



Resource Guide for
**Jail
Administrators**

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National Institute of Corrections**
320 First Street, NW
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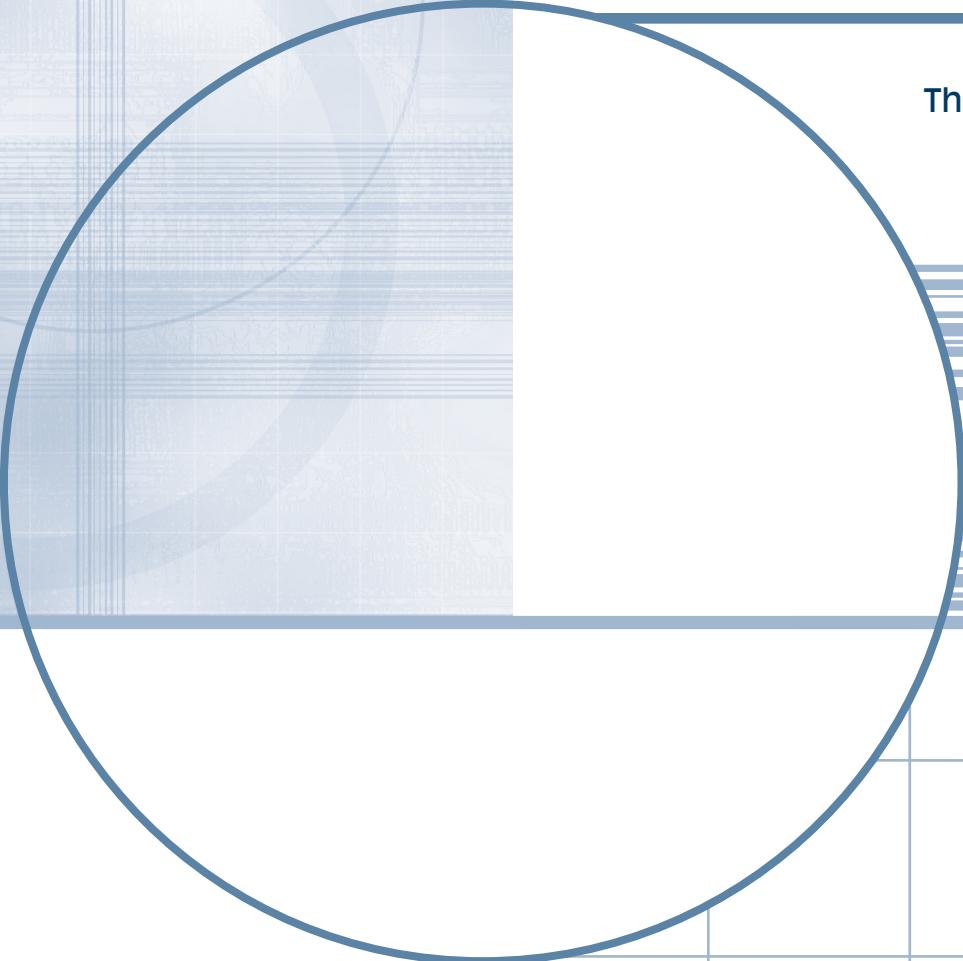
Morris L. Thigpen
Director

Larry Solomon
Deputy Director

Virginia A. Hutchinson
Chief, Jails Division

Alan L. Richardson
Project Manager

**National Institute of Corrections
World Wide Web Site**
<http://www.nicic.org>



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Mark D. Martin
Thomas A. Rosazza

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Foreword

Local jails are highly complex organizations. On the most basic level, the jail must provide its inmate population a full array of services, including meals, medical and mental health care, clothing and linens, laundry, visitation, mail and telephone, recreation, religious programs, and access to courts and attorneys. Complicating this task is the diversity of needs within the inmate population, the daily processing of inmates through the intake and release functions, and the necessity of maintaining the safety and security of staff, inmates, and the community, which carries a high degree of liability. The jail administrator must lead, manage, and supervise all operations of the jail and its employees and try to keep the agency free of litigation.

Few training programs or work experiences prepare individuals for the breadth of responsibilities they assume when becoming a jail administrator. Newly appointed administrators not fortunate enough to have mentors or a strong and capable administrative staff have often found themselves learning their role and responsibilities by trial and error. Yet the jail administrator's performance directly affects the security of the jail and the safety of staff, inmates, and the community the jail serves.

Although publications on various topics in jail administration are available, there has been no comprehensive desk reference that could anchor jail administrators' thinking in sound correctional practice and guide their efforts in administering a safe, humane, constitutional jail. This guide was developed to fill that gap. It provides general information essential to the jail administrator's understanding of the role of the jail within the local criminal justice system and the jail's relationship to the broader community. It offers practical information on jail operations and includes a series of assessment checklists for use in evaluating jail conditions and the completeness of services and operations. The guide also includes specific information to aid new administrators in the first few critical months on the job.

Each agency has a different operational philosophy, and no single source of information can hope to address every issue a jail administrator may face. We hope this guide will serve as a basic reference for sound correctional practice in operating a local jail, both for administrators new to the position and veteran administrators who want to improve their effectiveness.

Morris L. Thigpen

Director

National Institute of Corrections

Acknowledgments

The *Resource Guide for Jail Administrators* was developed to enhance the leadership skills, knowledge, and capabilities of jail administrators on issues of basic jail administration. Jail administrators should find this document useful as a resource, reference, personal development guide, and problem-solving tool. The guide is based on a review of the current literature in the field, input from knowledgeable jail professionals, and the authors' experiences as consultants and practitioners.

We thank the individuals who have contributed to the development of this document. National Institute of Corrections (NIC) staff, in particular, played several key roles. Virginia Hutchinson, Chief of the Jails Division, and Kristin Keller, Vicci Persons, and Alan Richardson, Correctional Program Specialists with the division, spent many hours reviewing and editing preliminary drafts of the guide. Alan Richardson served as the project manager for NIC and was the key liaison between NIC and the authors. His leadership, insight, and support were instrumental in keeping the project on track.

Virginia Hutchinson, Kristin Keller, and Thomas Reid, Ph.D., a Correctional Program Specialist within NIC's Academy Division, authored chapter 9, "Inmate Behavior Management." Dr. Reid also authored chapter 7, "Staff Training."

We appreciate the contributions of the advisory panel members (page vi), who shared their knowledge and took time out of their busy schedules to review and comment on drafts of the document. Thanks also go to Barbara Rixstine, who edited the initial draft, and to the following staff at Aspen Systems Corporation, who took the document from draft to finished publication: Janet McNaughton for patience and guidance in editing the final version of the guide and coordinating its production, Beverly Sullivan and Orit Chicherio for careful quality control and additional editorial support, and Rita Harding for the publication's crisp and elegant design.

*Mark D. Martin
Thomas A. Rosazza*

Advisory Panel

Larry Fischer

Administrator

Broome County Correctional Facility

Binghamton, New York

Mark Fitzgibbons

Director

Beaufort County Detention Center

Beaufort, South Carolina

Cheryl Gallant

Former Administrator

Penobscot County Jail

Bangor, Maine

James Hart

Chief

Hamilton County Corrections Department

Chattanooga, Tennessee

Leslie Johnson

Administrator

Eddy County Jail

Carlsbad, New Mexico

Richard Kaledas

Administrator

Mecosta County Jail

Big Rapids, Michigan

Helen Lukacs

Administrator

Solon Detention Center

Solon, Ohio

George Mathias

Administrator

Adams County Detention Facility

Brighton, Colorado

William McClure

Detention Specialist

Bureau of Indian Affairs

Office of Law Enforcement Services

Albuquerque, New Mexico

Martin Ordinans

Director

Office of Detention Facilities

Wisconsin Department of Corrections

Milwaukee, Wisconsin

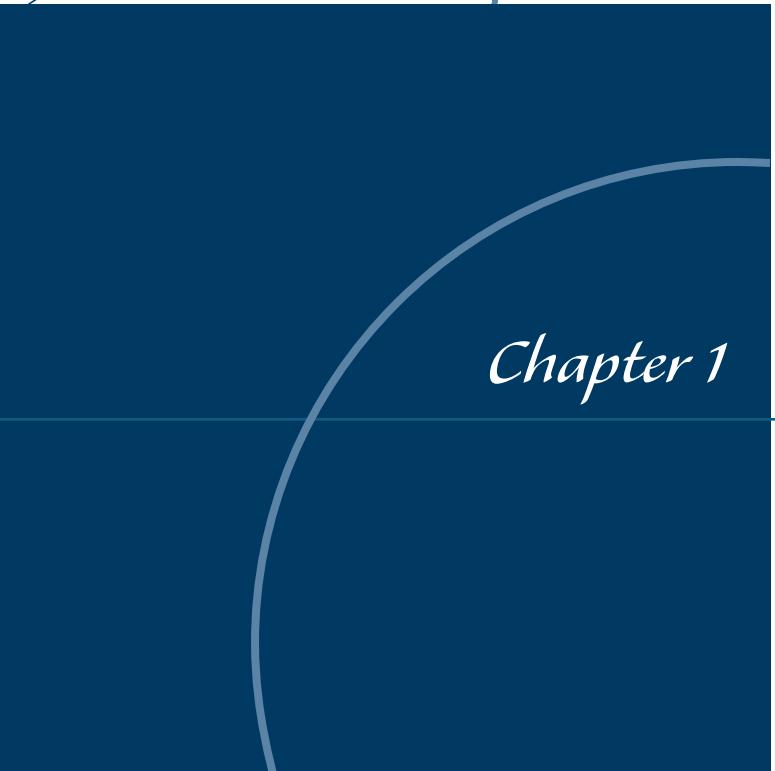
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Chapter 1

Introduction



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Many recent changes have increased the complexity of operating the local jail. Today, the administrators of the more than 3,000 jails in the United States face enormous challenges in dealing with issues such as crowding, inadequate facilities, understaffing, and litigation. The solutions to these issues are no less complex. Despite the challenges, administrators are expected to operate their facilities in a legal, safe, and efficient manner.

The administrators of our nation's local jails have widely varying backgrounds, experience, and expertise. Often they come to the position with some administrative or management background but with minimal knowledge or skills specific to overseeing jail operations. Once appointed, many jail administrators have access to little or no training specific to their jobs. Training budgets are often limited, and the few training programs that are specifically designed for jail administrators reach only a small minority.

