

UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK

-----X  
JAMES BENJAMIN, et al.,

Plaintiffs,

75 Civ. 3073  
(MEL)

- against -

BENJAMIN J. MALCOLM, et al.,

Defendants.

-----X

ERNESTO MALDONADO, et al.,

Plaintiffs,

76 Civ. 2854  
(MEL)

- against -

WILLIAM CIUROS, JR., et al.,

Defendants.

-----X

REVISED  
CLASSIFICATION  
WORK PLAN ORDER

DETAINEES OF THE BROOKLYN HOUSE OF  
DETENTION FOR MEN, et al.,

Plaintiffs,

79 Civ. 4913  
(MEL)

- against -

BENJAMIN J. MALCOLM, et al.,

Defendants.

-----X

DETAINEES OF THE QUEENS HOUSE OF  
DETENTION FOR MEN, et al.,

Plaintiffs,

79 Civ. 4914  
(MEL)

- against -

BENJAMIN J. MALCOLM, et al.,

Defendants.

-----X

-----X

IOLA FORTS, et al.,

Plaintiffs,

76 Civ. 101  
(MEL)

- against -

BENJAMIN J. MALCOLM, et al.,

Defendants.

-----X

GUY ZEPH AMBROSE, et al.,

Plaintiffs,

76 Civ. 190 (MEL)

- against -

BENJAMIN J. MALCOLM, et al.,

Defendants.

-----X

The court has had jurisdiction, since 1979, over a set of Partial Final Judgments by Consent (Consent Judgments) in these cases that require, inter alia, that defendants have in place by January 1, 1980 a rational system which classifies detainees individually.

In 1981 plaintiffs brought a motion to hold defendants in contempt for numerous violations of the Consent Judgments, including the provisions regarding classification; the factual allegations of plaintiffs' motion were not substantially disputed by defendants.

Since 1982 the Office of Compliance Consultants (OCC), a neutral third party established by agreement of the parties to

monitor defendants' compliance with the Consent Judgments and assist the defendants in achieving compliance, has been monitoring defendants' compliance with the Consent Judgments and has found that defendants have not fully complied with the terms of the Consent Judgments regarding classification.

At the request of the court and working with the parties, OCC submitted a work plan to the court on April 19, 1991, which set forth a schedule for the implementation of measures to bring defendants into compliance with the classification provisions of the Consent Judgments. The court determined that the terms of this work plan were appropriate and necessary in order to bring about compliance with the classification provisions of the Consent Judgments, and it adopted the work plan as an order on May 3, 1991.

OCC subsequently reported to the court that the terms of the work plan had not been carried out by the defendants and that the proposed classification system had not been implemented and audited as required by the work plan. These failures were not reported by the defendants to OCC or the court, despite the court's oral instructions to the contrary memorialized in OCC's memo to the court dated June 4, 1991, but were discovered through the independent inquiries of OCC and of plaintiffs' counsel.

On July 10, 1992, the court entered an Order re: Compliance with Work Plan Deadlines, in response to reports of unexcused violations of the March 1991 classification work plan as well as the separate June 1991 food service work plan. This order, inter alia, requires strict compliance with all deadlines in all

present and future work plans adopted by the court, sets out a procedure for seeking extensions of those deadlines, and provides for a system of monetary sanctions for further unexcused non-compliance with work plan deadlines.

OCC has on January 12, 1993 submitted a revised classification work plan, again based on consultation with the parties, setting forth a new schedule for the implementation of measures to bring defendants into compliance with the classification provisions of the Consent Judgments. The parties have also submitted an annotated copy of the March 1991 classification work plan specifying the tasks that have been completed, revised, or deleted. Based on the foregoing,

IT IS HEREBY ORDERED that:

1. The revised classification work plan of January 12, 1993, and the annexed annotated version of the March 1991 plan, attached hereto, are hereby adopted and shall be entered as an Order of this court. The effect of the annotated version of the March 1991 plan shall be that all tasks specified therein as completed shall be considered as continuing obligations of the defendants. Tasks specified as superseded shall be governed by the work plan of January 12, 1993, adopted herein.

2. Defendants, including officials and agents of the Department of Correction and all other agencies of the executive branch of New York City, shall strictly adhere to all deadlines in this revised work plan except as otherwise authorized by the court.

3. Unexcused noncompliance with this revised work plan shall subject the defendants to monetary penalties pursuant to the court's separate Order re: Compliance with Work Plan Deadlines, entered July 10, 1992.

