



The Alabama Prison Transformation Initiative

Professionalism



Integrity



Accountability



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Commissioner's Letter

Dear Member,

As we begin the 2017 Alabama Legislative Session, we have the opportunity to pass legislation that will transform Alabama's prison system into a national model for corrections in the 21st century. The Alabama Prison Transformation Initiative (APTI) provides a fiscally sound solution to addressing Alabama's long neglected prison infrastructure; while providing the environment conducive to delivering the necessary programs to reduce recidivism.

We introduced APTI during last year's legislative session, and while not successfully passed, we educated many of the members as to the State's need to address systematic problems within the prison system. As you know, criminal justice reform legislation has been passed recently to address both overcrowding and recidivism. The Department is experiencing the effects of both the 2013 presumptive sentencing standards and Senate Bill 67 as our inmate population has decreased by roughly 3,000 over the past three years. If we continue with the SB67 reforms, our inmate population could decrease another 3,000 over the next four years. As heartening as this sounds, it won't solve our overcrowding issues and only marginally impacts recidivism.

As we debate issues involving criminal justice reforms, we recognize that the prison system is just part of the criminal justice system; however, this system must function more effectively for reforms to take hold. Increasing the department's capacity to provide effective rehabilitative programs is a critical link to the success of post-incarceration community-based programs. Additionally, maintaining our current infrastructure is not only cost prohibitive but will continue to limit our ability to provide effective rehabilitative programming for offenders.

During last year's session, we outlined a broad vision for transforming the prison system, but we recognized the need for more information. We have spent much of the "off-season" obtaining independent studies and analysis to validate projected operational savings; the real cost of reinvesting in our current infrastructure; construction cost estimates; and an analysis of the different project delivery methods. This information package provides the executive summaries of these studies and analysis. We have provided copies of each of the studies to the Legislative Fiscal Office.

I look forward to working with each member of the Legislature as we build a better future for Alabama.

A handwritten signature in black ink, appearing to read "Jeff Dunn". The signature is fluid and cursive, written over a white background.

JEFFERSON S. DUNN
Commissioner

Operational Savings

OPERATIONAL SAVINGS

- \$800 million bond payments *funded entirely within current ADOC General Fund Appropriation*
 - Estimated \$50 million annual bond payments serviced out of ADOC's current \$400+ million annual appropriation, and won't begin until *after* all the facilities are completed
 - There is no requirement to supplement the ADOC General Fund Appropriation to service this debt
- New prisons *lower overall operating costs*, and will help to stabilize the ADOC annual budgets for the foreseeable future

Operational Savings From

- Reduced Staffing ~ 17M
 - 6% reduction in security staff requirements brought on by facility design improvements and the use of technology as a force multiplier
 - 19% reduction in support staff brought on from consolidation of administration, food service, accounting, transportation, etc.
- Reduced Overtime Payments ~ 21M
 - DOC is spending roughly \$30M in correctional officer overtime
 - New staffing model provides for 100% staffing at new regional facilities
 - Allows the department to cut overtime spending by 65-70%
- Consolidation of Healthcare Delivery ~10M
 - Inmate population projected to decrease by 4,200 in next 4 years
 - Healthcare administrative consolidation from 14 facilities to 3 regional facilities
 - No reduction in healthcare staff/caseload management foreseen
- Consolidation of Services ~2M
 - Reductions in utilities, fuel, transportation, insurance, food service delivery, etc.

Assessment of Facilities

FINDINGS

- Goodwyn/Mills/Cawood conducted a Nov. 2016 architectural and engineering study to identify cost of deferred maintenance and code compliance for ADOC's largest 17 prisons*
- In-depth facility assessments were completed at all 17 major ADOC facilities
- Evaluated areas included: architecture, mechanical, electrical, fire protection, plumbing, electronic systems, healthcare, physical security, pavement infrastructure, water and sewer
- Assessment concluded ***needed improvements would cost more than \$440 million***
- Need \$440M improvements despite the fact that in 2010, ADOC infused \$100M into energy efficient equipment through an Energy Performance Contract partially paid for with Federal Stimulus funding
- Repairs included critical deficiencies in areas related to code compliance and life safety
 - Renovation/repair/replacement areas: Kitchens, roofs, electrical, sewer and plumbing
- ***7 of the 17 prisons recommended for closing*** based on age/extent of needed repairs
- Many newer prisons (Bibb, Ventress, Easterling and Elmore) are not built to detention grade resulting in shorter useful life
 - Used inexpensive pre-engineered metal buildings, over \$170M needed for repairs
- Donaldson, St. Clair, and Limestone are newer facilities built to detention grade
 - \$109M in repairs could extend useful life of these three prisons if properly maintained
- ***ADOC estimates an additional annual appropriation of \$40-50M to address these issues in the next 10 years;***
 - Average annual maintenance/repair for last 10 years was only \$2.7M
 - Average annual capital outlay over past 10 years was \$6.9M (25% from land sales)

* The complete Goodwyn/Mills/Cawood study is available at the Legislative Fiscal Office

Construction Costs

FINDINGS

- Analysis of construction costs done on two recent large-scale prisons
 - State Correctional Institution Phoenix, Montgomery County, PA
 - Aliceville Federal Correctional Facility, Aliceville, AL
- Aliceville Facility: Completed in 2011 at a cost of \$192M (\$288 per sq. ft.)
- Phoenix facility: Completed in 2016 at a cost of \$388M (\$301 per sq. ft.)*
*cost adjusted to Southeast locale
- Estimate for new ADOC men’s facilities: \$172M (\$300 per sq. ft.)
- ADOC received a preliminary study of a proposed 3,996-bed male medium-security prison
- Scope included 3,072 beds in dormitory buildings, 924 beds in cell buildings, and 170K sq. ft. of admin. areas to include offices, food service, visitation, medical, and programming
- Proposed construction cost estimate for 576,000 sq. ft. is \$246 per square foot
- Construction cost comparisons done on two recently completed large-scale prisons averaged closer to \$300 per square foot.
- Both comparison prisons finished within past 5 years using Design-Build delivery method
- Both facilities used more sq. ft. per inmate , and were “cell” instead of “dorm” structure
- Female facility would require approximately 250,000 square feet (\$75M construction cost)
- Using average construction cost of \$300 per square foot, the overall cost estimate is:
 - Three regional men’s prisons \$525M
 - Site prep/contingency \$100M
 - 1 Female Prison \$100M
 - Renovation/Upgrades \$75M
 - Total estimated cost \$800M

Independent Cost Analysis 1

ALABAMA NEW PRISON CONSTRUCTION PROGRAM COST ANALYSIS

The following analysis is done to determine an approximate project cost value for a potential +/- 3,996 bed minimum and medium security facility totaling approximately 583,000 square feet inside approximately 39.11 acres of security fenced area. The cost does not contemplate loose FFE. Also, because the sites could vary widely, the cost does not contemplate full site acreage development (could be 400 acres), off site infrastructure or significant utility costs to serve the facility. The recently completed SCI Phoenix Facility constructed in Montgomery County, PA (southeastern PA) will serve as the comparison baseline project. It was done as a design build. Stated capacity for the facility is approximately 4,100 inmates, but it is almost twice the size as the facilities planned for Alabama at around 1,000,000 square feet.

