



Program Statement

OPI: CPD
NUMBER: 5321.07
DATE: 9/16/99
SUBJECT: Unit Management Manual

1. **PURPOSE AND SCOPE.** To provide direction in the application and implementation of Unit Management in the Bureau.

Unit Management emphasizes decentralization and delegated authority to a multi-disciplinary unit team. A Unit Manager, who supervises the other primary unit team members, including Case Managers, Correctional Counselors, and Unit Secretaries, heads each team. The team also includes the unit officers, an Education Advisor, and a Unit Psychologist, each of whom fulfills a distinct and vital role. The Education Advisor and Unit Psychologist may function on more than one unit. Each team member's role must be clearly defined and identifiable to other staff and the inmate population.

Unit Management's mission is to determine inmate program needs, and monitor participation to encourage pro-social institution and community behaviors that benefit inmates, staff, victims and society. This is accomplished through functional unit management and effective interaction with inmates.

2. **SUMMARY OF CHANGES**

- Team meetings should be scheduled so that at least 25% of the total inmate population per year is teamed during the evening hours;
- Unit coverage is expanded during evening, weekends, and holidays;
- Mandatory training requirements are listed for the Unit Manager; and
- Unit Manager will review and sign the Supervision Release Plan form (BP-522).

3. **PROGRAM OBJECTIVES.** The expected results of this program are:

a. Incidents and inmate behavioral problems will be reduced through frequent interaction between staff and inmates.

b. Unit Managers, Case Managers, and Correctional Counselors will be accessible in the unit daily. This could include touring the unit, holding open houses, and other ways to encourage staff and inmate interaction.

c. All unit staff, consultants, contract staff, Education Advisors, Unit Psychologist, Correctional Officers, interns, and volunteers will be oriented to their assigned unit.

4. **DIRECTIVES AFFECTED**

a. **Directive Rescinded**

PS 5321.06 Unit Management Manual (7/31/96)

b. **Directives Referenced**

PS 1600.07 Occupational Safety and Environmental Health Manual (5/30/96)

PS 3000.02 Human Resource Management Manual (11/1/93)

PS 3906.16 Employee Development Manual (3/21/97)

PS 3932.08 Case Management Training and Reference Guide (8/16/99)

PS 3932.06 Correctional Counselor Training and Reference Guide (3/5/97)

PS 3933.03 Unit Secretary Training and Reference Guide (6/25/98)

PS 5100.07 Security Designation and Custody Classification Manual (9/3/99)

PS 5111.02 Mariel Cuban Detainees (7/8/98)

PS 5180.04 Central Inmate Monitoring System Manual (8/16/96)

PS 5215.05 Youth Corrections Act (YCA) Inmates and Programs (3/17/99)

PS 5251.05 Work and Performance Pay Program, Inmate (12/31/98)

PS 5270.07 Inmate Discipline and Special Housing Units (12/9/87)

PS 5322.11 Classification and Program Review of Inmates (3/11/99)

PS 5325.05 Release Preparation Program, Institution (7/18/96)

PS 5380.05 Financial Responsibility Program, Inmate
(12/22/95)
PS 5500.09 Correctional Services Manual (10/27/97)
PS 5803.07 Progress Reports (3/16/98)
PS 7310.04 Community Corrections Center (CCC)
Utilization and Transfer Procedure (12/16/98)

Master Agreement (March 9, 1998 - March 8, 2001)
5 U.S.C.

5. STANDARDS REFERENCED

a. American Correctional Association 3rd Edition Standards for Adult Correctional Institutions: 3-4118, 3-4123, 3-4124, 3-4173, 3-4178, 3-4209, 3-4246, 3-4385, 3-4389

b. American Correctional Association 3rd Edition Standards for Adult Local Detention Facilities: 3-ALDF-1G-08, 3-ALDF-3A-07, 3-ALDF-3A-12, 3-ALDF-3B-11, 3-ALDF-3D-09, 3-ALDF-4G-01

c. American Correctional Association 2nd Edition Standards for Administration of Correctional Agencies: 2-CO-4A-01, 2-CO-4G-01

d. American Correctional Association Standards for Adult Correctional Boot Camp Programs: 1-ABC-3A-06, 1-ABC-3A-11, 1-ABC-3B-06, 1-ABC-4F-06, 1-ABC-4G-01

6. PRETRIAL/HOLDOVER AND/OR DETAINEE PROCEDURES. Procedures specified in this Program Statement apply to both pretrial and holdover inmates, as well as INS detainees, except for Section 12 entitled "Unit Release Preparation Program," which only applies to designated inmates.