4. On Wednesday of each week, defendants shall certify to the Office of Compliance Consultants and to the Court that they have complied with each work plan deadline falling due during the previous week, or alternatively shall state that they have failed to comply with one or more deadlines and shall further state both the reasons for their failure to comply and the measures that they have taken promptly to remedy such failure. These certifications shall actually be delivered on Wednesday of each week to the Office of Compliance Consultants, which shall promptly transmit them to the Court and plaintiffs' counsel. The Commissioner or her designee shall identify to the Court a responsible official within the Department of Correction who shall be personally responsible for making all notifications required by this paragraph. The obligations of this paragraph extend to all work plan deadlines required to be performed by defendants, including those that require action or cooperation by city agencies other than the Department of Correction.

SO ORDERED.

DATED: January \_\_\_, 1993

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United States District Judge

## REVISED INMATE CLASSIFICATION WORK PLAN

### INTRODUCTION

#### 1991 Classification Work Plan

On May 3, 1991, the Court entered an order incorporating the elements of a classification work plan designed to bring the Department of Correction into compliance with the consent decree terms, which state:

By January 1, 1980, on the basis of a rational system which classifies detainees individually, detainees shall be permitted to travel unescorted between housing areas and activity locations, except where, on the basis of that system, designated detainees are required to be escorted between designated locations.

The 1991 plan included the use of a revised scoring system that assigned number values to certain criteria (e.g., severity of current charge, history of prior convictions, inmate's age). The higher the inmate's score, the more secure the housing (dormitories, cells) to which the inmate was to be assigned. Following the parties' negotiations, the Department promulgated a detailed directive for implementing the classification system, delineating the process for scoring and housing newly admitted inmates, for reclassifying inmates based on new information (e.g., infractions), and for overriding an inmate's classification score. The 1991 plan also mandated an audit schedule to determine whether the Department was implementing the system properly.

In July 1992, OCC reported the Department's failure to implement fully the provisions of the 1991 classification work plan. The system that the parties negotiated and agreed upon on paper had not been put into practice in the jails. The Department had not conducted audits in accordance with the scope and frequency mandated by the plan; audits that were conducted -- both by the Department and by OCC -- revealed widespread failures to classify inmates accurately.

#### 1992 Revised Classification Work Plan

At a July 7, 1992 session in Chambers, the Court directed the Department to develop a revised work plan. During the past several months, the parties have met to review and negotiate the Department's proposals; the attached revised plan is the product of those efforts. A summary of the plan's major components follows.

Automated Systems - On several occasions, in both oral and written reports to the Court, OCC has noted the extent to which the lack of an effective automated system has hampered the Department's ability to provide consent-decree mandated services to inmates.

Classification provides a prime example. Given the size of the Department's system (approximately 120,000 annual admissions), relying on manual systems to admit, classify, house, transfer, and reclassify inmates, and to conduct system audits, is not feasible.

But as we reported to Court in July 1992, the Department's automated system lacked the capacity to handle these and other tasks. Staff in the jails were unwilling to rely on the information provided by the Inmate Information Service (IIS), which could not produce such basic data as an accurate "count" -- that is, how many inmates (including their identities) are housed in a given jail on a given day, much less provide the inmates' correct classification scores.

A critical factor in determining an inmate's classification score is infraction history. However, because the IIS lacked the ability to handle the entry of infraction information, the 1991 classification work plan relied upon a patchwork system in which all infraction information was entered into a separate, free-standing computer system. Assigned staff were then to transmit this information via telefax machine to classification staff in the jails in which the inmate was housed. As audits by the Department and OCC revealed, this infraction information was not being used to recalculate an inmate's score and, where necessary, transfer the inmate to a different housing level. It became clear that the infraction function was yet another indicator of the need to overhaul the entire Inmate Information System.

#### Upgrade and Maintenance of Automated System

During the past six months, the Department has engaged in a major effort to upgrade and clean-up its automated system. In the first instance, this undertaking consisted of increasing the central computer's memory capacity to enable it to handle many more functions. The increased memory capacity resulted in some immediate benefits. For example, it cut drastically the time that it takes to change screens -- a change that encourages staff to use their computer terminals. The increased capacity will enable the Department to design and implement a wide array of tracking programs and to review the extent to which facility staff are correctly implementing those programs. But these new programs are only useful if the underlying base of data is sound.

In June-July 1992, the Department conducted a data "clean-up" of count-related information in two of its largest jails (Anna M. Kross Center and Adolescent Reception and Detention Center). The clean-up additionally consisted of ensuring that sufficient computer equipment was on hand in the jails, that the equipment was located and configured in such a way as to promote the efficient flow of information, and that adequate numbers of properly trained staff were on board. Key to the project's success was the instruction that staff cease to use manual registers for the

automated jail count. The three major change-of-tour counts have been 100% accurate since the project's inception. During the course of negotiations for the revised classification work plan, the Department proposed to extend the data clean-up to the remainder of the system over a period of eight-twelve months.