GC – Walsh Heery Joint Venture SCI PHOENIX



Bid Date – October 2011

ENR Construciton Cost Index August 2011 to August 2016

August 2016 – 10385

August 2011 – 9088

Original Contract Amount

- \$315,797,000 Total DB Contract
- \$301,828,998 Construction
- \$13,968,002 Design

Percentage Increase – 14.3%

Corrected for inflation SCI Phoenix Cost/SF = \$338.43 X 1.143 = \$386.83/SF

Current Hard Cost Contract Value

\$338,425,998

RS Means Location Factor

Philadelphia – 115

Birmingham – 89.6

Approximate Square Footage

- 1,000,000

Current Cost/Square Foot Hard Cost

- 1,000,000/ \$338,425,998 = \$338.43/sf

Corrected Cost/SF With Inflation With City Index Factor

89.6/115 X \$386.83 = \$301.39

Anticipated Alabama Prison Hard Cost = 583,000 x \$301.39 = \$175,710,370

Independent Cost Analysis 2

ANALYSIS OF PROBABLE COSTS OF PROPOSED PRISON CONSTRUCTION SUMMARY OF PROPOSED PROJECT SCOPE

The Prison Transformation Initiative Act proposes selling an \$800 million construction bond to fund the construction of three new male prison facilities and one new female prison facility. It is anticipated that each male prison facility would be designed as a medium-security facility with a 3500 to 4000 bed capacity. The female prison facility would replace the current Julia Tutwiler Prison for Women with a new facility with a 1200 to 1500 bed capacity.

COST BREAKDOWN OF PROPOSED MODEL PRISON CONCEPT

The Department of Corrections has received a preliminary study of a proposed 3,996-bed male medium-security prison facility. The proposed facility includes the following scope for a typical male facility:

Type of Building	# of Beds	Size (SF)	# of Buildings	Total # of Beds	Total SF
Dormitory Building	512 Beds	47,432 SF	6	3,072 Beds	284,592 SF
"All Cells" Building	360 Beds	49,793 SF	2	720 Beds	99,586 SF
Segregated Housing	204 Beds	28,675 SF	1	204 Beds	28,675 SF
Administrative Offices		10,375 SF	1		10,385 SF
Visitation/Maintenance		8,875 SF	1		8,875 SF
Admin/Medical/Food Service		47,154 SF	1		41,154 SF
Programs/Vocational/Religious		20,393 SF	1		20,393 SF
Food Processing		83,238 SF	1		83,238 SF
PROPOSED COST ESTIMATE	\$142,111,248		TOTAL	3,996 Beds	576,898 SF

CONSTRUCTION COSTS FOR RECENT NEW PRISON CONSTRUCTION

Facility Name: Aliceville Federal Correctional Institution and Satellite Camp

Project Description: Federal, female medium-security facility with minimum security work camp

Location: Aliceville, AL

Project Delivery Method: Design-Build

Date Construction Completed: Completed 2011

Project Size: 665,889 SF

Bed Capacity: 1408 Beds

Construction Cost: \$192 million

Cost per SF: \$288.34/SF

Facility Name: State Correctional Institution Phoenix

Project Description: State, blended security, separate male and female housing, includes capital case unit

Location: Montgomery County, PA

Project Delivery Method: Design-Build

Date Construction Completed: Completed 2016

Project Size: 1,000,000 SF

Bed Capacity: 4,100 Beds

Construction Cost: \$338,425,998

Cost per SF: \$338.43/SF

Cost adjusted for inflation and location in Southeast (89%): \$301.20/SF

See Next Page

Independent Cost Analysis 2

(Continued)

From Previous Page

COST COMPARISON OF PROPOSED NEW CONSTRUCTION

The proposed concept of a new 3996-bed male facility is estimated at \$142M, or approximately \$246/SF. Using SF cost from the two comparable projects, Aliceville FCI and SCI Phoenix, provides the following estimated costs:

Proposed cost using Aliceville FCI cost per SF 576,898 SF x \$288.34 per SF = **\$166,570,558**

Proposed cost using SCI Phoenix cost per SF 576,898 SF x \$301.20 per SF = **\$174,001,185**

Budget estimate for construction of one male facility: \$165M - \$175M

Independent Cost Analysis 3

What should these prisons cost?

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Data from recent projects:

- Cillicothe, Missouri (Design-Build): \$117,400,000/1,656 beds = \$70,894/bed (\$276/SF)
- Madras, Oregon (CM-at-risk): \$202,835,000/1,876 beds = \$108,121/bed (\$338/SF)
- Natchez, Mississippi (CM-at-risk, Private Owner): \$137,230,000/2,567 beds = \$53,459/bed (\$352/SF)
- Wilsonville, Oregon (CM-at-risk): \$144,787,000/1,687 beds = \$85,825/bed (\$298/SF)

Data Notes & Conclusions:

- All projects are of large magnitude and utilized some form of Alternative Delivery Method. These methods virtually eliminate change order and claim costs.
- Oregon projects and portions of the Missouri project will include much greater labor costs due to unionization.
- Oregon and Missouri projects will include much greater regulatory costs.
- The Mississippi project should contain almost identical labor costs as we would see in Alabama, however, it is also a private operator's project and additional costs may be incurred on a state project. An additional 10% would make the rate \$58,805/bed.
- Much of a project's cost is determined by common and support areas, which may be seen by the variation in cost per bed and cost per square foot. The Alabama projects have not been fully planned, so this information should only be applied at a broad, high level to ensure the appropriation of bonds makes sense.

Alabama's Proposed Projects:

- 1 each Women's Facility with 1,200 beds and 3 each Regional Facilities @ 4,000 beds/each =12,000 beds
13,200 beds @ \$59,000/bed = \$778,800,000

Project Delivery Methods

FINDINGS

- During last year’s legislative session, the issue of *Design Build*, the DOC’s preferred method, was questioned by some lawmakers and other concerned citizens
- DOC tasked its legal department to research the pros/cons of using the *Design-Build* and *Design-Bid-Build*—the full memo and study information included
- Design-build method excelled in nearly every objective measure
- Overlap and single RFP requirement creates shorter project schedules over other methods
- Multiple studies showed DB 30-33% faster than DBB; faster start times and fewer changes
- Collaborative effort between designers/owners led to lower DB unit costs than DBB units
- Design-build quality much higher than DBB, highly-qualified firms selected
- Five separate studies comparing DBB with Alternate Delivery Methods, including DB, were investigated, each broke down study into 3 categories: cost, schedule and quality
- DBB - Very few “positives” were found across the three categories (cost/schedule/quality)
- DBB has the perception of more transparency/lower cost, but the research proves otherwise
- All studies showed DBB actually underperformed DB in areas of project schedule/duration
- Two of the studies showed that DBB was actually more expensive due to lack of collaboration by the design team and the build team, which led to cost growth/scheduling delays
- Studies concluded that DBB projects resulted in lower quality end-products with a couple of cases as exceptions; designers write plans assuming less qualified contractors get bid
- DBB allows owner to exercise maximum control, but trade-off is that owners end up accepting all the risk to due to their ratifying contractor decisions throughout process
- Two separate Federal Bureau of Prisons Design-Build method contracts were studied; users very satisfied, as were 89% of other users that were analyzed in the various studies

Legal Division Research on Traditional Versus Alternative Delivery Methods (1 of 4)

State of Alabama Department of Corrections

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MEMORANDUM

November 4, 2016

To: Commissioner Jefferson S. Dunn

From: Kate Jessip, Legal

Re: Traditional Versus Alternative Delivery Methods for Construction Projects

After reviewing accessible literature from various universities comparing the Design-Bid-Build concept with the Alternative Delivery Methods (ADMs), including Design-Build (DB), Construction Management at Risk (CMAR), and Construction Management/General Contractor (CM/GC) methods, the studies generally concluded that the ADMs were preferred over the traditional DBB method for more complicated projects. The focus in each of these studies was broken down to three major categories: cost, schedule, and quality. Of these ADMs, the DB method appears to be the most successful.

In performing this analysis, four educational studies were reviewed. Each of these studies focused on more complex construction projects: wastewater facilities, public universities, public schools, and military construction. In addition to educational studies, a very detailed comparison of DB and DBB was conducted by an independent consulting company and published by the American Society of Civil Engineers. (Culp, 2011). Although not an educational study, it appeared to be very well researched, came to the same conclusions as the above mentioned studies, and was a more comprehensive review of the particular pros and cons of DBB and DB.