Although a variety of publications on topics related to jail administration are available, no concise and practical guide to jail administration exists to address these needs. This document is intended to fill that void.

Roles of the Jail Administrator

To effectively manage the jail in today's complex environment, jail administrators must be capable of handling the multiple roles of leader, manager, and supervisor. Moreover, these responsibilities extend beyond the walls of the

jail into the local community. In the *leadership* role, the jail administrator's responsibilities include:

- Defining the jail's mission and setting goals to achieve that mission.
- Establishing policy to guide the actions of staff and the organization in day-to-day operations.
- Motivating staff and aligning staff's personal goals with those of the jail.
- Serving as a liaison to the local criminal justice system and the community.

In the *managerial* role, the jail administrator's responsibilities include:

- Implementing policy by giving staff thorough written directives, providing training on those directives, and supervising staff as they carry them out.
- Monitoring activities and assessing results by collecting and analyzing performance data on a regular basis.
- Disseminating information internally to staff and inmates and externally to criminal justice system officials, the funding authority, and the community.
- Managing and allocating budgets, staff, and other resources.
- Solving problems and taking preventive action on issues before they escalate into major problems.

- Managing the organization's response to crisis situations and emergencies when they do occur.

In the *supervisory* role, the jail administrator's responsibilities include:

- Overseeing day-to-day operations by staying current on what is happening in the jail and being visible and available.
- Monitoring compliance with policy, standards, and legal requirements through the establishment of a systematic internal inspection and review process.
- Mentoring and coaching staff to elicit desired behaviors and develop talent.
- Correcting and disciplining staff to redirect underperformers and address misconduct.
- Monitoring staff performance through regular performance reviews and quality assessments.

This manual is intended to help jail administrators better understand these roles and provide information to guide personal development in areas where the administrator's skills are limited.

About This Manual

No single source of information is comprehensive enough to cover all aspects of jail administration and operations. Furthermore, jails differ in size, organizational configuration, and philosophy, and the laws and regulations that govern local jails vary from state to state. This guide is intended to serve as a basic desk reference for general information about sound correctional practice that should apply to jails regardless of these differences. It is also intended as an administrative guide that offers jail administrators:

- A personal development guide to enhance leadership skills and effectiveness.

- A resource that provides basic information on critical aspects of jail operation and management.
- A reference that directs the jail administrator to other resources for more indepth information on particular topics.
- A tool, complete with assessment instruments and strategies, to aid the jail administrator in assessing his or her current facilities and operations.
- A problem-solving guide to aid in addressing issues, managing liability, and improving operations.

This guide was developed for use by all jail administrators, but especially for those who are new to their positions or who have been in the position for some time without benefit of training. It offers practical information on various aspects of jail operations and includes assessment tools for use in evaluating those operations and making improvements. The guide also includes information to help new jail administrators get off to a positive start in the first few months after their appointment to the position.

Chapter Organization

Each chapter of the *Resource Guide for Jail Administrators* is organized as follows:

- **Overview.** This section briefly explains the content and direction of the chapter.
- **Legal Requirements and Standards.** Drawing on statutes, case decisions, state standards and codes, and the written standards of professional organizations, this section lists the general legal principles relevant to the topics covered in the chapter.
- **Topic Sections.** The topic sections address the subject matter of the chapter and, in many cases, describe methods for implementing recommended practices. The topic



sections also include **Tip for Administrators** sidebars that offer guidance for improving the efficiency of jail operations or enhancing the administrator's ability to manage the jail effectively.

- **Recommended Resources.** This section lists easily accessible resources and publications where the jail administrator may learn more about the topic presented. A section containing abstracts of many of the recommended resources and publications is provided as appendix A.

Assessment Checklists

To aid newly appointed administrators in learning about their jails and the overall status of the jail's operation, a series of assessment checklists is included as appendix C. These checklists, which veteran jail administrators and others may find useful in periodically assessing the performance and effectiveness of jail operations, address the following areas:

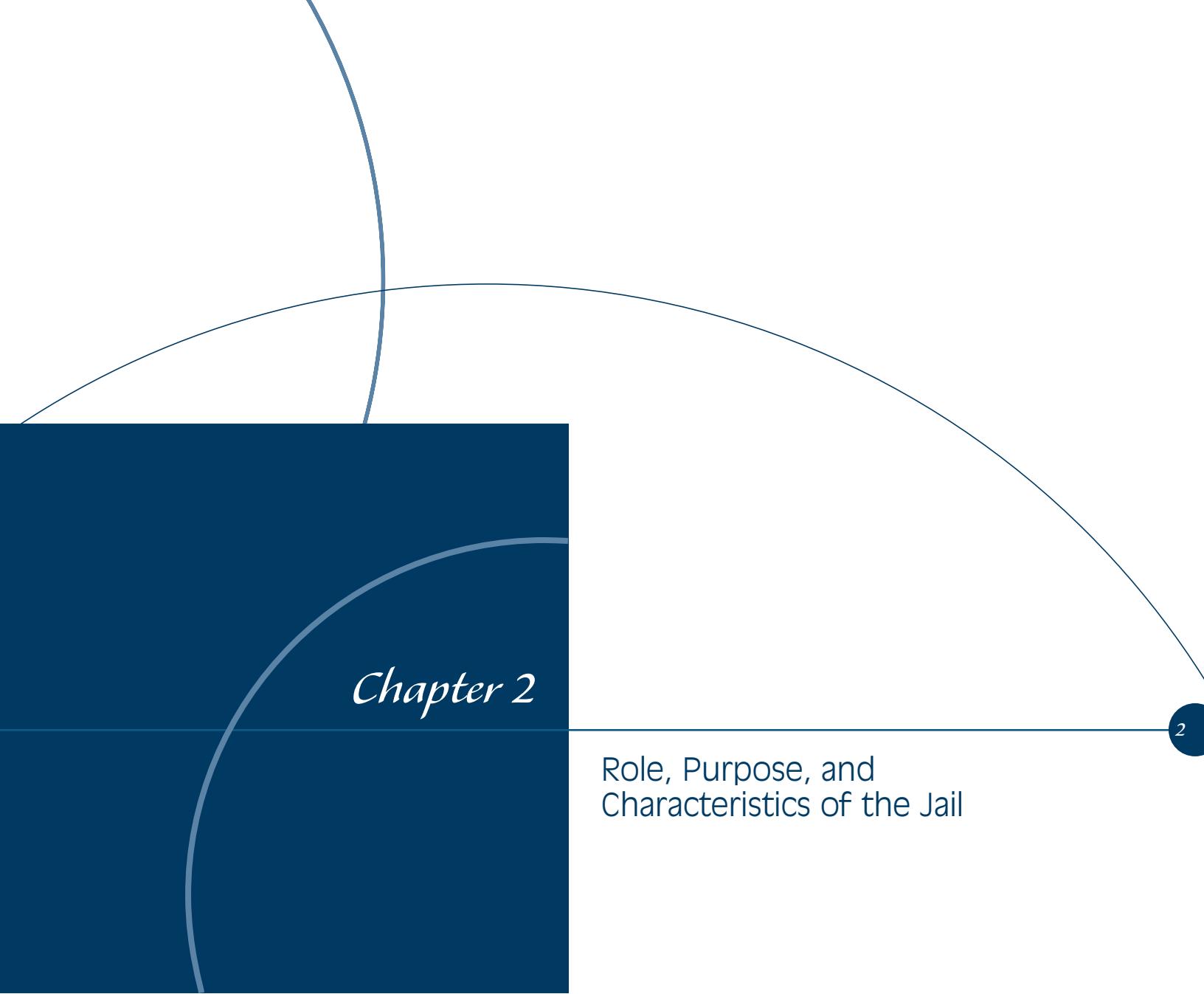
- Statutes, Standards, and Case Law.
- Planning, Budgeting, and Human Resource Management.
- Community Partnerships and Media Relations.
- Policies and Procedures, Post Orders, and Documentation.
- Monitoring and Assessment.
- Jail Facilities.
- Staffing, Recruitment, Hiring, Retention, and Scheduling.

- Training.
- Security.
- Safety.
- Emergency Preparedness.
- Inmate Services and Programs.
- Inmate Behavior Management.
- Inmate Discipline and Grievance.
- Special Management.
- Intake and Release.

Using These Materials

You, as jail administrators, are encouraged to use this guide as an ongoing reference and resource. Although you may find that your role in some of the areas covered in the guide (e.g., dealing with the media or budget development) is limited, it is still to your advantage to become more knowledgeable in these areas because you may be called on to assume a greater role in one or more of them in the future. Administrators with some knowledge of areas for which they are not directly responsible are also better able to support their chief executive officers or others who do have such responsibility.

The materials presented in this guide are not intended to establish policy, procedure, or a standard of care for particular jails. Each jurisdiction has its own laws, standards, and guidelines regarding the topics covered herein. You, as a jail administrator, must abide by the requirements applicable to your own jurisdiction and should consult with your legal advisor before making changes in policies and procedures.



Chapter 2

Role, Purpose, and
Characteristics of the Jail



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Role, Purpose, and Characteristics of the Jail

Overview

This chapter provides a general overview of the role and purpose of the jail, how jails are administered, and characteristics of the jail population. It also addresses the impact of litigation and standards on jail operations. The chapter concludes with a description of the essential elements of effective jails, most of which are considered in greater detail in later chapters of this guide.

Legal Requirements and Standards

1. The jail and the authority to incarcerate are established by statute in most states.
2. The operation of the jail is governed by statutes, administrative regulations, case law, and local ordinances.
3. Professional standards establish guidelines for jail conditions and operations that are intended to reflect case law requirements and good correctional practice.

How Local Jails Are Administered

In the United States there are approximately 3,500 local jails, about 80 Indian country jails, and numerous municipal lockups. Most of the local jails are operated by local government; however, there are six state-run jail systems. The majority of county jails are the responsibility of sheriff's departments, and the sheriff may appoint the facility's jail administrator. In some jurisdictions, jails are administered by a director of corrections appointed by a local governing board. Municipal jails are typically run by local

police departments. Indian country jails are either operated directly by the Bureau of Indian Affairs or by tribal governments under contract with the Bureau or through self-governance provisions in the law.

The authority to establish and operate a jail is set by statute in many states. The jail and its operation are governed by various regulations and codes, including jail standards, fire codes, health codes, and building codes. The existence of these codes and the administering agency's enforcement authority differ from state to state. Various federal laws and codes such as those established under the Occupational Health and Safety Act, Americans With Disabilities Act, and Equal Employment Opportunity Act (to name a few) also apply to jails as they would to any work setting.