7. PROGRAM APPROACH. The concept of Unit Management is to place inmates in close physical proximity to the staff working with them so that staff and inmates are easily accessible to one another daily. This proximity enhances the quality of relationships between staff and inmates by providing:

- increased frequency of contact,
- direct observation of inmate behavior and potential problems, and
- increased inmate access to the staff who make primary decisions about them.

Since inmates may be assigned to particular units based on differences in their supervision and program needs, Unit Management often divides inmates into well-defined groups which

are identified with a specific unit and with staff who are responsible for delivery of specific programs and services.

8. ROLE OF THE UNIT MANAGER. The Unit Manager directs and manages the housing unit and is responsible for the unit's operation and security, within appropriate policy, as well as for planning, developing, implementing, supervising, and coordinating individual programs tailored to meet the particular needs of inmates in the unit. Such programming often is highly innovative and complex and requires close supervision and evaluation. This requires expertise to formulate and write programs as well as an ability to evaluate program effectiveness realistically to meet prescribed goals.

In institutional settings without a traditional Unit Management structure, such as jails or satellite camps, the Unit Manager's role, as described in this Program Statement, shall be filled by an appropriate alternate staff member. Bargaining unit staff will be asked if he/she desires to act in that capacity prior to making an acting assignment. This may be a Jail or Camp Administrator, or in some instances, the designated Assistant Administrator.

The Unit Manager shall ordinarily chair all Unit Discipline Committee (UDC) hearings.

The Unit Manager works closely with other department heads to achieve a mutually beneficial working relationship and use of each other's expertise.

The Unit Manager is responsible for the quality control of all correspondence and programs generated at the unit level. Unit Managers who are not former Case Managers must complete the Case Management Cross Development Course (see Section 18).

Through a memorandum to the Captain, Unit Managers shall have input into the performance evaluation of Correctional Officers assigned to their units. A copy of that memorandum will be provided to the officers concerned.

The Unit Manager has the latitude, after consulting with the Captain and Associate Warden, to alter post orders to closely fit the unit's mission. Any changes which impact working conditions will be accomplished in accordance with the Master Agreement. The Unit Manager, in cooperation with the Captain's staff, shall maintain inventory and accountability of all tools assigned to the unit. The Unit Manager is to coordinate work requests for repair of locks and security devices with the Captain.

9. STAFF ACCESSIBILITY TO INMATES. Unit Managers, Case Managers, and Correctional Counselors will be accessible in the unit daily. This could include touring the unit, holding open houses, and other ways to encourage staff and inmate interaction. To enhance staff continuity, Case Managers, Counselors, and Unit Secretaries will not be arbitrarily moved between various housing units. Unit staff whose offices are not located in the unit shall establish schedules to provide ready access for unit inmates. Unit Managers shall schedule unit staff's working hours to ensure that their duties do not detract from accessibility. Unit staff schedules shall be posted to ensure ready access to inmates. In order to foster better unit staff accessibility, no Case Managers, Counselors and/or Unit Secretaries shall be required to work as Correctional Officers on an inequitable basis with or to other institution staff. Caseloads for Case Managers and Counselors will be reviewed by Management on a regular basis in an effort to minimize the negative impact that large caseloads have on staff.

While either the Unit Manager, Case Manager, or Counselor must make at least daily visits to inmates housed in the institution hospital or special housing units, the Unit Manager shall visit them at least weekly. Unit staff (Unit Manager, Case Manager, or Counselor) shall also visit inmates housed in community hospitals at least weekly. These visits will be made during duty hours. A government vehicle will be provided for use in commuting to the community hospital if requested.