Design-Bid-Build

All of the studies conducted an analysis of the DBB concept. However, very few positives were identified by these studies in the three main categories. Instead, the DBB process was simply found to be more familiar, which generally gives a better appearance of more transparency. (Carpenter, 2014). Additionally, because this method is based upon separate competitively bid processes, generally based upon the low-cost analysis, the increase in competition is theorized to lead to a decreased cost overall. (Culp, 2011).

Legal Division Research on Traditional Versus Alternative Delivery Methods (2 of 4)

With respect to the three objective categories, DBB generally came up short. One study did find it easier for an Owner to initially estimate costs and project duration due to the set schedule and initial bids from both the designer and the contractors. (Carpenter, 2014). However, two studies also indicated that lack of collaboration by the design team and the build team led to increased cost growth and scheduling delays due to change orders or design errors. As a result, the DBB method was actually more expensive and the project duration was longer due to unanticipated delays. (Carpenter, 2014; McWhirt, 2007). In fact, except with comparison to the CMAR method, DBB underperformed in the areas of project duration – including length of procurement, initial project schedule, and schedule growth – when compared to the other methods. (Carpenter, 2014; Culp, 2011; Fernane, 2011; McWhirt, 2007; Maharjan, 2013).

Finally, every study concluded that DBB left the Owner with generally less quality projects overall. (Carpenter, 2014; Culp, 2011; Fernane, 2011; Maharjan, 2013; McWhirt, 2007). Two exceptions exist to these conclusions. The design documents produced tend to be more detailed and thorough than DB. However, this has been largely credited to the designer reducing their own risk by writing overly thorough and more costly design documents with the assumption that the cheapest, and likely less qualified, contractors will be the person to perform the construction. (Culp, 2011; McWhirt, 2007). Finally, one factor relating to quality is that DBB allows the Owner to exercise maximum control over the project as a whole. The trade-off to more control is that the DBB process requires the Owner to essentially ratify decisions of the vendors throughout the process, which leads the Owner to accept all of the risk. (Carpenter, 2014; Culp, 2011; McWhirt, 2007).

Design-Build

In direct contrast to DBB, the DB method excelled in nearly every objective factor. The overlap and single RFP requirement creates a shorter project schedule over all. Additionally, the communication throughout the process allows for further overlap of the two stages, reducing the delay in beginning the construction process as well as a reduction of change orders. All of these factors indicate a reduction of schedule growth. (Carpenter, 2014; Culp, 2011; Fernane, 2011; Maharjan, 2013; McWhirt 2007). Multiple studies found that the overall project schedule was between 30% and 33% faster than the DBB method. (Carpenter, 2014; Culp, 2011; McWhirt, 2007).

The studies also found that the overall unit cost was typically lower than the traditional DBB method, which is largely credited to the collaborative team effort that reduces disputes and the need for change orders during the construction process. (Culp, 2011; Fernane, 2011; Maharjan, 2013; McWhirt, 2007). One study found that the unit cost was up to one-third less than the cost of the DBB method. (McWhirt, 2007).

Additionally, the overall quality of the final product was found to be significantly better with each of the ADMs, DB being no exception. Because the emphasis in the procurement process is typically based upon overall value and qualifications, and not simply low-cost, the project is typically awarded to more qualified individuals who produce a more quality product. (Culp, 2011; Fernane, 2011; Maharjan, 2013; McWhirt, 2007). It is worth noting that the procurement process is typically done through comprehensive - but still

Legal Division Research on Traditional Versus Alternative Delivery Methods (3 of 4)

competitive - Request for Proposals with the focus being on quality in the most cost-effective manner. (Culp, 2011). The benefits may be lost, however, if there is not effective communication throughout the process beginning with procurement. If the procurement documents do not make the specifications of the project clear from the beginning, expectations may not be met. (Maharjan, 2013). Another potential pitfall is if the Owner does not take part in the initial planning of the project by working with the design team to communicate its needs properly in the beginning stages. (McWhirt, 2007). By contrast, however, the Federal Bureau of Prisons, who is utilizing the DB process in the new construction of at least two major prison construction projects, expressed that management of and communication with the contractor throughout the construction phase led to better control through the DB method over both cost and schedule growth. (GAO, 2008).

Finally, awarding the contract to one vendor, who is ultimately responsible for the entire project, does require the Owner to relinquish some control over the project. The trade-off by doing so shifts nearly all risk to the vendor relating to design flaws, delays that are not a direct result of a late change by the Owner, or disputes between the design team and the contractors. (Culp, 2011; Maharjan, 2013; McWhirt, 2007). Overall, despite these particular pitfalls, out of those public owners surveyed, 89% indicated that they would use the DB process again. (Maharjan, 2013).

CMAR and CM/CR

Both of these ADMs were generally found to have the same positives when compared to the DBB method as were realized by the DB method, just to a lesser degree. (Fernane, 2011; Carpenter, 2014). However, because these two processes still allow for multiple vendors, they do not realize the additional added benefits of DB relating to the total project time and schedule growth, which can lead directly to unanticipated costs. Additionally, the risk is not passed on to the vendor due to the third party system. Still, they were found to produce significantly higher quality overall than the DBB method. (Fernane, 2011; Carpenter, 2014).

Conclusion

A comparison of each of these methods found the ADMs to be better processes for owners in the objective categories of cost, project length, and quality. In fact, DBB was found to be lacking in most categories. Of the ADMs, DB was found to have had the best benefits in each major category with the added benefit of also passing along the risk associated with design flaws and contractor disputes. The literature indicates that DB is by far the preferred method for more complicated construction projects like schools, universities, wastewater plants, or even prisons.

Legal Division Research on Traditional Versus Alternative Delivery Methods (4 of 4)

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5. McWhirt, D. (2007). "A Comparison of Design-bid-build and Design-build Project Delivery Methods on Military Construction Projects." Iowa State University, *Retrospective Theses and Dissertations*. Paper 14556.
6. U.S. Government Accountability Office. (May 29, 2008). "Prison Construction: Clear Communication on the Accuracy of Cost Estimates and Project Changes is Needed." Report Number GAO-08-634. Accessed by <https://www.gpo.gov/fdsys/pkg/GAOREPORTS-GAO-08-634/html/GAOREPORTS-GAO-08-634.htm>.

Staff Analysis

Findings:

- An August 2016 staffing study was conducted through the National Institute of Corrections (NIC) on the new proposed male prisons that would be built under the APTI*
 - *Study main body included, begins on next page
- The study determined that each new men's prison would require 600-650 total staff. Additional ADOC requirements added for total staff of 735 employees (614 security/121 support).
- An additional 1,300 employees will be retained in the existing ADOC facilities not closing
- Thus, post APTI implementation, 3,505 security and support employees will be required*
 - * Does not include FTEs associated with healthcare contracts
- ADOC's July 2015 baseline employee allocation for its prison operations was 3,857
- Implementing *APTI results in a net reduction in 352 staff positions* (3,857-3,505)
 - Of the 352 positions that can be eliminated, 173 are security positions, 179 support
- The monetary equivalent of the reduction of 352 employees is *\$17.5M in annual savings*
- The staffing requirements reflected in this analysis not only reflect substantial operational savings, *they ensure ADOC is operating at fully staffed levels, ensuring the safety of both officers and inmates*
- The analysis used industry standards to template recommended staffing levels at proposed facilities, and bolstered their analysis with interviews with staff and inmates, reviewing documents and observing institutional practices at three major institutions
 - Documents included detailed designs of a proposed 3,996 bed facility, current post orders, staffing rosters, position classifications, overtime expenditures and court orders
 - Interviews were done with central staff as well as institutional staff and inmates
 - Observations were done after reviewing documented standard operating procedures for daily activities to include visitation, medical, maintenance, food service, segregation, programing, and recreation
 - The analysis also included a shift relief factor based on our current employees leave patterns for annual, compensatory, military, personal, sick, FMLA, and training.