Tip for Administrators

Identify any statutes, rules, and regulations that apply to the jail and the extent to which the jail is in compliance with these requirements.

The Purpose of the Jail

The jail is an essential element of the community's justice system. It has two primary purposes:

- To hold accused law violators to ensure their appearance at trial.
- To hold offenders convicted of lesser offenses—usually misdemeanors, but in some jurisdictions low-level felonies—as a court-ordered sanction.

The booking and intake functions of the jail serve a vital public safety purpose, namely, providing a place where individuals taken into custody can be safely processed and assessed to determine the risks they present. Those who are not released shortly after intake or initial court hearing generally are individuals charged with serious offenses whose bail bonds are higher because they represent a public safety risk or are likely to flee the jurisdiction before their cases can be adjudicated.

As a sanctioning option for convicted offenders, the jail provides a means to hold offenders accountable for their illegal acts. A central goal of incarceration as punishment in the U.S. criminal justice system is to discourage offenders from committing future criminal acts and to send a message to would-be offenders about the possible consequences for illegal behavior. Rehabilitation and reintegration are sometimes considered secondary goals of incarceration. Within the resources available, many local jails make an effort to provide inmates with opportunities for self-help and change as a means to divert them from future criminal behavior.

The Role of the Jail in the Local Criminal Justice System

The jail is also a primary resource for the local criminal justice system. It is used to address the need for detention at various points in the criminal justice process. Jails typically serve multiple law enforcement agencies in the community including the local police, sheriff, state police, conservation officers, and federal authorities. Jails also serve prosecutors, the courts, and probation and parole agencies. The jail serves these entities by holding the following types of individuals taken into custody for the following reasons:

- New arrestees pending arraignment, trial, conviction, and sentencing.

- Offenders sentenced to jail time.
- Persons accused of probation, parole, or bail-bond violations pending revocation proceedings.
- Offenders sentenced as a sanction for probation or parole violations.
- Convicted offenders awaiting transfer to state or federal institutions.
- Illegal immigrants pending transfer to federal authorities.
- Offenders in the armed services held pending transfer to military authorities.
- Offenders held for violation of court-ordered conditions such as failure to pay fines, contempt, failure to appear in court, violations of restraining orders, or failure to attend counseling.
- Juveniles charged as adults or awaiting transfer to juvenile authorities.
- Detainees held under contract for other local, state, or federal jurisdictions.
- Witnesses for court.
- Offenders held for state or federal authorities because their facilities are overcrowded.

As the list above shows, the jail responds to many needs in the criminal justice system and serves an integral role within that system. These needs are dynamic and influenced by the policies, practices, and philosophies of the various users of the jail. The jail administrator must understand the full range of these needs and be cognizant of the policies and practices that significantly affect the composition of the jail population and the demand for bedspace. Together with other criminal justice system officials, you should periodically assess how well the jail is meeting the needs of the local criminal justice system. Such assessments are useful in identifying the need for additional resources and for changes in system policies and practices affecting the use of the jail.



The Jail Population

Diversity

The jail is characterized by the diversity of the population it serves. Unlike prisons, where all inmates are generally of the same gender, legal status, and custody level, jails are expected to manage a broad cross section of people who are taken into custody for varying reasons. At any given time, the jail may be required to appropriately manage males and females, juveniles and adults, the dangerous and vulnerable, the minor offender and the serious offender, the physically fragile and mentally ill, and the chemically addicted. The population of jails varies by such factors as:

- Charge.
- Legal status.
- Length of stay.
- Gender.
- Age.
- Race and ethnicity.
- Medical condition.
- Mental health condition.
- Intellectual capacity.
- Educational and literacy levels.
- Level of dangerousness posed to other inmates and staff.
- Level of escape risk.
- Ability to get along with other inmates.

The jail population's mix of characteristics has as much or more influence as its size on the facilities, staffing, and services required in the jail.

Population Size

Two factors determine the size of the jail population: number of admissions and length of stay. These factors, in turn, are determined largely by

decisions made by the various criminal justice agencies that the jail serves and by the efficiency with which the system disposes of cases. They are also affected by local, state, and federal laws that establish the role and function of the jail and the circumstances under which individuals may be incarcerated. Incidence of crime and public attitudes about crime also influence the use of the jail.

The jail has little control over the number or types of individuals it is required to hold. Individuals are admitted to jail typically as the result of an arrest or sentencing. Not all arrests result in admission to jail. Law enforcement officers have considerable discretion in responding to nonfelony arrest situations. In many of these types of cases, officers may decide to cite and release offenders or divert the offender to an alternative program. For other arrest situations, such as for serious offenses and outstanding warrants, officers may be required to book arrestees into the jail. Once booked into jail, arrestees are held until they post bail or otherwise meet release conditions established by the court.

A sizable portion of admissions are the result of offenders being sentenced to jail. Sentences originate from municipal, county, or state courts. Admissions may also originate from the courts as offenders are held pending judicial action on alleged violation of court-ordered conditions or sanctioned for such violations.

Although the average length of stay in most jail systems is 10–20 days, more than half of accused offenders are released from jail within a day or two of admission. These represent a “revolving door” component of the jail population who must be managed separately from offenders held for longer periods. Those who remain in jail are typically accused offenders who cannot make bail or are convicted offenders serving a sentence. Many of these accused offenders are charged with serious offenses that

take a long time to go through the court process. Although this will vary from state to state, offenders sentenced to county jail are generally convicted of offenses punishable by sentences of less than 1 year.

Programs and policies established to manage the size of the jail population are typically designed to reduce either the number of admissions (e.g., diversion programs, prearrest release policies, alternatives to incarceration programs) or the length of stay (e.g., good time, early release programs, court delay reduction programs).

Litigation and Its Impact on Jails

Emergence of Jail Litigation

Before the 1960s, the public and the courts largely ignored conditions and practices in jails. The courts had adopted a “hands off” policy toward inmate complaints and lawsuits that challenged institutional conditions and practices, based on the belief that corrections administrators knew best how to control inmates and, therefore, deference was due them concerning jail operations and management.

During the 1960s and 1970s, the United States experienced a significant change in approach to civil rights issues and became engulfed in a struggle for increasing the human rights of many groups. In such a climate, rights for prisoners became an issue. Federal courts began to consider prisoner lawsuits challenging conditions of confinement as legitimate legal claims.

The legal basis for the intervention of the federal court in jail matters is Title 42, Section 1983, of the Federal Civil Rights Act of 1871. The law provides that “Any person acting under the color of law who deprives anyone of a right secured

by the Constitution or laws of the United States shall be liable to the injured party.” Jail administrators can be sued under Section 1983 because they are operating under the “color of law.”¹

Emphasis on the Rights of Inmates

The courts recognized that confined persons do not lose their constitutional rights, although these rights may be restricted for purposes of safety, order, security, control, and rehabilitation. To address inmate rights, the courts began to hear the petitions of inmates who claimed to be subjected to physical abuse, inhumane conditions, corporal punishment, or other constitutional deprivations.

In the 1970s and 1980s, several significant court decisions addressed the rights of inmates. These decisions were based primarily on the 1st, 6th, 8th, and 14th amendments to the U.S. Constitution. Cases touched on almost every area of jail operations, including staffing; access to courts, counsel, mail, telephone use, reading materials, and libraries; religion; personal, professional, and media visits; medical care; recreation and exercise; food services; classification and segregation; discipline and due process; living conditions; and use of force.

Key Supreme Court Rulings

In rendering decisions on inmate claims, the U.S. Supreme Court sent strong messages to state and local government officials who operate the nation’s jails and prisons. The Court’s position was clearly articulated in the following two landmark cases dealing with inmate litigation:

“Prison walls do not form a barrier separating prison (or jail) inmates from the protections of the Constitution,” *Turner v. Safley*, 107 S. Ct. 2254, 2259 (1987).

¹ W.C. Collins, *Jail Design and Operation and the Constitution: An Overview* (Washington, DC: U.S. Department of Justice, National Institute of Corrections, 1998).



"There is no iron curtain drawn between the Constitution and the prisons of this country."
Wolff v. McDonnell, 418 U.S. 539 (1974).

Clearly Established Law

Between 1980 and 1996, the number of petitions (lawsuits) filed in U.S. district courts by federal and state inmates increased from 23,230 to 68,235. As a result of this unprecedented judicial intervention, longstanding problems in jail operations and conditions of inmate confinement were broadly revealed and confronted. A body of clearly established law with associated liability now addresses nearly every aspect of jail operation and conditions and limits and defines the proper operation of a jail.

Implications for Jail Administrators

The most valuable outcome of the court decisions of the past three decades was the development of operational standards for jails that administrators can use as a basis for policy and practice. Knowledge of relevant case law is essential to your efforts to operate your jail in a legally acceptable manner.

Court involvement in jail matters presents both benefits and challenges. The benefits include clearly articulated case law addressing all areas of jail administration, including security and control, medical services, discipline, treatment of special management inmates, inmates' rights, and so forth. The challenges include managing within the context of these laws defining inmates' rights in an environment of crowded jails and government cutbacks in funding.

Administrative Liability

In addition to liability for matters related to inmates' constitutional rights, jail administrators can be liable for issues related to managing the jail. Administrative liability is based on the administrator's duty to provide staff the tools

they need to perform properly and constitutionally on the job. Elements of administrative liability include the following:

- **Failure to direct.** This is a failure in the obligation or affirmative duty to provide employees written directives in the form of policies and procedures or other such directives that clearly limit and outline the duties and responsibilities of staff at each level of administration.
- **Failure to train.** This is a failure in the obligation or affirmative duty to provide appropriate training in policy and procedure as well as critical knowledge, skills, and abilities needed to carry out written policy and procedures. The responsibility to train extends to new and inservice staff as well as to persons promoted to new areas of responsibility.
- **Failure to supervise.** This is a failure in the obligation or affirmative duty to provide ongoing supervision and direction to staff. In addition to training and directing staff (through written policy and procedures) at all levels, you must guide, coach, correct, and monitor them on a continuing basis to meet the duty to supervise. Jail administrators too often direct and train employees but then leave them unsupervised.
- **Negligent hiring, placement, and retention.** This is a failure in the obligation or affirmative duty to "weed out" those who are unfit for jail duties through recruitment, screening, and hiring. Included is the requirement that staff be assigned duties consistent with their skills and abilities. There is also a continuing responsibility to ensure that staff are fit for correctional duties.