Unit staff are strongly encouraged to periodically visit inmates on job and program sites.

10. UNIT RULES AND REGULATIONS. Unit rules and regulations shall be included in all inmate orientation materials and posted on inmate bulletin boards in both Spanish and English. Inmates shall wear appropriate clothing within the living unit. Unit staff shall monitor inmate dress. Consideration must be given regarding clothing, for those who work shifts other than normal work call. The rules and regulations should include any:

- television/recreation rules;
- quiet hours/lights out;
- personal property;
- room/cell assignments;
- intra-unit visiting; and
- inmate dress "code."

Additionally, the unit rules and regulations shall be incorporated into the unit officer's post orders.

11. **SCHEDULE OF UNIT PROGRAMS, SERVICES, AND ACTIVITIES.** The Unit Manager shall develop a schedule of unit programs, services, and activities which is specific as to such details as time, place, frequency, title, etc. This shall be a current document, maintained continuously, and posted for easy inmate and staff access. This schedule shall contain an explanation and list of all unit programs, services, and activities such as the following (when appropriate):

- Town Hall meetings;
- Counseling groups;
- Classification and Program Review meetings;
- Unit recreation programs;
- Meal rotation;
- Mail procedures;
- Grooming procedures; and,
- Institution religious programs.

Individual and unit group counseling programs, conducted by a Correctional Counselor, are encouraged and should be available in each unit. It is recommended that each Counselor provide a minimum of four hours counseling per month. This could be in the form of individual counseling, or structured group counseling, or any combination of the two.

Unit Managers should schedule day and evening team meetings so that at least 25% of the total inmate population per year is teamed during evening hours, after the evening meal has been served (see Section 14).

12. **UNIT RELEASE PREPARATION PROGRAM.** Each unit must offer a Unit Release Preparation Program for unit inmates with the exception of the following:

- Holdovers;
- Pretrial inmates;
- Administrative Maximum Facility;
- INS detainees; and
- Deportable aliens who meet the following criteria:
 - IHP CMP WD;
 - immigration offenses;
 - deportation history; and
 - no verifiable immediate family ties

With the exception of an Administrative Maximum Facility, pretrial inmates, holdovers, and INS detainees, each unit must offer a Unit Release Preparation Program for unit inmates. This program shall provide each inmate the opportunity for individual

attention from unit staff no later than 11 to 13 months prior to release. This may occur during the inmate's Program Review meeting. Unit staff are to evaluate the inmate's eligibility for placement in a Community Corrections Center (CCC), and are to provide each inmate the opportunity to discuss concerns prior to release. Staff should refer to the Program Statement on the Institution Release Preparation Program for further instructions.

Inmate participation in the Unit Release Preparation Program will be documented in SENTRY by unit staff.

Release plans shall be developed in direct relationship to the inmate's needs. Unit staff shall discuss release procedures with the inmate, including, but not limited to:

- transportation;
- gratuity;
- clothing; and,
- other areas inherent in the release process.

Unit staff shall make reasonable efforts to assist inmates in obtaining appropriate release documents, which may include a social security card, birth certificate, or other appropriate documents to assist with the inmate's release.

The June 9, 1995, Memorandum of Understanding (MOU) between the Bureau and the Administrative Office of the U.S. Courts (Attachment B) addresses pre-release planning for **all** methods of release including parole, special parole, military parole, mandatory release, as well as supervised release, through the use of a Supervision Release form (BP-522). Note in the remarks section if the "legal residence" is different than either the sentencing district or releasing district. The MOU establishes a standard time-frame for Bureau staff to submit an inmate's release plan to the U.S. Probation Office (at the time of CCC referral or at least 90 days prior to release directly to the community) (excluding unusual circumstances).

The MOU also makes U.S. Probation Offices solely responsible for preparing and completing the Conditions of Supervision (Form 7A) (refer to Attachment B, Page 5 for further instructions).

13. UNIT STAFF ORIENTATION PROGRAM. The Unit Manager shall provide unit orientation for all persons assigned to the unit; Case Managers, Counselors, Secretaries, Correctional Officers, Education Advisors, Unit Psychologists, consultants, contract staff, interns, and volunteers assigned to the unit for a quarter. For new unit staff, the orientation shall be completed within three working days after that staff member arrives on the

unit. The "Staff Orientation Checklist" (Attachment A) may be used as a guide.