In early December 1992, the Department announced its intention to accelerate substantially the clean-up project. From December 1992 through mid-April 1993, the Department will repeat at its other facilities the process begun at AMKC and ARDC. Designated staff in the jails will conduct initial surveys of equipment and staff needs that will be reviewed and acted upon by Central Office. If needed, additional programmers and operators will be hired and trained until all of the Department's facilities switch to automated registers in April 1993.

The Department emphasizes that if the project is to succeed in the long run, it must be viewed as a continuing process and, therefore, has termed the effort its "quality assurance project." The City has thus far funded staff positions required for the project. The Department has made a commitment to OCC and to Legal Aid that it will provide a sufficient level of resources -- including appropriately trained staff and requisite equipment -- to this process, and has submitted its internal schedule of tasks and activity dates to achieve the initial clean-up and to continue its maintenance.

Based upon this commitment, the parties have agreed not to incorporate the Department's internal clean-up schedule within this work plan. We will, rather, monitor the Department's progress during the course of the clean-up, including periodic spot checks, periodic review of the Department's quality assurance reports, and meetings with Department representatives. The quality assurance project represents a major underpinning of the attached revised plan.

#### Other Work Plan Components

Infractions and Reclassification - By July 1993, both the inmate infraction and reclassification functions will be fully integrated into the IIS. This means that, for example, when an inmate is found guilty of committing an infraction, that information will be entered into the IIS and the inmate's classification score will automatically be increased to reflect the charge, which may prompt a change in housing assignment.

Systemwide Reclassification - In addition to the individual reclassifications induced by infractions or new information received (e.g., outstanding warrants), the Department plans a periodic, systemwide review of classification scores for inmates who have been incarcerated for extended periods to determine whether changes in scores and housing assignments are appropriate.



While earlier drafts of the revised plan included the development of an interim manual reclassification procedure to be used until the system became automated, the parties agreed to drop that task and allow the Department to concentrate its efforts on the accelerated data clean-up of the quality assurance project.

Staffing - In July 1992, OCC reported to Court that the Department had failed to implement the staffing recommendations that its own consultant had developed the previous year. However, because the IIS upgrade and clean-up might substantially alter staffing needs, the Department has proposed and the parties have agreed to table this issue until the clean-up is complete. The Department will review its staffing needs every six months, in line with the City's budget cycles, and review those needs with the parties.

Performance Objectives - Legal Aid proposed and the Department agreed to include the development of performance objectives, representing a new task in the revised plan. The purpose of these objectives is to establish standards by which wardens and Central Office staff can measure their success in correctly classifying and housing inmates.

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## CLASSIFICATION WORK PLAN

### TASK I

Develop additional computer-generated classification management reports and utilize these reports centrally and at the facility level to insure that inmates are classified in the Inmate Information System (IIS) and housed according to their classification levels and to facility housing plans.

The Department has trained all of its uniformed managers in the content and use of these reports. It is understood that as the classification system develops, the Department may need to change the type and frequency of the management reports; the Department will notify the parties as the need for these changes arises.

#### ACTIVITY

#### COMPLETION DATE

1. Develop four new automated classification management reports

09/25/92

- Expanded Inmate Alpha Report by Housing Area (#92R0013)
- Classification Override Summary for Audits (#92R0014)
- Classification Delay Summary (#92R0015)
- Classification Override Summary (#920016).

2. Provide four classification reports listed in Activity #1 for each facility to LAS & OCC on the 1st of each month for the preceding month.

Commencing 11/01/92

3. Facilities and Classification Unit commence using these four automated monthly management reports and the daily classification Report to monitor facility performance and identify non-compliance with departmental classification policies which require corrective action by facilities.

11/01/92

**TASK II - AUTOMATION AND INTEGRATION OF THE INFRACTION HISTORY SYSTEM AND THE RECLASSIFICATION SYSTEM INTO THE INMATE INFORMATION SYSTEM (IIS)**

Prior institutional behavior is one of the critical components of the classification system's ability to predict institutional misconduct. A PC-based infraction history system is currently utilized by the Classification Unit to track inmate infractions. This information is currently used to complete the initial classification of newly admitted inmates. In order to facilitate access to this information during initial classifications, this PC-based system must be incorporated within the IIS. Similarly, in order to update inmate classifications based on changes in institutional behavior and to account for changes in inmate legal status, an automated reclassification system must be incorporated into the IIS and be fully integrated with the Inmate Infraction System.

**ACTIVITY**

**COMPLETION DATE**

4. Meeting with DOC Consultant to review IIS automation and integration of Inmate Infraction History & Reclassification Systems.

10/26/92

5. Automate and integrate current PC-based Infraction History System and Reclassification System within the Department's Inmate Information System (IIS):

- Scope
- Analysis
- Programming
- System Test
- Installation & Acceptance Test.

10/30/92

12/18/92

02/26/93

03/19/93

04/16/93

6. Commence staff training on integrated Inmate Infraction History & Reclassification Systems on 04/19/93.

06/11/93

7. Commence systemwide field implementation of integrated Inmate Infraction History and Reclassification Systems on 05/17/93.