Tip for Administrators

Become familiar with your greatest areas of liability. Concentrate on life, health, safety, and constitutional issues as a start. These areas are those most likely to end up in litigation.

Jail Standards

Although no federally mandated standards have been established for jails, many states and professional organizations have developed comprehensive standards. The development of jail standards at the state and national level was largely a response to the escalating number of court cases alleging unconstitutional jail conditions and practices. By providing jail administrators with clear guidelines concerning jail operations and the treatment of inmates, these standards decrease the need for court intervention in jails.

Standards typically outline the requirements for both the construction and operation of local jails. Compliance with the standards demonstrates a commitment to professionalism on the part of local officials and can significantly reduce the liability exposure of local government to jail litigation by identifying and correcting deficiencies.

The American Correctional Association (ACA) Standards for Adult Local Detention Facilities

are perhaps the most widely recognized professional standards. Many states and professional organizations have modeled their standards after the ACA Standards. Approximately 34 states have established jail standards and inspection programs, and the Bureau of Indian Affairs has established standards for jails in Indian country.

Most state jail standards programs provide for inspections, compliance monitoring, and sanctions for noncompliance. To facilitate compliance, some state programs offer technical

assistance or funding assistance. Some professional organizations, such as the ACA, maintain an accreditation program as a means to recognize jails that implement and comply with their standards.

Jail standards are an essential resource for jail administrators. They promote consistency and reduce the jail's exposure to liability by serving as a—

- Tool for directing staff and measuring their performance.
- Basis for formulating defensible policies and procedures.
- Basis for staff training curriculums.
- Means of discouraging lawsuits or minimizing their success.
- Justification for resources.
- Way to measure accomplishments.
- Guide for the fair and humane treatment of inmates.

Essential Elements of Effective Jails

The problems that have historically plagued jails—including violence, vandalism, suicides, contraband, unsanitary conditions, and claims of excessive use of force—are well documented. These issues have been the basis for much of the litigation described earlier in this chapter. Jails, both old and new, that have effectively eliminated or minimized these problems, share the following characteristics:²

- Adequate staffing levels.
- Well-trained and supervised staff.
- Current written operational directives.
- A systematic and documented inmate classification process.

Tip for Administrators

Identify key areas of standards and begin a dialog with the inspectors who enforce them. Inspectors are impressed with and will work with administrators who are proactive and express a willingness to meet standards. Inspectors are also eager to provide technical assistance to help meet standards.

² G.M. Bowker, *Jail Resource Issues: What Every Funding Authority Needs To Know* (Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2002), pp. 13–24.



- Effective supervision of inmates.
- Adequate inmate services and programs.
- Fair treatment of inmates.
- Adequate bedspace capacity.
- Compliance with standards, regulations, and codes.
- A safe, clean, and well-maintained physical environment.

Adequate Staffing Levels

Adequate staffing is probably the single most important factor contributing to the success or failure of the jail. Adequacy in staffing is a function of both the number of staff required to operate the jail and the effective placement of those staff in duty positions. The staffing levels required for individual jails vary according to the configuration of factors that affect what is needed in the jail. Analyze your staffing needs and develop a staffing plan for the jail. Review and update the plan annually to remain current. (See chapter 5, “Jail Staffing and Scheduling.”)

Well-Trained and Supervised Staff

Training contributes to effective jail operation by providing staff with the knowledge and skills needed to follow established policies and procedures, operate jail security equipment properly, maintain safety and security, and assure appropriate services are provided. See that all staff receive basic pre-service training and continuing on-the-job training tailored to their specific job duties. Follow up to ensure that jail staff are following policies and procedures and that jail supervisory staff are reinforcing the skills new staff learned in training through active, ongoing supervision. The combination of training and supervision helps jail staff increase competency levels over time. (See chapter 7, “Staff Training.”)

Current Written Operational Directives

Written policies, procedures, and post orders describe the jail’s operational requirements and provide guidance as to how they are to be carried out. Jails should have a written policies and procedures manual that is tailored to the facility and addresses all aspects of the jail’s operation. Make sure each duty post in the jail has a detailed set of post orders describing the specific tasks and responsibilities of the post. Review and update written directives at least once a year and when major operational changes take place. (See chapter 3, “Jail Administration.”)

Systematic and Documented Inmate Classification Process

Inmate classification is the jail’s system of assessing the risks and needs of each inmate for purposes of determining housing assignment, supervision requirements, services needed, and program participation. (See chapter 9, “Inmate Behavior Management.”) The failure to classify inmates properly threatens the safety and security of inmates, staff, and visitors. Your jail should have a formal, documented classification system that includes:

- Defined, objective classification criteria.
- Comprehensive policies and procedures that address all aspects of the classification process.
- A consistent process for gathering necessary information.
- Forms or instruments used for screening and assessment.
- A means of sharing essential classification information with program, custody, and support staff.
- Training for staff involved in classification.

Effective Supervision of Inmates

Inmate supervision is the primary function of the jail. It involves far more than simply observing inmates; it includes constant staff presence, staff interaction with inmates, and active behavior management. (See chapter 9, “Inmate Behavior Management.”) Jails with effective inmate supervision strategies typically have:

- A formal inmate housing plan.
- A formal orientation process and inmate handbook.
- Staff appropriately positioned within the jail so they can actively supervise inmate behavior.
- Planned activities to keep inmates productively engaged throughout the day.
- A system of incentives and sanctions to guide inmate behavior.
- Training for staff in effective communication and supervision skills.

Adequate Inmate Services and Programs

Inmates have a fundamental right to basic services essential to their health and well-being. (See chapter 12, “Inmate Services and Programs.”) These services include food, medical and mental health care, laundry services (provision of clean clothing and bedding), personal hygiene services, housekeeping services (provision of a clean, healthy living environment), and the opportunity to exercise. Inmates also have the right to communicate with family, friends, and others outside the jail, subject to some limitations. To accommodate this right, jails provide visitation, mail, and telephone services. Inmate programs, while not a right, are also important to inmates, the overall management of the jail, and the community. Types of programs commonly found in jails include work, education, self-help, and religious programs. In sum, jails should:

- Provide essential services that meet inmates’ basic needs.

- Make programs available to keep inmates productively occupied and provide opportunities for self-improvement.
- Make effective use of community resources for programs where feasible.
- Provide suitable space, equipment, and supplies for services and programs.

Fair Treatment of Inmates

Jails tend to have fewer problems when the boundaries of behavior are clear and inmates have a sense that they are treated fairly and consistently. Fundamental fairness is assured through inmate disciplinary and grievance processes. The disciplinary process should include ongoing correction of undesirable behavior, coaching to improve marginal behavior, positive reinforcement of good behavior, and consistent enforcement of the rules. The grievance process should give inmates an avenue to air and resolve grievances when they believe they have not been treated fairly. Unresolved grievances often result in disruptive behavior as inmates resort to less desirable ways to get staff attention. Your jail should have a formal written inmate disciplinary plan, a formal written inmate grievance process, and a means to provide inmates information about the disciplinary and grievance processes. (See chapter 10, “Inmate Discipline and Grievance.”)

Adequate Bedspace Capacity

Jails with adequate bedspace capacity are those with sufficient bedspace to house the number and type of persons incarcerated by the local criminal justice system. Jails should be able to accomplish this without regularly exceeding design capacity and without the need for the local criminal justice system to make compromises in its incarceration policies. Crowded conditions often have the following adverse effects on jail operations:

- Compromises in classification.



- Reduced levels of security (too few staff for too many inmates).
- Increases in violence, tension, and availability of contraband.
- Overloaded programs and services.
- Deterioration in levels of sanitation and maintenance.

Make key decisionmakers aware of crowding problems in your jail. Jail officials should reach agreement with key decisionmakers on the capacity of the jail and work with them to keep the jail population within agreed-upon limits. Jail officials should be prepared to implement internal and external management strategies when bedspace demand exceeds available capacity. (See chapter 4, "Jail Facilities.")

Compliance With Standards, Regulations, and Codes

Standards and codes provide jails with clearly defined guidelines based on case law and good practice. Compliance with these requirements promotes consistent management, provides for the safety and well-being of jail occupants (inmates, staff, visitors, etc.), and reduces the jail's exposure to liability. Jail officials should:

- Be aware of all statutes, standards, rules, and codes that affect the jail.
- Operate the jail in accordance with applicable standards.
- Promptly correct deficiencies identified by inspection authorities.
- Establish an internal system to monitor compliance with standards on an ongoing basis.

Safe, Clean, and Well-Maintained Physical Environment

A safe, clean, and well-maintained jail is essential to the health and well-being of inmates, staff, and visitors. Poor conditions increase tension; contribute to accidents, the spread of disease, and vandalism; negatively affect morale and productivity; and may lead to litigation. (See chapter 4, "Jail Facilities.") Jail officials should:

- Keep the jail clean and in good repair.
- Establish written safety, sanitation, and preventive maintenance plans.
- Establish an internal system of inspections to regularly assess the level of sanitation and condition of the jail.
- Promptly correct any deficiencies identified by external inspection authorities.

Recommended Resources

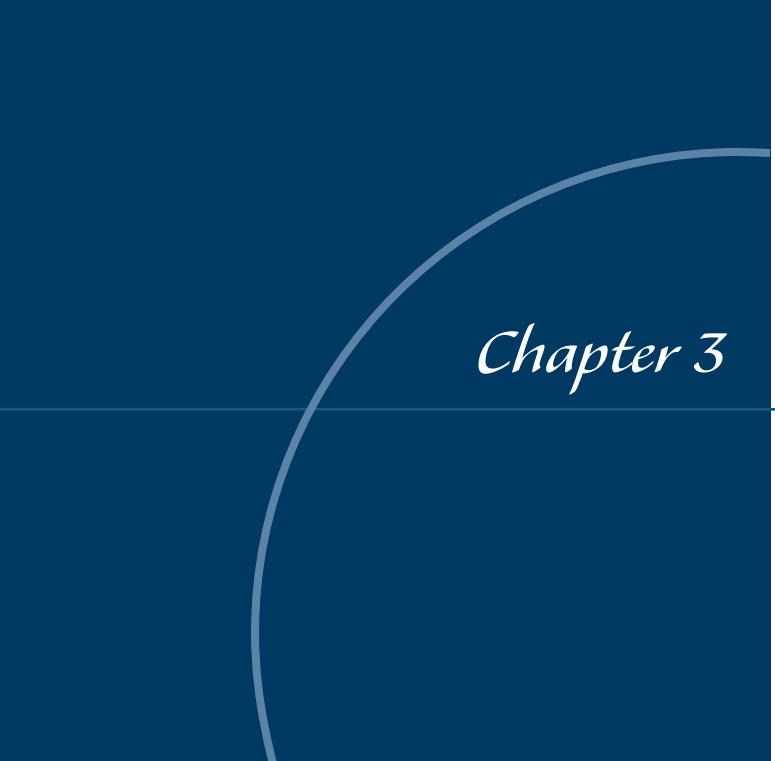
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Chapter 3

Jail Administration



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Overview

Jail administration encompasses all activities that guide the organization toward meeting its mission and goals. Planning, organizing, directing, and evaluating are fundamental elements of jail administration. These elements require skills in managing people and resources as well as a thorough knowledge of jails and jail issues. Jail administrators must also be leaders. Motivation, guidance, and empowerment are key aspects of leadership. In the leadership role, the jail administrator charts the course for the organization and coordinates the staff effort and other resources to best accomplish the agency's mission.