14. **HOURS OF DUTY.** The Unit Manager shall establish the staff's working hours in accordance with the Master Agreement. During the course of a year, the Associate Warden (Programs) shall monitor the unit schedule. The schedule must be posted conspicuously in the unit for viewing by both staff and inmates. The following guidelines should be followed when the unit staff work schedule is developed:

- The Unit Manager shall be on duty at least one weekend day or holiday day per month (excluding time as Institution Duty Officer). Unit Managers are encouraged to be present two days per month on weekends or holidays to provide sufficient support for other staff and to monitor unit operations.
- Every Unit Manager, Case Manager, and Correctional Counselor will be required to work at least one late night per week (Monday - Friday). A "late night" is defined as a shift that ends no earlier than 9:00 p.m.
- In establishing work schedules, Unit Managers may vary evening and weekends among staff provided they are on duty an equitable period of time through these hours. For example, if Counselor A prefers evenings, and Counselor B prefers weekends, schedules can be developed accordingly, provided presence during the evening and weekend period as a total is equitable.
- Unit schedules shall be established to provide coverage by Case Managers and Counselors on weekends and holidays.
- Unit Managers will schedule day and evening team meetings so at least a portion of the team meetings are held in the evening hours, after the evening meal has been served. At least 25% of the total inmate population per year must be teamed during evening hours. During the week or other periods of time, the evening team is being held, schedules may have to be adjusted for unit staff. Additionally, the five "late night" concept during this time may not be practical.
- Requests for flexible and/or compressed work schedules may be negotiated locally as provided by the Master Agreement and in accordance with Title 5 U.S.C.

15. **UNIT STAFF MEETINGS.** Unit staff meetings shall be scheduled at least monthly, and the Unit Manager, Case Managers, Counselors, and Unit Secretary shall attend unless prevented by leave or scheduling conflicts. An education advisor, psychology services representative, and the unit officer are encouraged to attend. The Unit Manager shall chair the meetings and encourage all team members to participate. The Unit Manager shall maintain and distribute minutes of each meeting to the Associate Warden, and other staff as appropriate.

The unit staff meeting is the time for all team members to discuss new Program Statements and topics of mutual concern, inform others of important issues, plan for the future, alter unit programs and activities, and generally promote the "team concept."

A Union representative must be invited to attend any staff meeting which includes a discussion of grievances or new or changing conditions of employment affecting bargaining unit employees in accordance with the Master Agreement.

16. **UNIT FIRE ESCAPE PLAN AND FIRE DRILLS.** A schematic of the unit's fire escape plan shall be posted conspicuously on each floor of the unit in both English and Spanish. If there is a significant number of inmates whose native language is other than English or Spanish, the unit fire escape plan shall also be posted in that language. The Unit Manager is to coordinate fire drills with the Captain and Safety Officer in accordance with the Occupational Safety and Environmental Health Manual.

17. **UNIT SANITATION.** Each Unit Manager shall maintain a system to ensure the highest levels of sanitation are sustained. The Unit Manager and Correctional Services staff assigned to the unit share responsibility for the levels of unit sanitation. Unit files and post orders shall include:

- Standards for unit sanitation;
- Unit sanitation supply requisition procedures;
- A description of unit orderly responsibilities;
- Staff responsibilities for supervision of the orderlies;
- Staff responsibilities for sanitation inspections and how often/when they occur;
- An explanation of how unit sanitation is assessed;
- A description of any recognition/reward programs associated with unit sanitation; and,
- Any special unit concerns.

The Unit Manager shall retain a copy of the above documentation and provide a copy to the Correctional Officers assigned to the unit.