Prison Staffing Analysis Alabama
Department of Corrections

Prison Staffing Analysis Alabama Department
of Corrections

Prison Staffing Analysis Alabama Department of Corrections

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Prison Staffing Analysis Alabama Department of Corrections

Executive Summary

In all our considerations the primary focus was on the safety and security of the public, staff and inmates.

We created this staffing pattern starting from scratch and determining needed posts based on descriptions provided through interviews, examination of documents and review of practices currently in place in Alabama prisons and applying national standards of prison staffing protocols. Although we were provided a proposed staffing pattern along with the building blueprints, we found that neither the post titles nor the activities descriptions applied to the practices we observed currently in place in Alabama. Consequently, this staffing plan played no part in our review.

We would like to thank the Alabama Department of Corrections and their professional staff for the privilege of working together on this project. Their hospitality and cooperation was warm and genuine and their commitment to excellence was tangible.

Prison Staffing Analysis Alabama Department of Corrections

Background and Circumstances Leading to the Request

On July 5, 2016, consultants were contacted by Grantt Culliver, Associate Commissioner of Operations for the Alabama Department of Corrections. He indicated that the Department had proposed a transformation of ADOC by building three male facilities that would house 4,000 inmates each while closing up to 12 male facilities. He further indicated that they would like to be able to articulate cost savings over existing operations and be confident that the staffing proposed for the facilities is adequate to meet the design and mission of the facilities.

Needs/Problems

As described, the project is an evaluation of proposed blueprints, institutional profiles, staffing patterns and relief factors for the new facilities and compare them to existing staffing patterns for the purpose of reinforcing the foundation of the proposal currently before the legislature. It is felt that an independent review of the proposal would help to identify any areas not addressed and confirm the rationale for the plan going forward.

Methodology: Staffing Analysis Model

Since 1999, Russ Savage and Meg Savage have consulted with the National Institute of Corrections conducting Prison Staffing Analysis training for audiences of groups from a variety of corrections departments as well as technical assistance evaluations for individual state and local corrections agencies. These endeavors are based on the principles outlined in the manual published in 2008 by NIC entitled “*Prison Staffing Analysis: A Training Manual with Staffing Considerations for Special Populations.*” This manual is described in the introduction thusly:

“*Prison Staffing Analysis* presents achievable models for establishing a staffing function at both the agency and the facility levels. It demonstrates a thorough staffing analysis process built on sound policy and procedure and structured analytical methods. The manual also offers detailed guidelines for developing and evaluating posts and special guidelines for staffing housing units. It will serve as a substantive training tool and valuable reference for prison administrators and officials who are responsible for assessing and analyzing their facilities’ or systems’ staffing requirements.”

Morris L. Thigpen Director National Institute of Corrections

The model contained in the above referenced manual, available at the NIC website at <http://static.nicic.gov/Library/022667.pdf>, will be utilized for the purpose of the proposed analysis for the Alabama Department of Corrections.

Prison Staffing Analysis Alabama Department of Corrections

Prison Staffing Analysis Process

The Prison Staffing Analysis Process Steps described in detail in the textbook provided to the participants and covered in brief during classroom activities were:

Learning the Agency and Facility Factors That Influence Staffing

Learning What Goes on Regularly in the Facility

Evaluating Posts and Proposing a New Post Plan

Determining the Availability of Staff to Work

Performing Staffing Calculations

Development of Reports for Routine and Special Use

Due to the time constraints in this project, the scope of the product established for this effort was necessarily condensed to a projection of staffing needs based on current procedures and staffing patterns. It should be noted that for optimum accuracy, a full staffing analysis of existing facilities would provide the greatest assurance of appropriate utilization of staff. Consequently, this review consisted of:

- Reviewing documents provided by Central Office and institutional officials;
- Interviewing staff and inmates on site and observing institutional practices, and
- Analyzing existing practices and projecting staffing levels for the proposed facility to include relief factors based on current leave usage at existing facilities

Reference Materials

The publication entitled “**Prison Staffing Analysis**” was published by the National Institute of Corrections in December 2008. A copy of the manual was available to the agency and is also available from the NIC Library at <http://nicic.gov/Library/022667> was used as the template for the review. Forms and protocols in this manual serve as the basis for this report.

“Prison Staffing Analysis presents achievable models for establishing a staffing function at both the agency and the facility levels. It demonstrates a thorough staffing analysis process built on sound policy and procedure and structured analytical methods. The manual also offers detailed guidelines for developing and evaluating posts and special guidelines for staffing housing units. It will serve as a substantive training tool and valuable reference for prison administrators and officials who are responsible for assessing and analyzing their facilities’ or systems’ staffing requirements.”

Camille Graham Camp, “Prison Staffing Analysis: A Training Manual,” U.S. Department of Justice National Institute of Corrections, December 2008.

Prison Staffing Analysis Alabama Department of Corrections

Alabama Department of Corrections Staffing Analysis Project

This analysis took place during the week of August 1-4 2016 at the Central Office in Montgomery, Alabama. An introductory session was held with key staff members as the scope and specifics of the analysis were described and a briefing scheduled for Thursday afternoon.

Additionally, a tour of the Kilby facility was scheduled for Tuesday afternoon to observe operational practices in a department facility to validate assumptions of the review.

Staffing Plan -Prototypical 3996 Bed Prison Complex

Consultants were provided copies of site plans and blueprints for a proposed 3996 bed complex comprised of six 512-bed general population dormitories (identified as K buildings), one 204-bed segregation single cell housing unit (identified as S Building) and two 360-bed double bunked housing units (E and F Buildings).

The unique aspect of this plan is that the entire population is contained within a single perimeter with one ingress point at the front of the facility. Additionally, the site plan includes:

- Ingress and Administrative Offices (A Building)
- Visitation and Maintenance space (B Building)
- Administrative, Medical and Food Service space (C Building)
- One 83,238 square foot building identified on the site plan as food processing
- Outside recreational space for general population housing units
- Recreational pens for segregation populations

The activities began with an overview to above referenced staff as to the intent and process of the review and their respective roles in gathering documentation and responding to inquiries germane to their areas of responsibilities. Throughout the week the responsiveness to consultants' requests were rapid and efficient and assisted greatly in conducting the review.

Assumptions

In order to determine appropriate staffing levels, certain operational assumptions were gleaned from discussions with Commissioner Culliver and key staff. These assumptions included:

1. The K Buildings will house medium and minimum-in custody inmates.
2. The S Building will house close custody inmates.
3. The E and F Buildings will house medium custody inmates and will be operated in a manner similar to the S building which will require several modifications to the existing plan as this project progresses.
 - Recreation pens will need to be constructed as opposed to recreation yards currently portrayed in the blueprints.

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- Meals will be delivered and served in the cell block as opposed to inmates going to a common chow hall area depicted in the blueprints.

4. Utilization of the 83,238 sq. ft. building will differ in the three facilities and will range from a medical facility, food factory or industry program. This determination will be made as the project progresses.

5. The staffing levels presented in this model are baseline operational numbers and are for one of the anticipated three separate facilities planned. Specialty programs such as chronic medical, death row, drug treatment and industries will create the need for additional positions as required for operation of said programs.

6. Since the location of any of these facilities is unknown at this time, anticipated needs for transportation for medical or court services cannot be estimated in this review.

Institutional Profile Document

In order to identify the potential elements of the proposed facility, we developed a profile based on information obtained from key staff members concerning practices in existing facilities, and intended uses of the prototype. The main components of this instrument are:

MISSION

Mission has a significant impact on staffing. Comparing two facilities, even ones of the same custody classifications and assuming they need the same staffing is a critical error since the mission can drive staffing decisions. A solid mission will direct employees to make decisions that are consistent with the operation's goals and will serve to ensure that employees are utilized in an appropriate manner.