Jail administrators must be knowledgeable about administrative tools such as budgets, policies and procedures, documentation, and audits and be able to use these tools effectively. You must be able to influence not only the internal organization of the jail but also the external environment. Many stakeholders make decisions that affect the jail and the resources available to it. This chapter provides information about these various issues that will help you improve the administrative and leadership skills required to manage your facility.

Legal Requirements and Standards

1. Statutes, administrative regulations, and local ordinances typically set out requirements for budget appropriation, expenditure, and accounting of funds. Jail administrators can be held accountable for mismanagement of public funds.

2. Purchasing and governing processes are also typically governed by statutes, regulations, and local ordinances.
3. Jails are subject to numerous laws and regulations governing employees' rights. A substantial amount of case law exists on employment issues that apply to the jail.
4. Administrators are responsible for establishing written policies and procedures governing the operation of the jail and for training staff in implementing these policies and procedures. Some courts have found the absence of written policies and procedures to be gross negligence. The standards of the American Correctional Association (ACA) and most states require jails to have a policies and procedures manual that is reviewed regularly and kept current.

Mission and Goals

Mission and goals are essential elements of an effective organization. They give the organization purpose and help keep it on track. They also provide both a means to measure current performance and a basis for future plans.

The **mission statement** is a short, concise statement describing the purpose of the jail—i.e., why it exists. The mission statement normally includes the following elements:

- The legal authority and responsibility of the facility within the local justice system.

- The purpose and identity of the organization.
- The values and philosophy of the facility and the community.
- A description of how the facility will serve those affected by its work.

The mission statement should be broad enough to define the jail sufficiently for persons outside the organization, yet focused enough to guide the organization's goals, policies, and procedures. The jail mission statement might read as follows:

The mission of the Any County Jail is to safely, securely, and humanely detain persons arrested and held during adjudication, convicted offenders sentenced to serve time in the jail, and other persons lawfully committed to the facility. The Any County Jail provides work and other self-improvement opportunities to assist offenders in becoming law-abiding citizens while providing a safe, healthy work environment for staff.

This mission statement gives readers a clear understanding of the purpose of the facility and its responsibilities toward staff, inmates, and the community. It further suggests some operating principles in the treatment of both inmates and staff that should be reflected in agency goals and policies and procedures.

Goals are statements that describe future outcomes or the ideal state if the organization were able to completely fulfill its mission. They also serve as priorities that focus the organization's work on activities essential for success. The following goals are derived from the mission statement presented as an example above:

- To protect society by preventing escapes through the establishment of secure facilities and effective inmate supervision.

- To provide clean, safe, and environmentally healthy living and working conditions for inmates and staff.
- To provide inmates opportunities for positive change through academic, work, and counseling programs.
- To provide an environment that protects inmates from victimization through proper classification and supervision.
- To operate in a manner that provides all required due process and legal safeguards.

The goals describe desired outcomes (e.g., "protect society," "protect inmates from victimization," "opportunities for positive change") that are consistent with the mission. They also provide programmatic direction but focus more on the end than the means. The planning process, which is discussed in the next section, is used to identify specific strategies and activities necessary to achieve the goals.

Once the jail's mission and goals are established, they should be periodically reviewed. A new administrator who inherits a mission and goals from a previous administration may wish to modify, update, or affirm the statement.

The jail's mission and goals are defined and shaped by a number of factors:

- Statutes that mandate the jail's existence and its general purposes.
- Community and criminal justice system values and expectations.
- The sheriff's and funding authority's values and expectations (or those of whomever is ultimately responsible for the jail).
- Court decisions.
- Availability of resources.

Your role is to incorporate these mandates and expectations, along with your own philosophical



orientation, into succinct mission and goals statements for the jail.

Planning

After you have established the mission and goals for the facility, you are responsible for seeing that they are planned and implemented. Planning provides the organization with direction and focus; it determines how the organization will function and what it will accomplish. Planning aligns the facility's goals, activities, and resources to achieve its mission.

The planning process has five basic steps:

1. **Establish the mission.** Establishing the mission of the jail is the first step in the process if no mission statement exists. If the facility has a mission statement, this is a good time to review it for possible changes.
2. **Establish the goals your organization must reach if it is to accomplish your mission.** If you have not established goals to implement the jail's mission, developing them is the next step in the process. Like the mission statement, goals are generally stated and, once established, do not change significantly from year to year unless changes in conditions or circumstances indicate that they should be reconsidered. In the course of planning, however, you may develop strategic goals that are more specific, although still related to the general goals, to take advantage of opportunities or address identified needs.
3. **Identify specific strategies that must be implemented to reach each goal.** These are the methods or approaches to be used to achieve the goals. The strategies selected must reflect the operational realities of the organization—that is, they must be affordable, practical, and efficient.

4. **Develop action plans to implement each strategy.** These are the specific activities that must be undertaken to implement each strategy. Action plans specify objectives that reflect the results that must be achieved to meet the goals in the plan and define a set of actions or tasks that must be completed to reach each objective. Action plans also include a listing of resources required for each task, assignment of responsibilities for carrying out the various tasks, and timelines for completion.

5. **Implement, monitor, and update the plan.** The implementation of the action plan should be regularly monitored to determine the extent to which the goals are being met and whether the activities are being carried out as planned.

Exhibit 1 shows an example of the planning process for the establishment of a literacy program for a jail. You can apply this process to other aspects of the jail's operation to connect daily activities to the jail's overall mission.

The information developed during the planning process should be organized and written into a document. Written plans are beneficial in that they:

- Provide an effective means to justify budgets with funding authorities.
- Focus efforts on tasks that are necessary to attain stated objectives.
- Inform and motivate staff and other stakeholders.
- Help avoid mistakes, oversights, and other problems resulting from lack of a common understanding of the plan.
- Provide a clear measure for success.
- Provide a timetable and agenda for action.
- Promote effective evaluation.

Exhibit 1. Planning Process Example

Mission

The mission of the Any County Jail is to safely, securely, and humanely detain persons arrested and held during adjudication, convicted offenders sentenced to serve time in the Detention Center, and other persons lawfully committed to the facility. The Any County Jail **provides work and other self-improvement opportunities to assist offenders in becoming law-abiding citizens** while providing a safe, healthy work environment for staff.

Goal

To provide inmates opportunities for positive change through academic, work, and counseling programs.

Strategy

Establish a literacy program using community resources.

Objective

Improve the reading and writing skills of inmates participating in the program by an average of three grade levels.

Action plan*

1. Establish criteria for literacy program.
2. Identify and select service provider.
3. Establish agreement with service provider.
4. Recruit, select, and train teacher/volunteers.
5. Designate space and procure needed equipment.
6. Procure program materials.
7. Schedule program classes.
8. Identify inmates eligible to participate.
9. Enroll inmates and start classes.
10. Monitor progress.

Performance measures

- Number of classes held.
- Number of inmates participating.
- Average grade level increase in reading and writing skills.

*Each step listed should also include the resources required, responsible party(ies), and timeline for completion.

The planning process provides a systematic way for making decisions regarding the effective allocation and use of available resources. Information developed in the planning process becomes a primary resource in the development and justification of the jail's budget.

Budget Development and Management

The jail administrator may play a significant role in securing and managing the resources necessary to implement action plans developed for the jail by knowing the budget process for the jurisdiction and understanding specific responsibilities involved in developing and managing the jail budget. The jail administrator's level of authority and responsibility for major fiscal management duties such as preparing budget requests, making spending decisions, and making budget adjustments will vary from one jurisdiction to another depending on the organizational structure of the agency in which the jail is located and the preferences of the sheriff or chief executive officer of the agency.

The Budget Process

The jail obtains and uses the financial resources it needs to operate through its jurisdiction's budget process. The period for which a budget is authorized typically spans a fiscal year that corresponds to the calendar year or another 12-month period. The budget process, however, takes place over a longer period of time that starts well before the actual fiscal year begins. Although the specifics of the budget process may vary from one jurisdiction to another, it generally includes four distinct phases: preparation, approval, execution, and evaluation.

■ **Preparation.** A new budget cycle begins when the funding authority provides specific direction on budget preparation. In this



phase, you develop and submit a budget request according to the directions provided by the jail's governing authority. If the jail is part of a larger agency, such as a sheriff's department, the budget request is reviewed internally and combined with the agency's total budget before submittal to the funding authority.

- **Approval.** Before the jail's budget request goes to the funding authority, the funding authority's fiscal office reviews it. The jail's budget is then combined with other agency budgets and submitted to the governing authority as part of the overall recommended budget for the jurisdiction. After the funding authority reviews the recommended budget and makes adjustments, it presents a proposed budget for public input. After public hearing on the proposed budget, the funding authority formally adopts the final budget.
- **Execution.** After the final budget has been adopted by the funding authority, funds are made available for the fiscal period. The adopted budget may look significantly different from your original budget request. It is your responsibility to adjust operations to live within the appropriated amounts.
- **Evaluation.** After the fiscal year is complete, budgets are subject to evaluation on two levels. A fiscal audit may be conducted to assure proper accounting of all funds and to verify that funds were expended for the purposes intended. A performance audit may also be conducted to determine the extent to which goals and objectives were achieved and to assess the efficiency of the operation.