07/02/93

### **TASK III - IMPLEMENTATION**

The Department began employing the current classification scoring instrument on April 1, 1991. Complete implementation of the classification system, including the use of inmate infraction histories, will mean that each inmate will be classified in the IIS and will be housed in a unit designated for a person of his/her classification score or special housing needs.

| <u>ACTIVITY</u>                                                                                                                                                                                                                                                                                                                            | <u>COMPLETION DATE</u> |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|
| 8. Submit draft plan to OCC & LAS for updating and maintaining accurate facility housing plans. Draft plan will provide limitations on commingling of classification categories, and will include provisions for review and approval by Central Office, and for notification to OCC and LAS of substantial revisions in the housing plans. | 01/15/93               |
| 9. OCC & LAS return comments on DOC draft re: housing plans.                                                                                                                                                                                                                                                                               | 02/01/93               |
| 10. Finalize and promulgate plan (if necessary, hold meeting with parties).                                                                                                                                                                                                                                                                | 02/23/93               |
| 11. Submit plan for continuation of IIS Quality Assurance Project at all DOC facilities. This plan will include a start date for the resumption of the field portion of this project. It will also contain a description of the tasks included in the facility upgrades.                                                                   | 12/04/93               |

**ACTIVITY****COMPLETION DATE**

12. In order to insure that all inmate classifications are completed within the 72 hours that inmates remain in new admission housing pending the reading of their PPD tests, DOC is now using two (2) existing NYSPIN machines to obtain rap sheets on inmates newly admitted to its custody without this record of prior criminal history. The NYSPIN at ARDC supplies requested rap sheets to Rikers Island facilities. The NYSPIN at Central Office supplies rap sheets to borough facilities. If deficiencies are identified in this procedure, DOC will explore other options to ensure the timely production of rap sheets and the completion of initial classifications within 72 hours of admission. If it is determined that additional NYSPIN terminals are required the City will take all necessary measures to provide these terminals expeditiously.

ONGOING

**TASK IV - EVALUATE FACILITY COMPLIANCE WITH REQUIREMENTS OF CLASSIFICATION DIRECTIVE****ACTIVITY****COMPLETION DATE**

13. DOC consultant submits proposed audit instrument and protocol to DOC. This proposal will address the evaluation of classification management reports and file audits. It will also detail the scope and frequency of such audits.

01/15/93

14. Submission to OCC & LAS for review and comments.

01/18/93

**ACTIVITY****COMPLETION DATE**

15. DOC, OCC & LAS complete review of DOC consultant's audit proposal and submit comments to all parties for review.

02/03/93

16. Parties meet to discuss DOC consultant's audit proposal and proposed revisions, if any.

Week of 02/23/93

17. Adoption of audit instrument & protocol (contingent upon acceptance by LAS and OCC).

TO BE DETERMINED

18. DOC submits proposed classification system performance standards to OCC & LAS for review & comment. This plan will include monitoring component & proposed implementation schedule.

06/04/93

19. OCC & LAS return comments on performance standards to DOC.

06/18/93

20. Parties meet to discuss & finalize performance standards.

Week of 06/28/93

21. Performance standards finalized and adopted.

08/06/93

22. DOC submits proposal for audit of fully operational classification process.

03/01/94

23. OCC and LAS return comments on DOC audit proposal.

03/15/94

24. DOC audit proposal finalized.

04/15/94

**ACTIVITY****COMPLETION DATE**

25. DOC consultant commences system-wide audit of fully operational classification process.

07/06/94

26. DOC consultant completes systemwide audit.

12/31/94

**TASK V - MODIFY DEPARTMENT'S CLASSIFICATION SYSTEM DIRECTIVE****ACTIVITY****COMPLETION DATE**

27. Submit draft revision of Directive #4100 to OCC & LAS for review & comment. Revised directive will include delineation of respective duties of classification and security staff in conducting inmate reclassification.

06/04/93

28. OCC & LAS comments on draft of revised Directive to DOC.

07/02/93

29. Parties meet to discuss revised directive.

Week of 07/12/93

30. Final draft to OCC & LAS for review & comment.

8/16/93

31. Final OCC & LAS comments to DOC.

09/03/93

32. Promulgate revised Directive #4100.

10/01/93

**TASK VI - DETERMINE STAFFING NEEDS AND RESPONSIBILITIES FOR MAINTAINING CLASSIFICATION SYSTEM AT EACH DEPARTMENTAL FACILITY****ACTIVITY**

The Department will review staffing associated with classification to determine the resource level necessary to operate the system effectively. This review will be conducted through facility inspections after the initial clean-up of the IIS Quality Assurance project is complete and will include an analysis of the staffing needed to perform the duties associated

with the integrated Inmate Infraction History and Reclassification Systems.