Mission also drives where employees are located within a facility. An institution with a mission of education will focus population in classrooms and on effective inmate movement, conversely, one that holds a secure population will focus on basic inmate needs such as showers and meals. The mission of an institution also is vital in providing resources to key activities such as inmates working in the community or providing information to programming staff on inmate adjustment. The mission also gives a sense of direction to staffing the prison or a location within the facility.

PHYSICAL DESIGN

Creating the institutional profile requires a comprehensive and objective look at the physical plant, security systems and inmate populations. The profile begins with generalities of the physical plant such as total acreage, date of construction and type of construction. It flows into the number, type, and use of buildings on the site. Caution should be taken to avoid having the physical layout of the plant as the sole factor dictating the staffing pattern. Security systems analysis begins at the perimeter with a thorough examination of the type of barrier, gates, electronics and human resources necessary to prevent or detect escape. The systems within the main control center are evaluated as to type, ease of use, and need for attendance by staff. Within the facility the fences, gates, locks, building access, cell or dorm doors and building control rooms are all evaluated and observed.

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POPULATION CHARACTERISTICS AND PROGRAMMING

When analyzing facilities, it is necessary to determine the custody level of the inmate and any local or departmental rules that govern the staffing requirements of the inmate held. Many prisons hold multiple custodies within a single perimeter cordoned off by internal fencing and scheduling. In such a case, the inmate population drives the decision to staff for each individual location that houses different custodies. For example, if a facility is comprised of three identical buildings, but each building houses a different custody (Minimum – Medium – Segregation) the three buildings are not staffed the same because each population requires a different level of supervision.

- Frequency and participation in programming
- Assaults on both staff and inmates
- Gang or STG influences on the population

OPERATIONAL ISSUES

Factors relating directly to a particular institution impact on staffing such as method of inmate movement, visitation activities, feeding approach, union agreements or contracts, statutory or court-mandated requirements. The prevalence of outside work crews and the ability to employ inmates significantly affects staffing and can be politically charged. Finally, the use and availability of body alarms, intercoms, radios, cameras and other technology can affect the need for personnel in certain areas.

PROTOTYPE 3996 BED FACILITY PROFILE

It should be noted that since this particular design has not yet been constructed or is currently operational anywhere, it is impossible to adequately evaluate such practical things as sight lines, lighting levels or special relationships. However, based on the intended population and current protocols in the Alabama Department of Corrections, certain baseline staffing recommendations can be made. Therefore, to determine staffing in this proposed but not-yet-constructed facility, it is critical that we understand the activities in prisons that currently operate under similar jurisdictional conditions.

This understanding must include not just day to day schedules but also the emergencies that one comes to expect like emergency hospital runs, mental health watches and the variety of other factors that impact on staffing including, but not limited to the following:

- Existing facility institutional profiles
- Inmate Classification profiles including current and projected custody level numbers
- Current staffing numbers and classifications of positions
- Staffing Rosters and Post Orders for existing facilities
- Overtime expenditures by facility
- Pull posts (or collapsible posts)
- Policies affecting the use of employees including court orders and consent decrees.

The Institutional Profile compiled for this prototypical facility is included as Attachment 1.

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Daily Activities Chart

An activities schedule displays the most important daily activities taking place at the institution at a glance. Contrary to the title, an Activities Chart is not intended to manage the daily activities of an institution. As a snapshot of the operation, it can give a view of where employees should be located twenty-four hours in the day.

The activities schedule shows the impact of schedule choices on employees, and proper staff scheduling avoids the concentration of activities on a single shift or at a particular time of the day or day of the week. It may be utilized to enhance efficiency either by rescheduling activities or redeploying staff to ensure maximum resource management. This instrument is contained in the Prison Staffing Analysis manual and is entitled **Form A. Daily Activities Form**.

Because this facility is not currently operational, consultants examined Activities Charts submitted by three existing Alabama facilities. This examination revealed that at Kilby, Elmore and Draper facilities the majority of activities take place during normal business hours with little or no activities during overnight hours. These charts are included in Attachment 2. This is important for the analysis since the consultants assume that based on eight hour shifts, larger numbers of staff are required on first and second shift with fewer needed on third. This is reflected in the numbers show on the Post Plan and Post Charts.

Shift Relief Factor

A key component of the staffing analysis process is the review of the relief factor. As such, access to information regarding leave usage is vital to the computation of this figure. At optimum, at least three years of comprehensive historical data on leave usage in all relevant categories for security staff should be used; we were able to obtain two years' data from 2013-2014.

The data was gathered from actual numbers and include every aspect of operation that takes a correctional officer away from a post. We included annual leave, sick leave, administrative leave, comp time, personal days, military leave, FMLA and training hours. An in-depth discussion of relief factor calculations is available in the Staffing Manual Chapter 8.

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Shift Relief Factor for Alabama Department of Corrections

The calculations below while necessary for the development of a staffing plan for the prototype 3996 bed facility, are also applicable to existing facilities in the department. These figures were obtained by averaging the total number of hours taken by the total average number of filled correctional positions during the time frame in question.

Annual	13.41
Comp	1.64
Military	2.13
Personal	1.20
Sick	8.33
FMLA (all varieties)	2.60
Training (projected)	5
Total	34.31

Utilizing the above information, the relief factor can be calculated using the following formula:

365 days needed to staff a 7-day post

-104 regular days off (52*2)

-34.31 days unavailable

= 226.69 days available

$365/226.69 = 1.61$ relief factor / 7-day post

Resulting in 4.83 total officers needed for a 7-day, 24-hour post

When using a 12-hour shift the total number required to relieve a 24-hour shift (i.e. $1.61 \times 3 = 4.83$) would be total needed for three eight hours shifts divided by 2 or 2.415 to be applied to each post instead of the 1.61.

Proposed Post Plan Documents

As stated in the Prison Staffing Analysis Manual, “*Post planning is tedious, detailed work. Every existing and potential post in a facility must be carefully studied for its purpose, its priority, its location, its duration per 24 hours, its effectiveness, and its efficiency. In addition, the relationships between various posts and their respective assigned duties must be analyzed to ensure security backup; to cover facility operations, activities, programs, and services; and to avoid unnecessary post redundancies.*”²

Examples of post planning instruments are contained in the textbook manual as:

Camille Graham Camp, “Prison Staffing Analysis: A Training Manual,” U.S. Department of Justice National Institute of Corrections, December 2008.

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Form D. Part 1 Post Evaluation Planning Instrument: Current Post Plan Form D. Part 2 Post Evaluation Planning Instrument Recommended Post Plan Form E. Recommended Post Modification Form

Based on information gathered through the preceding instruments, and lengthy interviews concerning the intended operational practices of the new facility, consultants developed the Post Plan and Post Chart included as Attachments 3 and 4.

Additionally, based on information submitted on the typical non-uniformed positions in other Alabama facilities, we developed a proposed list of support staff required for a baseline operation of this prototype included as Attachment 5. Numbers were calculated based on the staff currently assigned to the Donaldson and Limestone facilities due to the combined populations of these two facilities.

Additional Observations and Recommendations

Statewide Staffing Analysis

Building new facilities to replace older ones is a strategic plan that can provide significant benefits for the state in both operating expense and effective utilization of current resources.

Older facilities even if fully maintained become increasingly obsolete. Repairs and preventive maintenance becomes more expensive as parts become more expensive or no longer available resulting in a need to choose between high prices and long waits or refitting or manufacturing parts.

Potential Additional Posts

In addition to the posts that appear on the post chart there are some other considerations that may impact total numbers that need further review by the agency.