Developing the Budget

The level of involvement you may have in budget development varies from one jurisdiction to the next. Some jail administrators may have their budget developed by a parent agency and have

little opportunity for input. Others may be totally responsible for their agency's budget development process. Ideally, the jail administrator and the jail's management team play a key role in budget development. Those who actually manage and deliver the services are most knowledgeable about how to allocate resources. Jail budget development includes the following steps:

- **Assessing needs.** The budget development process is the time to address needs and deficiencies in the jail's operations and facilities. It also is the time to review progress in meeting objectives established in the previous budget cycle and to update those priorities.
- **Reviewing current and past expenditures.** Budgets are generally based on previous years' spending patterns. Accordingly, the current and past years' expenditures should be reviewed for trends or to discover opportunities for future cost savings.
- **Projecting future expenditures.** Cost categories for which expenditures are estimated include personnel services, operating expenses (such as utilities), and capital outlay (such as new vehicles). Projections are also required for new or expanded services and revenue generated by the jail. Many jurisdictions provide worksheets as tools for estimating and justifying projected expenditures. Often the governing authority directs agencies to limit requests for increases of many budget items to a predetermined percentage that allows for adjustments due to inflation or salary increases. Yet jails may experience increases in expenditures that exceed the governing authority's targets—for example, as a result of increased demand, increased

Tip for Administrators

Learn about your jurisdiction's budget process. If the jail resides within a sheriff's department or other agency, clarify your role in budget development and management.

cost of particular goods or services, or unexpected costs arising from particular events or new, unfunded mandates. These cases likely will require additional justification. Jail administrators should be prepared to make adjustments if the level of increase requested is not approved.

■ **Preparing the budget document.** The budget document includes a completed budget request form, budget summary, and budget narrative:

- The **budget request form** provides a breakdown of the request by major cost categories and specific line items within each category. Typically, budget requests are presented along with actual expenditure totals from the previous year and estimated expenditure totals for the current year. This allows decisionmakers to compare the current request with past spending levels.
- The **budget summary** provides an overview of the budget request without the line-item detail. It summarizes the request by major object of expenditure and includes a thumbnail explanation of the overall budget request.
- **Budget narratives** are included in varying levels of detail on the budget request form, in the budget summary, and in the executive summary. The narratives describe the mission of the jail, its overarching goals, and the objectives to be accomplished during the fiscal period. The narratives also explain significant increases and provide the basis for the estimates.

■ **Submitting the budget package.** The budget submittal typically includes a transmittal (cover) letter, executive summary, operating

detail section with supporting narratives, and a budget summary. The budget summary is a particularly important component, as it concisely tells the story of the jail and the budget request.

- **Presenting the budget.** If the jail resides in a larger agency, the jail administrator's first priority is to gain the chief executive's support for the budget. You may subsequently be called on to present the budget before a fiscal officer or finance committee for the jurisdiction and, ultimately, before the funding authority. Visual aids, charts, and photos are particularly helpful in getting your points across in budget presentations. Encourage all of these decisionmakers to visit the jail to observe its needs and accomplishments first hand. These visits will enhance their understanding of the rationale behind particular budget requests.

Budget Management

Regardless of your level of involvement in developing the budget, you are ultimately accountable for spending the funds appropriately and staying within budgeted amounts. Budget management is an ongoing responsibility of the jail administrator. Duties in this area include monitoring expenditures, keeping expenditures under control, dealing with unexpected costs, monitoring results, and making adjustments as necessary.

Managing the jail's budget begins with developing spending forecasts at the beginning of the fiscal year. By making monthly or quarterly estimates of spending in major cost categories, you can set benchmarks to monitor spending throughout the year. At regular intervals, request expenditure reports to compare actual spending with the forecasts. Using these tools will help you make midcourse corrections in spending to keep the jail's expenses within authorized limits.



In managing and controlling expenditures, the jail administrator should focus on the following areas:

- **Personnel.** Personnel expenditures include costs such as wages, benefits, and overtime. These costs typically represent 70–80 percent of the jail’s total budget; accordingly, controlling them is crucial to overall budget management. Personnel costs are affected by factors such as overtime usage, absenteeism, productivity levels, and staff turnover. Improper allocation and deployment of staff across shifts can also lead to increased personnel costs. Administrative action may be necessary to address issues arising in one or more of these areas when the budget is adversely affected.
- **Operating expenses.** The goods and services required to operate a jail include utilities, food, medical care, clothing, office supplies, maintenance and laundry services, programs for inmates, data processing, and contractual services. To develop spending forecasts for these expenses for the fiscal period, analyze past costs in these areas and adjust them based on previous spending patterns. When expenditures in any of these areas are higher than forecasted during the monthly review of expenditures, you may need to adjust spending levels accordingly.
- **Capital outlay.** Capital expenditures generally include equipment and materials that last more than a year and cost more than a certain amount established by the jurisdiction. Computers, furniture, vehicles, laundry equipment, security systems, and kitchen equipment are examples of capital goods. Review purchase requests for capital goods carefully to verify their need, urgency, and priority. You can mitigate capital costs through preventive maintenance and by establishing replacement schedules based

on the life expectancy of capital goods. In establishing replacement schedules, it is helpful to remember that jail equipment tends to age 3.5 years operationally for every chronological year due to constant and sometimes harsh use.

At times it may be necessary to transfer surplus funds from one budget category to cover shortfalls in another category. The extent of the jail administrator’s authority to transfer funds is typically set out in the jurisdiction’s budget transfer policy. Administrators generally have the authority to transfer funds between line items within the same budget category without outside approval. However, transfers above a certain amount between budget categories may require review and approval by the funding authority’s fiscal office. The jurisdiction’s budget transfer policy should describe the format and process for the transfer of funds between budget categories. You are responsible for knowing this policy and following it in making adjustments.

The funding authority, through formal budget amendment, must approve any increases in the authorized budget for the jail. The jail administrator may seek increases to pay for unexpected expenses, to use additional jail revenue received above projections, or to expend grant funds received after the adoption of the budget.

Finding and Using Resources Beyond the Budget Allocation

Resources necessary for effective operation of the jail may come in a variety of forms and from many sources. Nonfiscal resources such as volunteers, donations, and technical support are just as valuable as funding and can make a significant contribution toward meeting the jail’s goals and objectives.

The establishment of partnerships with other public sector agencies and community organizations is another means to access resources

needed by the jail. Other public and private organizations provide or support services such as health care, mental health treatment, substance abuse treatment, job training, and education for community members that are also needed by offenders. As partners, these entities may be able to contribute time, money, expertise, or other resources to the jail.

You may also find opportunities to generate revenue to help fund programs or services where tax-supported appropriations are not sufficient. Grants, subsidies, reimbursements, contracts, inmate fees and copays, and sales of goods produced through jail industry are just some of the ways jails across the country have found to generate revenue.

Figuring out how to attract and make effective use of these alternative resources is a key leadership role of the jail administrator. A well-conceived budget request links resource needs to the jail's mission, goals, and objectives. Work plans developed pursuant to the budget process identify the resources needed for each major jail activity. Knowing what resources are needed for what purpose helps the jail administrator think more broadly and creatively in identifying potential sources of support for the jail.

Purchasing and Contracting

The purchase of services and goods is second only to payroll in the volume of budget transactions made by most jails. Purchases made by government entities are subject to state laws and regulations as well as to local ordinances and policies. The jail administrator has a responsibility to manage the purchasing process to ensure that the amounts and types of purchases fall within budget parameters and to see that the jail's purchasing process adheres to applicable laws and regulations.

You should be knowledgeable about your jurisdiction's requirements and procedures for

purchasing goods and services. The jail should have internal policies and procedures that outline the process for submission and approval of purchase requisitions. You or your designee should regularly monitor expenditures for purchases of goods and services to see that they are charged to the appropriate accounts and are within budget limits. Records management structures should be in place to maintain the integrity and availability of purchasing documents, including requisitions, purchase orders, receiving reports, and invoices.

When formal bidding is required for a purchase, a solicitation in the form of a Request for Proposals (RFP) is advertised and sent to interested vendors. The RFP process can involve several steps, including bidders' meetings, a timeline for preparation and submission of proposals, a formal bid opening, presentations by bidders, a proposal review and selection process, contract negotiation, and contract execution. Execution of contracts pursuant to formal bids generally requires approval of the funding authority. The jail administrator and the fiscal office should work together throughout all phases of this process to ensure that all laws and regulations governing the formal bid process are followed and that a qualified, competent vendor is retained.

More jails are using contracted services in areas such as food service, medical services, and programming. Where contracts are in place, the jail should have a process for performance monitoring to ensure it is receiving the scope and quality of services specified in the contract.

Human Resources Management

Effectively managing human resources is one of the jail administrator's most challenging yet critical responsibilities. Many jail administrators say they spend more of their time dealing with personnel issues than with inmate issues.



Every area of human resources management is governed by law and regulation. In addition, collective bargaining agreements often spell out additional employment conditions and rights. The jail administrator must be aware of these requirements in managing the jail's workforce.

Employees' Rights

Employees' basic rights include:

- Fair and equitable treatment.
- A safe environment in which to work.
- Freedom from discrimination.
- Freedom from harassment.
- Equitable compensation—receipt of the same pay for performing the same work.
- Freedom from retaliation for filing complaints against the facility.
- Freedom from an invasion of privacy.

Several state and federal laws protect the interests of workers. Some of the more significant of these laws are listed below:

- **Fair Labor Standards Act.** Sets minimum wage, overtime pay, equal pay, recordkeeping, and child labor standards for workers.
- **Equal Pay Act.** Prohibits disparity in wages based on gender.
- **Age Discrimination in Employment Act (ADEA).** Includes protections for employees over the age of 40.
- **Americans with Disabilities Act.** Prohibits discrimination against qualified individuals with disabilities.
- **Family and Medical Leave Act.** Provides employees up to 12 weeks of unpaid leave for the birth or adoption of a child, to care for a family member with a serious health condition, or for the employee's serious medical condition.

- **Civil rights acts.** Laws and regulations that prohibit discrimination based on race, sex, religion, and national origin and cover such issues as equal employment opportunity, affirmative action, and sexual harassment.
- **Occupational Safety and Health Act.** Laws and regulations that address basic safety issues, including protection from hazardous substances and environment, and now, on a state level, even smoking and violence.
- **Workers' compensation laws.** Provide benefits for workers injured on the job, including cash benefits, medical care, and rehabilitation services.
- **Privacy laws.** Address issues such as background information, access to personnel files, drug testing, and even some dress codes.