The Department is committed to insuring that facilities have sufficient equipment and staff with the requisite skills, including data entry skills when necessary, to perform initial classification and reclassification functions.

Following the initial clean-up and assessment of staffing needs, the Department will assess its staffing needs every six months, in line with City budget cycles, and communicate the results to LAS and OCC. Should the Department require additional staff to carry out the elements of the classification plan, the City will take all necessary measures to bring these staff on board expeditiously.

**TASK VII - TRAIN ALL STAFF WITH DESIGNATED RESPONSIBILITIES IN THE FINAL CLASSIFICATION SYSTEM**

| <u>ACTIVITY</u>                                                                                                                                                                                                                                                                            | <u>COMPLETION DATE</u> |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|
| 33. Initial classification orientation and training for all DOC uniformed managers.                                                                                                                                                                                                        | 10/31/92               |
| NOTE: Including content and use of new management reports                                                                                                                                                                                                                                  |                        |
| 34. Classification curriculum for new recruits, Captains and Assistant Deputy Wardens.                                                                                                                                                                                                     | Ongoing                |
| 35. User training for facility staff responsible for classification functions.                                                                                                                                                                                                             | Ongoing                |
| 36. Commencing 10/04/93, Training Academy begins updating existing classification lesson plans for new recruits, Cpts. & ADW's to incorporate newly added components ( <u>i.e.</u> , Infraction History & Reclassification Systems) in accordance with revisions to the current Directive. | 12/03/93               |



**ACTIVITY****COMPLETION DATE**

37. DOC submits draft of updated classification training package to OCC, LAS and Dr. Austin for review.

01/03/94

38. Comments on proposed updated training design due back to DOC.

02/01/94

39. Replace existing curriculum with updated lesson plan.

03/01/94

Pages 1-7 missing in  
original copy.

ANNOTATED COPY OF 1991 CLASSIFICATION WORK PLAN

ACTIVITY PLAN  
INMATE CLASSIFICATION  
NEW YORK CITY DEPARTMENT OF CORRECTION

TASK I

REVISES THE INITIAL CLASSIFICATION SCORING INSTRUMENT

| <u>Activity</u>                                                                                                                                                                                                                                                           | <u>Completion Date</u> | <u>New Disposition</u> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|------------------------|
| Draft a revised classification instrument;                                                                                                                                                                                                                                | 11/90                  | COMPLETED              |
| Simulate classifying the population using the revised instrument. (The simulation was conducted July 1990, using a random sample of the inmate population. This sample was statistically weighted to represent adequately the variables of legal status, sex, age, etc.); |                        | COMPLETED              |
| Revise the Classification Instrument based on the above simulation;                                                                                                                                                                                                       | 1/30/91                | COMPLETED              |
| Submit to Legal Aid and OCC;                                                                                                                                                                                                                                              | 2/4/91                 | COMPLETED              |
| Finalize instrument based on analyses and concerns raised by parties. (Copy of final instrument appended to this plan.)                                                                                                                                                   | 2/8/91                 | COMPLETED              |

## TASK II

### MODIFY THE CURRENT INFORMATION SYSTEM TO ALLOW AUTOMATION OF THE INITIAL SCORING INSTRUMENT

A database program has been designed for the Inmate Information System (IIS) to allow classification staff the capability to enter each individual scoring item for determining the inmate's classification level and the reasons for overrides.

- The IIS changes will be phased in according to the following schedule:

| <u>Activity</u>                                                                                                                          | <u>Completion Date</u> | <u>New Disposition</u> |
|------------------------------------------------------------------------------------------------------------------------------------------|------------------------|------------------------|
| Total numerical score as well as the classification level on the Alpha printout ( <u>i.e.</u> , printout of inmates and classification); | 3/4/91                 | COMPLETED              |
| IIS prototype available for review by LAS and OCC;                                                                                       | 7/1/91                 | COMPLETED              |
| Develop Classification Screen;                                                                                                           | 8/30/91                | COMPLETED              |
| Develop computer-generated classification score and management reports.                                                                  | 9/30/91                | COMPLETED              |

### TASK III

#### MODIFY DEPARTMENT'S CLASSIFICATION SYSTEM POLICIES AND PROCEDURES MANUAL

| <u>Activity</u>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <u>Completion Date</u> | <u>New Disposition</u> |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|------------------------|
| <b>A. Revise Classification Directive</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                        |                        |
| Draft a revised Directive; this will include the development of "managerial override" guidelines and procedures. The revised directive will also detail housing guidelines for security classifications. Specifically, it will define each security classification by appropriate type of housing ( <u>i.e.</u> , cells, dorms, modular, sprungs). It will delineate the process for housing inmates after new admission processing, for notifying inmates of their classification, for reclassifying and, where appropriate, for re-housing inmates. | 3/30/91                | COMPLETED              |
| Review by Classification Policy Review Committee;                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | 4/15/91                | COMPLETED              |
| Redrafted directive to field staff, LAS and OCC;                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | 5/1/91                 | COMPLETED              |
| LAS and OCC return comments on redrafted directive to Department;                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | 5/15/91                | COMPLETED              |
| Address comments and concerns of parties; complete final version;                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | 6/15/91                | COMPLETED              |
| Issue Interim Directive (awaiting final computerized version/instructions).                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | 7/1/91                 | COMPLETED              |