There was some discussion of a position of Major for the entire “complex” that would serve as a senior chief of security for overall facility operations. We are in agreement that a single uniformed chief of security would help to manage the competing interests of what amounts to nine separate facilities under one “roof.”

Further, a lieutenant position assigned to PREA appeared on rosters we reviewed but felt that by the time the facility became operational the need for this position may or may not be as critical as it is now and should be evaluated at that time.

Finally, with the critical nature of keeping track of long term sick leave and FMLA issues, the inclusion of an Occupational Health Nurse position to help with this effort would be invaluable.

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Emergency Response

Any discussion of staffing eventually leads to a discussion of emergency response. At present as we understand the system each facility Warden develops the local emergency response while agency policy sets the rules for Correctional Emergency Response Teams (CERT).

Historically, prisons have been lost or saved not by CERT but by the quick, professional and organized actions of employees on post when the worst happens. Currently more than three quarters of all correctional officers in the United States use Incident Command in the course of their normal duties. Incident Command for Corrections is the standard for emergency response in Corrections and Incident Command is required by federal mandates for use by all first responders.

Incident Command for Corrections is available to State agencies through the National Institute of Corrections both on line and train-the-trainer on site. Our experience is that transitioning a department the size of Alabama can be accomplished in as few as six months. We highly recommend that you take advantage of this training

It is also important to note that the use of incident command has been cited as a valuable resource in employee retention as well as reducing incident of excessive or unnecessary force. If the plan for consolidating prisons in new facilities is realized the practice and experience with ICSC will be invaluable in organizing the moves and dealing with any incidents that arise.

12-Hour Shifts

As consultants and former administrators, we have had years of exposure to the use of 12-hour shifts. We recognize that in some situations the 12-hour shift is ideal and sought after by employees and supervisors. We have also however had myriad experiences where it was apparent that the 12-hour shift was the cause of problems rather than the solution.

There is a common argument that 12-hour shifts provide more coverage. This is simply inaccurate. In fact, a post that must be covered 24 hours per day 365 per year takes exactly the same number of hours regardless of the shift hours that are worked.

The drawbacks of 12-hour shifts start with the fact that every person working a 12-hour shift is paid four additional hours per two week pay period. There is a way around this by creating rotating shifts and managing hours so that the four hours per week are not worked by the employee, but the work around either requires part time workers or is so complicated that most agencies just pay the additional four hours resulting in a total of 96 (+/-) additional hours every year.

There are two hidden consequences of 12-hour shifts. One is that the number of call ins or call offs continues based on agency history and culture. Agencies that had high call ins before 12 hour shifts continue to have high call ins after 12-hour shifts are put in place. The difference results in a much more drastic impact on the employee. When someone calls in on a 12-hour shift, someone else has to work for at least 4 hours or more to cover for that call in. This means

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that officers are working 16 hours. If the issue is not call-ins but covering vacancies the issue is even more frequent and seemingly unending and is why no facility with more than a 15% vacancy rate should ever consider a 12-hour shift.

Also hidden is the unnecessary staffing of the facility overnight. Prisons operate generally on a 16 on 8 off schedule. At night most prisons between 9 pm and 5 am are quiet with limited or no movement except bathroom and emergencies and for the most part are locked down. 12-hour shifts pay no heed to these down hours. The number of employees on post remains the same during the mid-day and mid-night causing a loss of real production time. Generally, this is covered by creating additional 8-hour shifts to support day time activities, but that doesn't reduce the number of individuals working overnight. Some agencies have been very creative in attempting to make sense of this over-staffing at night, but it is a concomitant factor of 12-hour shifts.

Finally, 12-hour shifts have a significant role in staff retention. Employees that find themselves off as many days as they are on are much more likely to find other work and are less committed to the agency. There is also an isolation between shifts that does not exist with 8-hour shifts due to everyone having the same lengthy days off. The sense of duty and mission in persons who work at a facility 182 days a year is less than a person who works over 230 days.

Along with the commitment the constant challenge with 12-hour shifts is that employees take less personal affiliation to their assigned area. Holding individuals accountable for a variety of post needs including relations with inmates, grooming and cleanliness when employees change daily and often the same persons work the post a couple of days a week.

The consultants understand that there are discussions that would have the new facilities work on 12-hours shifts, and we strongly urge that 8-hour shifts are also considered.

Conclusion

The process of considering such a large-scale project as this one is a complex one. It has the long term potential of dramatically improving the physical infrastructure of the entirety of the agency, but will surely have a dramatic impact on the staff and inmates in the process.

The people we encountered in this process are certainly up to the challenge and appear to be willing and able to move forward in the interest of improvement of their agency. We appreciate the warm reception we received and the tireless assistance provided to us throughout.

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List of Attachments

- Attachment 1Institutional Profile Instrument
- Attachment 2 Activities Charts
- Attachment 3 Post Plan Documents
- Attachment 4Post Chart Documents
- Attachment 5 Support Staff Recommendations

DUE TO THEIR LENGTHY CONTENT, SOME ATTACHMENTS HAVE BEEN EXCLUDED FROM THIS PAMPHLET BUT CAN BE OBTAINED BY REQUEST THROUGH THE ALABAMA DEPARTMENT OF CORRECTIONS.

Attachment 3: Post Plan 8-Hour Shifts

Post	Attributes				Officers per Shift								Computation					
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
	Function	Rank	Priority	Number of days	Office Hours	Day shift, 8 hours	Evening Shift, 8 hours	Night Shift, 8 hours	Day Shift, 12 hours	Night shift, 12 hours	10 hour	Other	Shift relief required	Meal/ break required	Total staff per 24 hours	Current SRF (per shift)	Rec number FTE's	
Command posts																		
Captain K-9				7	1								No		1			1
Captain COS				5		2	2	2					Yes		6	0.61		9.66
Lieutenant: Shift				7		9	9	9					Yes		27	0.61		43.47
Sergeant: Shift				7		18	18	18					Yes		54	0.61		86.94
Sergeant: Work Crews				7														
Total Command					1	87												141.07
Correctional Officer posts																		
Armory, keys, restraints, fire				5	1								No		1			1
Property				5	1								No		1			1
Key/Tool				5	1								No		1			1
UA Officer				5	1								No		1			1
Transportation				5	3								No		3			3
Fire Safety/ADA				5	1								No		1			1
Education K-Buildings				5	6								No		6			6
STG Officer				5	2								No		2			2
ICS				5	2								No		2			2
Visitation				5	8								No		8			8
Job Placement				5	1								No		1			1
Recreation/Vocation D Bldg				5	3								No		3			3
K-9				5	5								No		5			5
Clinic/Medical Bldg				5	2								No		2			2
Work Squads				5	4								No		4			4
Back Gate				7		1	1						Yes		2	0.61		3.22
Kitchen				7		2	2						Yes		4	0.61		6.44
Main Control				7		2	2	1					Yes		5	0.61		8.05
Perimeter				7		1	1	1					Yes		3	0.61		4.83
Housing Unit Control K Bldgs				7		12	12	6					Yes		30	0.61		48.3
Housing Unit Floor K Bldgs				7		24	24	12					Yes		60	0.61		96.6
Yard Rovers GP Side				7		3	3	3					Yes		9	0.61		14.49
Housing Unit Control S				7		2	2	2					Yes		6	0.61		9.66
Housing Unit Floor S				7		4	4	3					Yes		11	0.61		17.71
Housing Unit Control E,F				7		4	4	4					Yes		12	0.61		19.32
Housing Unit Floor E,F				7		10	10	6					Yes		26	0.61		41.86
Yard Rovers Seg Side				7		2	2	2					Yes		6	0.61		9.66
Interior Perimeter Security				7		1	1	1					Yes		3	0.61		4.83
Central Checkpoint				7		1	1	1					Yes		3	0.61		4.83
Entry A Bldg				7		2	2	1					Yes		5	0.61		8.05
Total Correctional Officers					41	185												338.85