18. **TRAINING.** Training has been determined to be the most effective method of preparing newly selected Unit Managers for the demands of their new positions. Accordingly, the following courses are required:

- Case Management Cross Development Course (24012), either prior to or within the first two months on the job, for Unit Managers not previously serving as Case Managers.
- Unit Discipline Committee (UDC) Self Study (51002) within three months on the job.
- Central Inmate Monitoring Certification (51267) within three months on the job. Recertification is required every three years.
- Core Skills Management Training (61162) (MSTC Funded) within nine months of entry into the position, unless previously completed.
- Cost Center Management (13003) within six months of appointment unless previously completed the "Financial Training for Management Staff" course.
- Introduction to Supervision (60011) within nine months of entry into position unless previously completed.

Kathleen Hawk Sawyer
Director

PS 5321.07
9/16/99
Attachment A

Form BP-S607, STAFF ORIENTATION, is available on BOPDOCS.

**MEMORANDUM OF UNDERSTANDING BETWEEN THE FEDERAL BUREAU OF PRISONS
AND THE PROBATION AND PRETRIAL SERVICES DIVISION OF THE
ADMINISTRATIVE OFFICE OF THE UNITED STATES COURTS REGARDING
INMATE RELEASE PLANNING**

Background

Defendants sentenced to a term of imprisonment are released to the supervision of the United States Probation System through several methods: parole, special parole, military parole, mandatory release, and supervised release. Planning early during the period of confinement for the inmate's eventual return to the community is an important element of addressing and resolving release problems. Probation offices should investigate promptly prerelease requests and accept offenders for supervision who have developed release plans which are likely to help the offender succeed under supervision, regardless of where the offender was sentenced originally. The Federal Bureau of Prisons (BOP) and the Administrative Office of the United States Courts, Probation and Pretrial Services Division (AOPPSD), have agreed to work closely on release planning to ensure that offenders have a smooth transition from prison to the community, thereby increasing the likelihood of a successful supervision experience. A Supervision Release Plan form has been developed toward this end.

In planning for release, the BOP has the responsibility to provide prisoners with an opportunity to plan for their release while in prerelease custody and the United States Probation System has the responsibility to assist in the prerelease process. Title 18 U.S.C. § 3624(c) addresses prerelease custody, which is designed to provide a prisoner with "a reasonable opportunity to adjust to and prepare for his reentry into the community." It states that "...The United States Probation System shall, to the extent practicable, offer assistance to a prisoner during such prerelease custody."

The BOP has the responsibility to provide all pertinent information to the probation officer that would bear on the safe and effective supervision of the releasee. This information shall include, but not be limited to, any record of medical, psychiatric, psychological, or substance abuse treatment.

Release Planning

All inmates have the responsibility to develop and submit to the BOP or Community Correctional Center (CCC) staff a suitable release plan for investigation and verification by the probation office in the district of supervision. This plan is submitted on

the Supervision Release Plan form (see attached). BOP and probation staff will advance the plan through guidance and other support services, including prerelease workshops conducted by prison and probation staff.

Traditionally, probation officers have recommended that the United States Parole Commission approve the release plans for those inmates in the custody of the Bureau of Prisons who are eligible for parole. When no adequate residence is available for an inmate, the officer may coordinate with the U.S. Parole Commission to secure placement in a CCC as part of the release plan. The Parole Commission may delay release or grant parole with a special condition requiring that the inmate reside in a CCC for up to 120 days.

Inmates who have been sentenced to confinement pursuant to the Comprehensive Crime Control Act of 1984, **however, must be released** at the expiration of their term. Since virtually all of these sentenced inmates have a term of supervised release to serve after imprisonment, probation officers and BOP staff must work together closely to develop the most suitable release plan.

Release plans may include placement in a CCC normally for a period of up to 180 days to afford the inmate a reasonable opportunity to develop a suitable release plan. The BOP ultimately determines an inmate's eligibility for CCC placement. When no adequate release plans have been developed and an inmate will be released to supervised release directly from an institution, probation officers should seek modification of the conditions of release to include a special condition that the inmate reside at a CCC. See 18 U.S.C. § 3583(e)(2). Inmates may also waive a formal hearing on modification of conditions and agree to be placed in a CCC.