## B. Revise Training Manual

Interim procedures on the revised Classification Screening Instrument have been issued; training for completing the revised form began in April 1991. The revised manual will be issued when all new policies and procedures, including computer procedures, can be incorporated.

| <u>Activity</u>                                        | <u>Completion Date</u> | <u>New Disposition</u>                         |
|--------------------------------------------------------|------------------------|------------------------------------------------|
| Draft of revised training manual to OCC and LAS        | 5/7/91                 | COMPLETED                                      |
| OCC and LAS return comments on revised training manual | 5/21/91                | COMPLETED                                      |
| Department issues final training manual                | 7/1/91                 | Superseded by<br>VII.38-41--12/3/93-<br>3/1/94 |

#### TASK IV

##### TRAIN ALL STAFF WITH DESIGNATED RESPONSIBILITIES IN THE NEW CLASSIFICATION POLICIES AND PROCEDURES

A training effort will be undertaken to ensure that all staff assigned to classification duties are properly trained in classification policies and procedures.

The approach will consist of two days of training in which staff receive instruction on the revised system and are given an opportunity to complete classification forms on actual cases in their facilities to ensure that they understand the scoring process. It will also include a one-day training session on policies and procedures for all supervisors and line staff.

Training effort will begin in April and will be completed by 6/30/91.

NOTE: Academy Training may be postponed should we be near completion of an IIS prototype which could be used at the training sessions. If not, an additional day at the Academy may be necessary in July to ensure each staff member responsible for classification is trained on the computer system.

As is currently the practice, a one-half day training session at the Academy will be scheduled regularly for all new recruits. Classification Staff will continue to train newly promoted Captains and Assistant Deputy Wardens.

New Disposition

Superseded by  
VII.35-41--10/31/92-  
3/1/94

## TASK V

### INFRACTION HISTORY SYSTEM

As described in this work plan's introduction, prior institutional behavior is a critical component of a classification system's ability to predict institutional misconduct. This portion of the plan outlines the dates by which an infraction history component will be implemented. The Department will evaluate and modify the infraction history component as it is integrated into the overall classification system.

Until the IIS system gains the capability of integrating the infraction history information into the classification scoring system, infraction histories will be entered into an independent PC database.

| <u>Activity</u>                                                                                                                                                                                                                                                                            | <u>Completion Date</u> | <u>New Disposition</u> |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|------------------------|
| Design Infraction History System program for Personal Computer database;                                                                                                                                                                                                                   | 12/90                  | COMPLETED              |
| Procure equipment (i.e., personal computers and printers) for the program;                                                                                                                                                                                                                 | 12/90                  | COMPLETED              |
| Develop staffing proposal (including one C/O to supervise the 4x12 tour, two Office Associates and two Office Aides);                                                                                                                                                                      | 11/90                  | COMPLETED              |
| Submission to O.M.B. for January Financial Plan;                                                                                                                                                                                                                                           | 12/90                  | COMPLETED              |
| Staffing Proposal approved by O.M.B.;                                                                                                                                                                                                                                                      | 1/91                   | COMPLETED              |
| Demonstration of Program to various users, LAS and OCC;                                                                                                                                                                                                                                    | 1/31/91                | COMPLETED              |
| Complete the identification and training of staff. NOTE: These positions will be identified by the Vacancy Control Board to mitigate the effects of the Department's impending lay-off proposal. If, however, positions cannot be filled through the Vacancy Control Board, the Department | 5/31/91                | COMPLETED              |



New Disposition

and all other City agencies will need to take all necessary measures to ensure that these staff are on the payroll no later than 7/1/91.

Draft Operations Order to LAS and OCC for review. (Purpose of this Order is to instruct facility personnel on data entry changes; remainder of scoring instructions will be delineated in classification directive.)