Attachment 3: Post Plan 12-Hour Shifts

Post	Attributes				Officers per Shift									Computation				
	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	
	Function	Rank	Priority	Number of days	Office Hours	Day shift, 8 hours	Evening Shift, 8 hours	Night Shift, 8 hours	Day Shift, 12 hours	Night shift, 12 hours	10 hour	Other	Shift relief required	Meal/break required	Total staff per 24 hours	Current SRF (per shift)	Rec number FTE's	
Command posts																		
Captain K-9				7	1								No		1		1	
Captain COS				5					2	2			Yes		4	2.41	9.64	
Lieutenant: Shift				7					9	9			Yes		18	2.41	43.38	
Sergeant: Shift				7					18	18			Yes		36	2.41	86.76	
Sergeant: Work Crews				7														
Total Command					1		0		29	29					59		140.78	
Correctional Officer posts																		
Armory, keys, restraints, fire				5	1								No		1		1	
Property				5	1								No		1		1	
Key/Tool				5	1								No		1		1	
UA Officer				5	1								No		1		1	
Transportation				5	3								No		3		3	
Fire Safety/ADA				5	1								No		1		1	
Education K-Buildings				5	6								No		6		6	
STG Officer				5	2								No		2		2	
ICS				5	2								No		2		2	
Visitation				5	8								No		8		8	
Job Placement				5	1								No		1		1	
Recreation/Vocation D Bldg				5	3								No		3		3	
K-9				5	5								No		5		5	
Clinic/Medical Bldg				5	2								No		2		2	
Work Squads				5	4								No		4		4	
Back Gate				7					1	1			Yes		2	2.41	4.82	
Kitchen				7					2	2			Yes		4	2.41	9.64	
Main Control				7					2	2			Yes		4	2.41	9.64	
Perimeter				7					2	2			Yes		4	2.41	9.64	
Housing Unit Control K Bldgs				7					12	12			Yes		24	2.41	57.84	
Housing Unit Floor K Bldgs				7					24	24			Yes		48	2.41	115.68	
Yard Rovers GP Side				7					3	3			Yes		6	2.41	14.46	
Housing Unit Control S				7					2	2			Yes		4	2.41	9.64	
Housing Unit Floor S				7					4	4			Yes		8	2.41	19.28	
Housing Unit Control E,F				7					4	4			Yes		8	2.41	19.28	
Housing Unit Floor E,F				7					10	10			Yes		20	2.41	48.2	
Yard Rovers Seg Side				7					2	2			Yes		4	2.41	9.64	
Interior Perimeter Security				7					1	1			Yes		2	2.41	4.82	
Central Checkpoint				7					1	1			Yes		2	2.41	4.82	
Entry A Bldg				7					2	2			Yes		4	2.41	9.64	
Total Correctional Officers					41		0		72	72					185		388.04	

Attachment 4: Post Chart 8-Hour Shifts

LOCATION/POSITION	5-Day Post	7-Day Post		
		1	2	3
Captains				
Captain K-9	1			
Captain Chief of Security		2	2	2
			6	
Lieutenants				
Lieutenant: Shift		9	9	9
			27	
Sergeants				
Sergeant: Shift		18	18	18
	1		54	
Correctional Officers				
Armory, Keys, Fire Safety Officer	1			
Property	1			
Key/Tool	1			
UA Officer	1			
Transportation	3			
Fire Safety/ADA	1			
Education K-Buildings	6			
STG Officer	2			
ICS	2			
Visitation	8			
Job Placement	1			
Recreation/Vocation D Bldg	3			
K-9	5			
Clinic/Medical Bldg	2			
Work Squads	4			
Back Gate		1	1	0
Kitchen		2	2	0
Main Control		2	2	1
Perimeter		1	1	1
Housing Unit Control K Bldgs		12	12	6
Housing Unit Floor K Bldgs		24	24	12
Yard Rovers GP Side		3	3	3
Housing Unit Control S		2	2	2
Housing Unit Floor S		4	4	3
Housing Unit Control E,F		4	4	4
Housing Unit Floor E,F		10	10	6
Yard Rovers Seg Side		2	2	2
Interior Perimeter Security		1	1	1
Central Checkpoint		1	1	1
Entry A Bldg		2	2	1
	41		185	

RECAP	5-DAY	7-DAY	RELIEF	REQUIRED
Captain	1	6	4	11
Lieutenant	0	27	16	43
Sergeant	0	54	33	87
Correctional Officer	41	185	113	339
	42	272	166	480
RELIEF FACTOR				
Captain	6 x .61 =	3.66	4	
Lieutenant	27 x .61 =	16.47	16	
Sergeant	54 x .61 =	32.94	33	
Correctional Officer	185 x .61 =	112.85	113	

Attachment 4: Post Chart 12-Hour Shifts

LOCATION/POSITION	5-Day Post	7-Day Post	
		1	2
Captains			
Captain K-9	1		
Captain Chief of Security		2	2
			4
Lieutenants			
Lieutenant: Shift		9	9
			18
Sergeants			
Sergeant: Shift		18	18
	1		36
Correctional Officers			
Armory, Keys, Fire Safety Officer	1		
Property	1		
Key/Tool	1		
UA Officer	1		
Transportation	3		
Fire Safety/ADA	1		
Education K-Buildings	6		
STG Officer	2		
ICS	2		
Visitation	8		
Job Placement	1		
Recreation/Vocation D Bldg	3		
K-9	5		
Clinic/Medical Bldg	2		
Work Squads	4		
Back Gate		1	1
Kitchen		2	2
Main Control		2	2
Perimeter		2	2
Housing Unit Control K Bldgs		12	12
Housing Unit Floor K Bldgs		24	24
Yard Rovers GP Side		3	3
Housing Unit Control S		2	2
Housing Unit Floor S		4	4
Housing Unit Control E,F		4	4
Housing Unit Floor E,F		10	10
Yard Rovers Seg Side		2	2
Interior Perimeter Security		1	1
Central Checkpoint		1	1
Entry A Bldg		2	2
	41		144

RECAP	5-DAY	7-DAY	RELIEF	REQUIRED
Captain	1	4	6	11
Lieutenant	0	18	25	43
Sergeant	0	36	51	87
Correctional Officer	41	144	203	388
	42	202	285	529
RELIEF FACTOR				
Captain	4 x 1.41 =	5.64	6	
Lieutenant	18 x 1.41 =	25.38	25	
Sergeant	36 x 1.41 =	50.76	51	
Correctional Officer	144 x 1.41 =	203.04	203	

Attachment 5: Support Staff Positions

Warden III	1	
Warden II	1	Deputy
Warden I GP	1	For GP side
Warden I Segregation	1	For Segregation side
Warden I Support	1	Medical, Food Service, Maintenance, Religion
Admin Support Asst. III	1	Warden's Secretary
Admin Support Asst. II	9	Each Building
Admin Support Asst. I	15	Per numbers for Donaldson and Limestone
Admin Services Asst.	9	Shift Clerk
Business Manager	1	
Staff Accountant	2	
Account Clerk	3	
Account Tech	1	
Personnel Asst. I	2	
Canteen Manager	2	GP and Segregation
Canteen Clerk I	2	
Stock Clerk	4	
Admin Services Officer	1	
Radio Operator	1	
Classification Supervisor	2	GP and Segregation
Classification Specialist	14	Based on a 300 inmate caseload estimate
Psychologist	1	
Psych Assoc. II	2	
Psych Assoc. I	2	
Custodial Worker	2	
Laundry Manager II	1	
Laundry Manager I	2	
Laundry Worker 1	2	
Cook I	2	
Steward III	1	
Steward II	9	
Steward I	7	
Plant Maintenance Supervisor III	1	
Plant Maintenance Supervisor. II	1	
Heating and AC Tech	2	
Maintenance and Repair Sup	3	
Electrician Supervisor	2	
Plumber Supervisor	2	
Plant Maintenance Worker	4	
Chaplain	1	
TOTAL	121	

Notional Timeline

NOTIONAL TIMELINE

- March 2017 Bill passes
- Summer 2017 Select in-house project management team
- Fall 2017 Concurrent site survey selection and RFP Development
- Spring 2018 Contract Award*
- Summer 2018-20 Design/Construction for first prison
- Fall 2020 First Facility Complete**
- Fall 2021 All Prisons Complete***

* Funding Begins

** Add 4-6 months for each of the next two men's prisons

*** New women's facility will be completed during men's construction period

Frequently Asked Questions (1 of 5)

1. What is the Alabama Prison Transformation Initiative?

The initiative will consolidate 14 of 16 maximum and medium custody level prisons into four large scale, state-of-the-art regional correctional facilities. Three men's facilities will have 4,000 bed capacity and one women's facility with 1,200 bed capacity. Two of the 16 facilities will remain open.