The BOP may designate an inmate to any available penal or correctional facility that the Bureau determines is appropriate and suitable. A CCC meets the definition of a penal or correctional facility. See 18 U.S.C. § 3621(b). The BOP shall, to the extent practicable, ensure that a prisoner serving a term of imprisonment spends a part of the term to be served under conditions that afford the prisoner a reasonable opportunity to adjust to and prepare for reentry into the community. See 18 U.S.C. § 3624(c). The BOP may designate inmates to a CCC and may place inmates in a CCC for more than the last 10 percent of the term or more than 6 months when appropriate. Title 18 U.S.C. § 3624(c), however, restricts the Bureau in placing inmates on home confinement to 6 months or 10 percent of the sentence, whichever is less.

District of Supervision

Offenders should be released to locations where they have the greatest likelihood of a successful community adjustment.

Accordingly, there are many legitimate reasons why inmates would want to be released to a district other than the district in which they were sentenced. Some examples are: previous places of residence may no longer be a possibility after a lengthy period of incarceration; with over 60 percent of inmates incarcerated for drug-related offenses, many offenders seek a new environment with fewer ties to past criminal associates; family members or religious groups may be offering much needed support in a new location; or offenders may never have had a lasting tie or meaningful residential status in the sentencing district. In the process of verifying a proposed release plan, officers should remain sensitive to the complexities of an offender successfully establishing a law-abiding lifestyle.

Following investigation of the release plan the probation office will respond promptly with a decision as to the acceptability of the plan. To this end, home confinement for up to 6 months or 10 percent of the sentence, whichever is less, may be used as well as referrals to CCC's for up to 180 days. In the exceptional case where a proposed release plan has not been verified as a viable plan by the probation office and a placement in a CCC is not an option, the BOP will release the offender to the sentencing district for supervision. However, the probation office and the BOP must make every effort to develop an acceptable release plan.

Plan Approval

During final release planning, at least 90 days before a scheduled release directly to the community or at time of referral to a CCC, BOP staff will forward release planning materials to the district of supervision. When the district of supervision is the sentencing district, BOP staff shall forward the Supervision Release Plan form with the final progress report to the probation office in the sentencing district for verification of residence and employment. When the proposed district of supervision is not the sentencing district, BOP staff will forward the following release planning materials: supervision release plan; sentencing computation information; the final institution progress report; the Judgment and Commitment Order; and the presentence investigation report. Additionally, a copy of the proposed supervision release plan shall be forwarded to the probation office in the sentencing district. When a reasonable plan can be verified, the plan should be approved.

Notice of Release and Arrival

At release, BOP or CCC staff will provide the inmate with a copy of the Notice of Release and Arrival form (see attached) that directs the inmate to report to the United States Probation Office within 72 hours of release. If the inmate is subject to a period of supervision under the jurisdiction of the United States Parole Commission, BOP staff will provide the inmate with a parole certificate before the inmate's release. A copy of the Notice of Release and Arrival will also be sent to the sentencing district and the supervision district if it is different than the sentencing district.

The form 7A, Conditions of Supervision, will be prepared by the supervising district upon the initial report of the offender. The probation officer will review and explain the standard and special conditions imposed by the court. The offender will sign the form to acknowledge receipt and understanding of the terms and conditions and will be provided a copy. If the offender refuses to sign the 7A, the probation officer should note this on the form, sign and date the form, and provide the offender with a copy. The supervision district will also prepare and submit the FBI Flash Notice.

Treaty Cases

The United States Parole Commission retains jurisdiction over international treaty transfer cases in that the Parole Commission is empowered to reestablish a specific term of confinement and impose a term of supervised release in accordance with applicable sentencing guidelines for inmates transferred to the United States under the treaty transfer program. The AOPPSD and the BOP agree to provide the Parole Commission with the same services they have agreed to provide each other, as indicated in this memorandum.

\S\
Eunice R. Holt Jones
Chief, Probation and Pretrial Services Division

June 9, 1995
Date

\S\
Kathleen M. Hawk
Director, Federal Bureau of Prisons

June 9, 1995
Date

PS 5321.07
9/16/99
Attachment C

Form BP-S522.051, SUPERVISION RELEASE PLAN, is available on BOPDOCS.