Establishing Good Personnel Management Practice

Positive steps the jail administrator can take to establish control over human resources management while complying with personnel-related requirements are outlined below.

- **Develop written personnel policies and procedures.** Written policies and procedures provide information about the facility's personnel practices, benefits, hours of work, pay policies, and work rules. They establish clear expectations of job performance for both employees and supervisors. Written policies also help document compliance with the employment laws and regulations. In the absence of written policies and procedures, the actions of supervisors and managers become the de facto policies of the organization.
- **Develop written job descriptions.** Job descriptions specify the major job duties and responsibilities of a position and establish the minimum qualifications or core competencies required. Written job descriptions

provide a basis for performance appraisals and determination of appropriate compensation levels.

- **Properly classify employees.** Ensure that employees are appropriately classified as exempt or nonexempt. A nonexempt employee under the federal Fair Labor Standards Act is eligible for and must receive overtime pay for all hours worked over 40 hours in a work week. The jail is subject to fines and payment of back pay if nonexempt employees are found to have been inappropriately classified as exempt.
- **Evaluate employee performance.** Performance should be evaluated and documented, both positively and negatively, on an ongoing basis. Performance appraisals should be designed to help employees improve and mature in their jobs. Appraisals should also help identify changes in behavior, attitude, or actions of employees needing some attention.
- **Be consistent in application of policies and procedures.** Inconsistencies and preferential treatment can lead to claims of discrimination. All employees should be treated fairly and equitably according to the facility's written personnel policies and procedures.
- **Follow the rules carefully in disciplining staff.** Jail administrators should be well-versed in the laws, regulations, and contractual agreements that affect the disciplinary process. Failure to adhere to these provisions can lead to the overturning of disciplinary decisions. Jails should follow a disciplinary process that includes a range of sanctions (i.e., counseling, probation, suspension, termination) usually applied progressively and directed toward correcting specific behaviors.
- **Maintain adequate documentation.** Establish a personnel file for each employee of the jail. The file should include the

employee's application for employment, performance appraisals and consultations, attendance records, agreements signed by the employee, disciplinary actions, and positive items documenting accomplishments or other noteworthy behaviors.

Policies and Procedures

Jails should have a written policies and procedures manual that has been developed specifically for the facility and is consistent with its mission and goals. The manual should address all aspects of the jail's operations and should conform to current case law, professional practices, statutes, state standards, and the operational capabilities of the organization. Staff should receive training in the jail's policies and procedures, and the manuals should be readily available to staff for use as a reference. Review and update the policies and procedures manual at least annually and whenever major operational changes are made.

Written policies and procedures offer a number of benefits for the jail and its operation. Notably, they:

- Provide clear direction to staff on operations.
- Communicate the organization's mission, values, and philosophy to staff.
- Promote consistency, efficiency, and professionalism by standardizing how staff carry out their duties.
- Provide a formal mechanism for transferring authority and responsibility to staff.
- Provide the basis for on-the-job staff training.
- Provide protection for the jurisdiction against liability when individual acts can be shown to be outside what is prescribed in the policies and procedures.
- Facilitate compliance with standards and other legal requirements.



A **policy** is a simple statement of the administration's position on an issue concerning the jail's operation. It defines what action is to be taken and why. A well-written policy contains both the action and the rationale. The following statement is an example of a policy about inmate visitation:

To encourage inmates to maintain contact with family, friends, and professional persons, the Any County Jail will schedule regular visitation periods and make special provisions for other visitation when necessary.

Procedures are step-by-step descriptions of the activities necessary to fulfill the policy. Procedures describe how, when, and where the organization will implement the policy and who will implement it. An example of procedure statements written in this format is shown in exhibit 2.

Developing and Implementing the Policies and Procedures Manual

The basic steps in developing or revising a policies and procedures manual are as follows:

- **Solicit staff involvement.** To the extent possible, involve staff in the process. Ideally, you should establish a team with representatives from all of the jail's operational areas. Staff who are motivated, available, knowledgeable, and capable writers make the best team members. Where a team approach is not feasible due to limited staff resources, the responsibility for developing or updating the policies and procedures may fall on the jail administrator. If that is the case, you can still bring staff into the process by inviting them to suggest changes to current practices and requesting them to review drafts and field test new or revised procedures.
- **Develop an outline.** Use your facility's mission statement and supporting goals as a starting point for identifying policy topics.

Exhibit 2. Example of Written Visiting Procedures

General Procedures

1. When screening visitors, the receptionist will:
 - a. Verify the identity of the visitor with a photo identification card.
 - b. Have the visitor sign the Visitor's Register (Form E-6), noting the visitor's name, relationship to the inmate, the inmate's name, and the date and time.
 - c. Review the Visitor's Register for the week to determine if the inmate is entitled to a visit and if the visitor is listed on the inmate's visiting list.
2. After the visitors have signed the Visitor's Register, the receptionist will notify the correctional officer which inmates have visitors.
3. The receptionist will unlock the public access doors to the visiting area and escort or direct the visitors to the area.
4. The correctional officer will escort the inmates to the area.
5. The correctional officer will remain in the area to supervise the visits.
6. At the conclusion of the visit, the correctional officer will escort the inmates back to their respective housing areas. The correctional officer will also instruct the visitors to leave the visiting area and check out with the receptionist.

The facility's current manual, manuals from other facilities, model manuals, state and professional standards, and court orders are all good sources for policy topics. A review of current operations and past problem areas may also yield important policy topics. Organize topic areas hierarchically into a table of contents.

- **Develop drafts of policies and procedures.** Research background information, develop drafts of policies and procedures, validate and field test the drafts, and circulate drafts for comment. Develop tracking tools to ensure timely completion of each section. Remember, each facility is unique. Do not fall into the trap of accepting or adopting policies and procedures from other facilities that do not fit your operation.

- **Review and approve the drafts.** When completed, review the drafts of all policies and procedures for validity, comprehensiveness, and compliance with applicable laws, codes, and standards. The agency's legal counsel should also review the drafts, which may then be forwarded to the sheriff or chief executive officer (CEO) for review and preliminary approval. Feedback from reviewers must be incorporated and new drafts submitted for approval until all reviewers' concerns have been satisfactorily addressed.

Tip for Administrators

Keep jail policies and procedures current. Review your policies and procedures manual at least annually and whenever a change in conditions indicates the need for a change in the policies and procedures.

- **Organize the manual.** When all sections have been reviewed and approved, organize the draft policies and procedures into a manual, following your outline. This task includes formatting the manual pages and organizing the sections within the manual.
- **Submit the policies and procedures manual for final approval.** The jail administrator and sheriff or CEO should review the complete manual again before approving it for distribution.
- **Distribute the manual and train staff.** Once approved, the manual should be distributed so all staff have access to it. Staff should then receive training on all new policies and procedures.

Monitoring Compliance

There is an old adage that says "You get what you expect!" It is also true that "You get what you inspect!" Accordingly, the jail administrator should develop a system to monitor staff compliance with policies and procedures. Monitoring should incorporate multiple strategies such as:

- Periodic checks of documentation.
- Periodic interviews with staff, inmates, and other "users" of the facility.

- Observation of practice on all shifts.
- Regular and unannounced internal inspections (see "Internal Inspections and Audits" on pages 34–35).
- External inspections (jail standards inspectors, health and safety inspectors, etc.).

If monitoring reveals that policies and procedures are not being followed, corrective measures may be necessary. Before taking corrective action, it is important to understand the reason for the noncompliance. Depending on the reason, one or more of the following corrective measures may be necessary:

- Retraining if policies and procedures are not fully understood.
- Enhanced supervision if staff need additional direction.
- Disciplinary action if the matter is a staff performance issue.
- Additional resources and/or modification of facilities.
- Modification of the policies and procedures to reflect a more achievable course of action.

Maintaining the Manual

The policies and procedures manual is a living document that can be amended as needs, laws, and conditions change. Most standards require the policies and procedures manual to be reviewed at least annually, which can be accomplished most easily through the use of a staggered review schedule. Schedule a section of the manual or set of policies for review each month. Distribute copies of the policies to designated staff for review and get their input. Collect the reviewed policies, marked up with suggested changes, and make revisions where appropriate. These revised drafts of policies can then be reviewed, approved, and implemented as described above. By the end of the year, the complete manual will have been reviewed and



updated. An electronic version of the master manual should be maintained to facilitate changes.

Post Orders

The jail administrator should also see that detailed post orders laying out the precise responsibilities and tasks for each post and position in the jail staffing plan are prepared and implemented. The guidelines presented above for developing operational policies and procedures serve equally well for this task. The policies and procedures manual provides staff direction for what is to be done, why it is to be done, and how it is to be done; post orders detail what specific tasks are to be done, when they are to be done, and who will do them. Post orders may vary by shift and typically include:

- The post name.
- Hours of duty.
- Issue and review dates.
- A list of equipment required for the post.
- General instructions.
- A list of scheduled duties in chronological order.
- A list of unscheduled duties and the frequency with which they should be done. A sample post order format is shown in exhibit 3.

Documentation

Thorough and consistent documentation of jail operations is critical to effective jail administration. Documentation provides a means to identify needs, track progress, and evaluate the overall performance of jail operations and activities. It provides a means to verify that policies and procedures are being followed, that standards are being met, and that the jail is fulfilling its mission. Documentation is also one way of communicating key information to and among staff. Documentation includes records dealing with

management, operations, programs, and individual inmates. There are essentially three types of documentation: primary, secondary, and tertiary:

- **Primary documentation** includes records of a higher order, such as policies and procedures manuals, inmate handbooks, personnel manuals, and interagency agreements or contracts. Primary documentation generally informs and directs the work of jail operations for staff, inmates, and others.
- **Secondary documentation** includes records required by policy, such as logs, classification documents, internal inspection reports, medical screening forms, and disciplinary reports. It is kept for a variety of reasons, including to prove that policy is being followed, to pass on information to the next shift, to gather information for later decisionmaking, and to maintain inventory control.
- **Tertiary documentation** generally refers to all other types of supporting documentation. It includes such things as general correspondence, work orders, photographs, purchase orders, invoices, and minutes of meetings. Such documentation can demonstrate good faith on the part of the jail if it is challenged on conditions that are in the process of being corrected.

Effective use of jail documentation as an administrative tool requires a formal records management system. Such a system ensures that data are collected in a consistent format and maintained in a manner that permits both case level and aggregate information to be retrieved when needed. Policies and procedures addressing records management should include provisions for establishment, content, format, accountability, disposition, access, retention, and disposal of records. The jail should designate a staff person as the records manager; this person maintains a master log of all forms and records used in the facility.