Increased design capacity coupled with recent prison reform legislation designed to decrease the prison population would reduce prison occupancy rates to 125% over the next five years.

State-of-the-Art facilities allow for the delivery of a host of evidenced-based rehabilitation and reentry programs providing substance abuse treatment and counseling, education, vocational training, and prison industry and work release opportunities that prepare offenders to transition successfully back into the community upon release. These programs and services effectively delivered have proven to reduce recidivism.

2. Where will ADOC build the new facilities?

ADOC proposes to build four new correctional facilities in the northern, central, and southern regions of the state. ADOC has not selected the facility sites at this time.

3. What correctional facilities will close and consolidate?

Fourteen of 16 maximum and medium correctional facilities will consolidate into three, 4,000 bed male correctional facilities, and one 1,200 bed female correctional facility. 13 male facilities that will close have not been identified, however, facility assessments have been completed on each of these facilities which will be used to make sound return on investment decisions.

The Julia Tutwiler Prison for Women in Wetumpka is the only facility in the initiative that has been slated to close at this time. Two male correctional facilities will remain open. The plan also includes renovation and consolidation of lower security level facilities.

Frequently Asked Questions (2 of 5)

4. Will current ADOC employees lose their job because of the initiative?

No. Every current employee will have the opportunity to continue their employment with the Department of Corrections. The department is proposing to site the four facilities in proximity to current facilities to reduce the impact on the department's existing workforce.

5. As prisons close, will employees be displaced?

Closing 14 prisons around the State will potentially displace some employees; however, new regional prisons will be sited in locations to accommodate the current staff to the maximum extent practical. Many of the department's employees already deal with significant commutes to current facilities.

6. What is the plan for the facilities that will close?

The final disposition of each of the closed facilities will be evaluated and determined through the prison transformation initiative planning process.

7. When will the Alabama Prison Transformation Initiative begin?

A notional timeline is presented in the *Notional Timeline* section immediately preceding this *Frequently Asked Questions* section. The entire process from the legislature passing the bill until all prisons are complete will be approximately a four to five year process.

8. Is this a no-bid contract?

No. The design and construction of the new correctional facilities will be delivered under a Request for Proposals for a Design-Build Contractor. The ADOC will advertise for bid proposals using a two-step, qualifications-based, best value selection process that will be open to any company that submits their qualification and competitive proposal. All proposals will be evaluated against the specific project requirements and selected based on the best value for the state and not necessarily on the lowest bid.

Frequently Asked Questions (3 of 5)

9. What is the selection criteria that will be used to prequalify the contractors the state plans to interview for possibly using to construct this project?

Prequalification selection criteria will be developed by the project management team working for the Department of Corrections. Federal Acquisition Regulation subpart 36.3 includes a two-phase Design-Build Selection Procedures that can be used as a model. The project management team per the legislation will include in-house staff, design professionals, consulting firms and other experts.

10. What assurances are there that local architects, engineers and contractors will be utilized to the fullest extent as allowed by law?

The legislation requires preference be given to proposals from resident contractors and subcontractors. The legislation also requires preference to proposals that include participation by minority contractors. The legislation requires the successful proposer to retain resident design professionals, including all aspects of the project from subsurface investigation to design and engineering, who are familiar with local project conditions. The current law does not allow any preference for resident contractors, subcontractors, design professionals, or minority contractors.

11. How much and for how long will the bonds be issued for?

The project requires an \$800 million bond issue for a period of 30 years.

12. How much is the annual debt service on these bonds?

Projected debt service is approximately \$50 million per year would be paid for without increasing ADOC's current general fund appropriation.

13. How will the debt service be paid?

Operational savings within the Department of Corrections achieved by consolidation and facility design efficiencies will be used to pay the debt service. See *Operational Savings* page 4.

Frequently Asked Questions (4 of 5)

14. How much additional funding will the Department of Corrections need from the State General Fund to make the debt service payments?

No additional funding requests from the General Fund are planned for this project. Estimated departmental savings in personnel, leased beds, logistic and support consolidation, and healthcare savings related to the decrease in inmate population will be sufficient to make the debt service payments.

15. How does this fix the prison system?

First, most of the State's prison infrastructure has outlived its useful life. According to an independent study, \$440 million would be required to modernize the system to meet minimal industry standards and to comply with current code, but would have minimal impact on overcrowding, understaffing and recidivism.

Second, the plan addresses the overcrowding and understaffing problems simultaneously through increased capacity and efficient design. This plan reduces the overcrowding in state prisons to 125% in the next 5 years.

Third, the plan increases the State's capacity to offer evidenced-based rehabilitation and reentry services designed to prepare eligible inmates to return to society and reduce recidivism.

16. This bill gives a lot of power and control to the State Finance Department Construction Management Division. Who will they answer to for the expenditure of \$800M?

The project will be under the control of the Department of Corrections (DOC) and the Alabama Corrections Institution Finance Authority (ACIFA). The Division of Construction Management (DCM), working with the Department of Corrections and the Alabama Corrections Institution Finance Authority, is required to establish a project management team and procedures for the design-build process. The bill includes numerous reporting requirements including the following:

Section 3 (a) ACIFA shall report to Joint Legislative Prison Committee on any plans for demolition or disposal of existing prison facilities.

Section 3 (a) DOC shall report to Joint Legislative Prison Committee, the Chairman of House Ways and Means General Fund Committee and the Senate Finance and Taxation General Fund Committee on the operational savings directly realized as result of prison consolidation. Report is due annually from the date of first bond payment until bond is no longer outstanding.

Frequently Asked Questions (5 of 5)

Section 3 (b) DOC and DCM shall prepare report of cost analysis and project feasibility for Joint Legislative Prison Committee and all members of the Legislature on first day of legislative session. No bonds can be authorized or approved prior to submission of report.

Section 14-2-12 (c). Bonding authority must file reports to each legislature to reflect bond information including date of issuance, total amount of the bonds, maturity date, schedule of payments, including interest and principal, amount of attorney fees, architect fees and bond attorney fees, discount point and all other cost incurred in the issuance of and sale of the bonds authorized and to what person, firm, corporation, company or other entity to which any such fees or money is to be or has been paid.

Section 13 (a). DOC is required to file reports every six month on the progress of prison construction activities in the state to include expenditures, savings, cost analyses, the number of agreements entered into including design-build, construction, architectural and legal agreements. Reports are due until annual reports begin on the date the first bond issue payment is due. Report is due to the Joint Legislative Prison Committee, the House Ways and Means General Fund Committee, the Senate Committee on Finance and Taxation General Fund, and any other appropriate House and Senate Standing Committee.

Please direct any additional questions to ADOC Public Information Manager Bob Horton at 334-353-4053, or email bob.horton@doc.alabama.gov.



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