6/3/91

COMPLETED

Comments returned by LAS and OCC

6/10/91

COMPLETED

Infraction system to be implemented fully (all data entered into PC database)

6/17/91

COMPLETED

# **TASK VI**

## **OPERATIONS ORDER ON INSTITUTIONAL INFRACTION CARDS**

| <u>Activity</u>                                                                                       | <u>Completion Date</u> | <u>New Disposition</u> |
|-------------------------------------------------------------------------------------------------------|------------------------|------------------------|
| Draft Operations Order on Institutional Infraction cards (to become part of inmate's permanent file); | 4/1/91                 | COMPLETED              |
| Re-draft and circulate;                                                                               | 4/30/91                | COMPLETED              |
| Returned with comments                                                                                | 5/15/91                | COMPLETED              |
| Issue Operations Order                                                                                | 5/30/91                | COMPLETED              |

## TASK VII

### IMPLEMENTATION

The Department began employing the revised classification scoring instrument on April 1, 1991. Complete implementation of the system (by December 1991), including the use of inmate infraction histories, will mean that each inmate will be housed in a unit designated for persons of his/her classification score.

| <u>Activity</u>                                                                                                                                                                                                                                                                                   | <u>Completion Date</u>                 | <u>New Disposition</u>                          |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-------------------------------------------------|
| Implement use of revised Initial Classification Scoring Instrument, excluding history of prior institutional behavior;<br><br>This allows for the immediate development of a classification database to be used for further analysis required to refine housing plans and other related policies; | 4/1/91                                 | COMPLETED                                       |
| Issue interim Classification Directive (See Task III);                                                                                                                                                                                                                                            | 7/1/91                                 | COMPLETED                                       |
| Facilities to submit Institutional Orders to Central Office/Classification Division;                                                                                                                                                                                                              | 9/1/91                                 | COMPLETED                                       |
| Institutional Orders submitted to LAS and OCC for review;                                                                                                                                                                                                                                         | 10/1/91                                | COMPLETED                                       |
| LAS and OCC return comments on Institutional Orders;                                                                                                                                                                                                                                              | 10/15/91                               | COMPLETED                                       |
| Central Office classification staff to complete review of all Institutional Orders;                                                                                                                                                                                                               | 11/8/91                                | COMPLETED                                       |
| Phase in of housing guideline as defined in the Directive; (process should be fully implemented within 120 days -- i.e., inmates will be placed in housing designated for persons of that classification score);                                                                                  | beginning 8/1/91; completed by 12/1/91 | Partly completed; partly superseded by III.9-11 |

New Disposition

Audit facilities as per  
schedule.

See Task IX

Superseded by I.3--  
11/1/92 and IV.14-18,  
23-27--various dates

## TASK VIII

### RECLASSIFICATION SYSTEM

The Classification Directive, scheduled for completion by 7/01/91, will include policies and procedures for reclassifying inmates to account for current institutional behavior and changes in legal status, and will be subjected to the time frames noted within Task III.

The remainder of this section of the Work Plan is to detail the steps necessary to implement a systematic and comprehensive ninety (90) day re-classification review. The purpose is to insure a systematic review of every inmate remaining in custody for a prolonged period.

| <u>Activity</u>                                                                                                                                                                           | <u>Completion Date</u> | <u>New Disposition</u>                         |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|------------------------------------------------|
| Draft Reclassification Instrument to be submitted by Department's consultant;                                                                                                             | 5/15/91                | COMPLETED                                      |
| Review of Instrument by Classification Policy Review Committee;                                                                                                                           | 5/30/91                | Superseded by II.4-5--10/26/92 through 3/19/93 |
| R e v i s i o n o f Instrument/simulated piloting;                                                                                                                                        | 7/30/91                | Superseded by II.4-5 as above                  |
| Re-submission to Classification Policy Review Committee;                                                                                                                                  | 8/1/91                 | Superseded by II.4-5 as above                  |
| Finalized instrument for submission to OCC and LAS;                                                                                                                                       | 9/1/91                 | Superseded by II.4-5 as above                  |
| Staffing analysis completed ;                                                                                                                                                             | 9/1/91                 | Superseded by II.4-5 as above                  |
| Submission through Department of Correction's Management Analysis Unit to OMB for the FY'92 January Financial Plan;                                                                       | 9/30/91                | Superseded by II.4-5 as above                  |
| All City agencies to take all necessary measures to ensure staffing required to conduct reclassification are on payroll, in order to begin pilot of proposed reclassification instrument; | 2/1/92                 | Superseded by II.4-5 as above                  |

## TASK IX

### EVALUATE THE IMPLEMENTATION PROCESS AND MAKE APPROPRIATE CHANGES AS REQUIRED

As implementation begins, an evaluation will be undertaken to ensure that the system is being properly implemented. This assessment will consist of auditing a sample of classified cases at each facility to verify proper scoring of the cases and proper bed assignment. Interviews will be conducted with staff to elicit problems they may be having with the revisions. Based on this information, modifications will be made to correct these identified deficiencies. Classification staff will conduct these audits.

