**SUBJECT: CIVIL LIABILITIES, UNCONSTITUTIONAL JAILS AND  
PLANNING OF NEW INSTITUTIONS - PART IV**

1. List the five main phases of the Facility Development Process. (List them)
  - 1) **Pre-Architectural Planning** \_\_\_\_\_
  - 2) **Site Selection and Planning** \_\_\_\_\_
  - 3) **Architectural and Engineering Design** \_\_\_\_\_
  - 4) **Construction** \_\_\_\_\_
  - 5) **Occupancy** \_\_\_\_\_
  
2. What are the three products derived from the Needs Assessment Study and Master Plan? (List them)
  - 1) **Mission Statement** \_\_\_\_\_
  - 2) **Needs Assessment Study** \_\_\_\_\_
  - 3) **Corrections System Master Plan** \_\_\_\_\_
  
3. The feasibility study must show your project to be economically viable in order to continue with the facility development process.  
/ a. **True**  
b. **False**
  
4. Selecting consultants early in the project should help avoid...(select the correct answers)  
/ a. **Needless delays or hurried work** \_\_\_\_\_  
b. **Cost increases** \_\_\_\_\_  
c. **Costly equipment selections** \_\_\_\_\_  
d. **Change orders** \_\_\_\_\_
  
5. List the Supervisor's roles in selecting a Consultant/Architect. (List them)
  - 1) **Define scope of services** \_\_\_\_\_
  - 2) **Solicit requests for proposals** \_\_\_\_\_
  - 3) **Screen, select consultants and architects** \_\_\_\_\_
  - 4) **Allocate funds for contracts** \_\_\_\_\_
  - 5) **Approve contracts** \_\_\_\_\_
  
6. In facility programming, functional programming may be done largely by jail

- and other staff.  
 / **a. True**  
**b. False**
7. What are the major activities with site analysis and selection. (List them)  
**1) Develop site requirements**  
**2) Identify available sites**  
**3) Evaluate available sites**  
**4) Consider technical and political issues**  
**5) Select and acquire site**
8. The users (jail officials) and client (county officials) must be actively involved in all phases of the design (of the jail) directing the architect.  
 / **a. True**  
**b. False**
9. In the Schematic Design Step, users should refer to the Facility Program Documents to see where all the required spaces are and that they all have been accommodated.  
 / **a. True**  
**b. False**
10. List the two products produced upon the completion of the Schematic Design Step.  
**1) Schematic design drawings**  
**2) Schematic cost estimates**
11. What are the supervisors' and sheriffs' roles in Design Development?  
**Supervisors: review and approved design development special studies and budget.**  
**Sheriffs: provide input to special design studies and facility design.**
12. 'Contract Documents' are not the plans (blueprints) specifications and other bidding documents.  
**a. True**  
 / **b. False**
13. Who would sign-off on "Contract Documents"?  
**1) Board of Supervisors**  
**2) Sheriff/Corrections**  
**3) Jail Standards Board**

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**Credit: One Hour credit for jail in service training requirement.  
 Answer sheet should be retained by the Jail Administrator.**