| <u>Activity</u>                                                                                                                                                                                                                                                                                                                                                     | <u>Completion Date</u> | <u>New Disposition</u>                |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|---------------------------------------|
| Begin audits of new admission facilities;                                                                                                                                                                                                                                                                                                                           | 8/1/91                 | COMPLETED                             |
| Each new admission facility audited within 30 days of implementation of the revised Classification Directive;                                                                                                                                                                                                                                                       | 9/1/91                 | Superseded by II.14-18--various dates |
| Begin audits of housing facilities;                                                                                                                                                                                                                                                                                                                                 | 9/15/91                | Superseded by IV.14-18--various dates |
| Audits for compliance with housing guidelines and classification procedures completed for each permanent housing facility;                                                                                                                                                                                                                                          | 12/15/91               | Superseded by IV.14-18--various dates |
| <p>Upon completion of these "phase-in" audits, new admission facilities will be audited every 30 days and housing facilities every 60 days to ensure ongoing compliance with all classification policies and procedures;</p>                                                                                                                                        |                        |                                       |
| The Department will conduct a comprehensive evaluation (based on the computerized database) similar to the conversion simulations done prior to revising the classification instrument. This will be conducted six months from the implementation of the revised instrument. This evaluation will test the validity/predictability of each criterion of the revised | 2/92                   | Superseded by IV.23-27--various dates |

New Disposition

instrument (e.g., age, history of the institutional behavior);

Data available for discussion with all parties;

4/92

Superseded by  
IV.23-27--various  
dates

The review/evaluation of the system, including all modifications, will be completed within 12 months of conversion. The Department will schedule regular review meetings with OCC and LAS during this 12-month period.

## TASK X

### DETERMINE THE STAFFING NEEDS AND RESPONSIBILITIES FOR MAINTAINING THE CLASSIFICATION SYSTEM AT EACH DEPARTMENT FACILITY

Two of the key factors in a successfully implemented and maintained classification system are: (1) ensuring that decision-making power is invested in a strong central unit; and (2) having adequate numbers of staff with appropriate training on board.

The Department plans to engage the services of Dr. James Austin of the National Council on Crime and Delinquency (the consultant who helped redesign the classification scoring instrument) to evaluate present classification staffing patterns at both the Central Office and facility levels. This analysis will be conducted in conjunction with the Executive Director of Inmate Management.

The analysis will determine what type of staff will be required to operate the system at both the Central Office and facility levels. Although the consultant will examine the extent to which existing staff might be redeployed to handle classification, it is possible that additional staff will be required.

| <u>Activity</u>                                                                                                                                                                                                                 | <u>Activity Date</u> | <u>New Disposition</u> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|------------------------|
| Contract language/completion of consultant's extension completed;                                                                                                                                                               | 5/15/91              | COMPLETED              |
| Initial analysis completed;                                                                                                                                                                                                     | 8/30/91              | COMPLETED              |
| Review of analysis by Classification Policy Review Committee;                                                                                                                                                                   | 9/30/91              | Superseded by VI       |
| Submission of analysis to OCC and LAS for review;                                                                                                                                                                               | 10/15/91             | Superseded by VI       |
| If determined that needs exceed Department's ability to redeploy staff, submission of additional staffing needs through Department of Correction Management Analysis Unit for inclusion in FY'92 January Financial Plan to OMB; | 10/31/91             | Superseded by VI       |
| City to take all necessary measures to ensure that these additional staff are on payroll                                                                                                                                        | 2/1/92               | Superseded by VI       |



TASK XI  
SPECIAL HOUSING

| <u>Activity</u>                                                                                                                                                                                                                                     | <u>Completion Date</u> | <u>New Disposition</u>                                                                                                                       |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|----------------------------------------------------------------------------------------------------------------------------------------------|
| OCC and LAS to meet with Deputy Chief for Facility Operations to set schedule for finalizing movement policies for placement of inmates in special housing (e.g., homosexual, punitive segregation, administrative segregation, protective custody) | 5/3/91                 | Not completed -- parties agree to set a schedule and scope for this task in a separate agreement outside of the new classification work plan |

## TASK XII

### CENTRALLY MONITORED CASES

#### USE OF MECHANICAL RESTRAINTS

Centrally monitored cases involve those inmates who, based upon particular criteria (e.g., previous history of escape), are subjected to intensified monitoring and other security precautions. The Department has recently revised its directive addressing centrally monitored cases.

The directive outlining criteria and procedures for use of mechanical restraints ("cuffing orders") is also under revision. Both directives fall within the jurisdiction of the Deputy Warden for Security Operations.

The Department, LAS and OCC will meet by 5/10/91 to agree upon schedules for reviewing these two directives. These schedules will include dates by which the Department will draft -- and the parties will review -- Institutional Orders for implementation in the jails. Once agreed upon, these schedules will be submitted to Court as supplemental components of this Work Plan.

#### New Disposition

Partly completed -- parties agree to set a schedule and scope for this task in a separate agreement outside of the new classification work plan.