Exhibit 3. Sample Post Order Format

Post:

The name of the post goes here.

Hours of Duty:

The hours of work and/or shift hours are listed here.

Example: 2250 – 0700
0650 – 1500
1450 – 2300

Days:

The days the post is staffed are listed here.

Example: Sunday through Saturday

Equipment:

The equipment that the officer is supposed to have in his or her possession for this specific post is listed here.

Examples: Badge, nameplate, identification card, post keys, flashlight

A. General Instructions:

Anything that does not fit under scheduled duties or nonscheduled duties can be included as a general instruction.

Examples: 1. Officers assigned to the duty station must be in complete uniform.

2. Officers assigned to this post are to log their name and the date, time, and duty station when arriving and log off when leaving the post.

B. Scheduled Duties (all times approximate):

In this section, each scheduled duty is listed chronologically with the time that duty is supposed to be done.

Examples: 0650 Roll call
0655 Obtain post keys
0700 Shift change on post

C. Nonscheduled Duties:

Any duties that do not have a specific time or are continuous are listed here.

Examples: 1. Maintain logbook with an account of all significant events.
2. Admit officers walking rounds and observe them while in the units.
3. Receive all inmates and provide orientation to the unit.

Many jails have incorporated their records and documentation into electronic management information systems, which have several advantages over the old paper systems. Physical space required for record storage is reduced, while capacity to retrieve and share information among staff is greatly enhanced. Newer electronic systems have data extraction and report generation features that allow jail staff to conduct studies and customize reports that help assess needs and analyze trends.

On the downside, electronic systems may be costly both to customize for individual jails and

to maintain. Staff who are not computer literate may experience a significant learning curve in using these systems, although that is changing with the influx of younger staff who have grown up with the technology. Lastly, contingencies must be in place to continue operations during periods of time when the computer system is down.

Monitoring and Assessment

Internal Inspections and Audits

The jail's operations and programs should be monitored regularly through a process of internal



inspections and reviews. An internal monitoring system provides timely observation and assessment of critical jail functions and helps the jail administrator stay informed about programs, activities, and problems in the jail. It can reveal how well the facility is complying with policies and procedures, standards, and other legal requirements. It also provides a means to determine if the jail is meeting its goals and helps to identify areas needing change. A process for developing an internal monitoring system is discussed below:

- **Identify the functions or activities to be monitored.** Identify the key operational functions and activities that you want to monitor and assess on a regular basis. This will establish the main topic areas and foundation for internal audits and reviews. Jail standards are a good place to begin. Many standards require periodic review of life, health, and safety functions.
- **Select the most effective method of review.** Methods typically include review and sign-off of activity or census reports; periodic review/examination of logs and records; inspection of facilities, equipment, and/or furnishings; and visual observation of activities. Obtain or develop a series of review checklists to facilitate your reviews by whatever method works best. Tailor the checklists to be facility-specific and specific to the method of review. Use these to record problems discovered, confirm policy compliance, and rate performance.
- **Determine the frequency of reviews.** The frequency of review depends on the type of function or activity being reviewed. Although your needs may dictate a different schedule, as a general rule the internal audit system should include scheduled assessments of various functions on a daily, weekly, monthly, quarterly, semiannual, or annual basis. In many cases, jail standards dictate the frequency of reviews.

- **Assign responsibility for conducting the review.** The reviewer may be a staff person who has administrative oversight of the function or may have special qualifications needed to conduct the review (e.g., the designated safety and sanitation officer is typically assigned to conduct periodic safety and sanitation inspections).
- **Establish a schedule for the reviews.** Schedule reviews on a master calendar and on the calendars of staff assigned to conduct them so that the reviews get incorporated into the day-to-day work.
- **Establish a process to correct identified deficiencies.** Some deficiencies may be corrected immediately by the staff responsible for the function or activity. Other deficiencies may require additional resources or resolution at a higher level. A corrective action plan that details the corrective measures, resources needed, responsible persons, and timeframes may be required.

The jail administrator should assign a staff person to coordinate the internal monitoring process. The coordinator should assure that the reviews are completed as scheduled and that appropriate corrective action is taken when necessary. He or she should also track any issues, concerns, trends, or problems that surface as a result of the reviews and notify the jail administrator of any items requiring immediate attention. The information should also feed into the facility's strategic planning and budget processes.

Tip for Administrators

Establish a process of internal reviews and external inspections to monitor jail operations and programs regularly. Use the information gathered in the reviews to correct deficiencies and make improvements.

External Inspections

The jail may also be inspected by a number of external entities that have regulatory responsibility over various aspects of jail operations. This

may include a jail inspection agency, health department, fire inspection agency, building code inspection bureaus, and agencies responsible for monitoring workplace safety. Most of these inspections are conducted on an annual cycle, although sometimes more frequently. External inspections may also be conducted as a result of a reported incident or complaint. In most cases, the inspector generates a report that indicates the jail's compliance status and any required corrective measures. The jail administrator should strive to develop good working relationships with representatives from external inspection agencies. In addition to the objective perspective provided by an external inspection, the agency may be a source of technical assistance and support when improvements are needed.

Exhibit 4 lists the jail functions that should be monitored, along with recommendations for monitoring methods, frequency of monitoring, and who should perform the monitoring. Jail administrators can also gain significant insight into how well the jail is functioning and what problems exist by reviewing documentation from past internal and external inspections. Your review may also show pending issues that require immediate attention.

Working With Other Components of the Criminal Justice System

The jail does not exist in isolation. It functions within the context of a broader criminal justice system that includes law enforcement, prosecutors, judges, defense counsel, probation, and other correctional agencies. The use of the jail is driven by a number of factors within the criminal justice system:

- Policies, practices, and resources of entities other than the jail within the local criminal justice system.
- Arrest rates for various types of crimes.

- Level of efficiency of the justice system in moving defendants through the adjudicatory process.
- Extent to which alternatives to incarceration are available and used.

The decisions of the various justice system officials in the course of their day-to-day processing of persons through the system determine how the jail is used. Accordingly, it is important for justice system officials to agree on the purpose and role of the jail in the system.

The lack of alternatives to incarceration also affects jail use. Judges often face the dilemma of not having adequate pretrial supervision or sentencing options. Jails, by default, become the primary option for dealing with the majority of repeat minor offenders.

Inefficiencies in the functioning of the justice system also contribute to the use of jail bed-space. Delays in the processing of cases of persons in custody lead to longer stays in detention. Delays may be caused by insufficient resources of treatment providers. Backlogs and waiting lists for services do little to instill judges' confidence in the use of alternatives. On the other hand, jail officials generally cannot refuse to accept custody, regardless of the availability of bedspace in the facility. Other system-related problems that add to jail bedspace use are, for example, backlogs of court dockets, excessive use of continuances, and untimely completion of presentence reports.

For the reasons described above, it is important for the jail administrator to work closely with local criminal justice system officials to understand the factors driving the use of the jail. Changes in how cases are processed by justice system agencies or in the availability of alternative programs can alter the number of jail admissions and/or the length of stay of persons in custody and thereby significantly affect the size



Exhibit 4. Monitoring Performance Through Inspections and Audits

Functions and Activities	Monitoring Method	Frequency	Responsible Staff
General Administration			
Mission and goals	Review	Annually	Administrator
Organizational structure/chain of command	Review	Annually	Administrator
Facility policies and procedures	Review	Annually	Administrator
Fiscal Management			
Accounting procedures	Review	Annually	Administrator
Cash management	Inspect physical handling and review documentation	Daily	Administrator
Fiscal activities	Review and sign off	Ongoing	Administrator
Accounting procedures and fiscal activities	Independent financial audit	Annually	Independent financial auditor
Inventory control	Conduct physical inventory	Annually	Administrative staff
Personnel			
Staffing requirements	Conduct staffing needs assessment	Annually	Administrator
Drug-free workplace policy	Review and update policy	Annually	Administrator
Employee performance reviews	Review personnel files	Annually	Administrator
Training			
Training plan	Review/approve annual plan	Annually	Administrator
Training needs	Conduct assessment	Annually	Training coordinator
Training adequacy/effectiveness	Review and evaluate training impact	Annually	Training coordinator
Required training	Review training records	Annually	Administrator
Security			
General security	Observe security practices during daily patrol	Daily	Shift supervisors
	Observe facilities for hazards and observe operations for unsafe practices during weekly visit to housing and activity areas	Weekly	Facility administrator or designee
	Formally inspect all security devices/features	Weekly	Chief security officer
Post orders	Review and update	Annually	Administrator
Jail log	Review and sign off	Daily	Shift supervisors
Security equipment (firearms, chemical agents, etc.)	Inventory and inspect all items	Monthly	Chief security officer
Key/tool control	Observe use of system for checking items out and in; inspect storage areas; review records	Monthly	Chief security officer

Continued on next page.

Exhibit 4. Monitoring Performance Through Inspections and Audits (continued)

Functions and Activities	Monitoring Method	Frequency	Responsible Staff
Security (continued)			
Shakedowns and searches system; inspect storage areas; review records	Review documentation of shakedowns, facility searches, etc.	Monthly	Chief security officer
Safety			
Fire and life safety	Inspect facilities for hazards and observe operations for unsafe practices	Weekly	Trained, designated staff
	Conduct comprehensive inspection with checklist	Monthly	Qualified fire and safety officer
Fire inspection and equipment	Inspect and test	Quarterly	Qualified fire and safety officer
Fire inspection	Independent inspection	Annually	Local or state fire officials
Power generators	Conduct equipment test	Biweekly	Qualified staff
Emergency systems (alarms, standby lighting, communications systems, etc.)	Conduct equipment tests	Quarterly	Qualified staff
Written evacuation plan	Review and certify	Annually	Qualified independent inspector
Emergency plans	Review and update	Annually	Administrator; safety officer
Sanitation and Hygiene			
General sanitation and cleanliness	Observe all facility areas	Daily	Line and supervisory staff
Sanitation inspections	Formally inspect all facility areas	Weekly	Qualified staff
	Conduct comprehensive inspection	Monthly	Sanitation specialist
	Independent inspection	Annually	Local or state sanitation and health officials
Water supply	Test and certify	Annually	Qualified independent source
Pest control	Inspect	Monthly	Qualified staff or outside source
Food service operations	Inspect sanitation levels	Weekly	Administrative or food service supervisory staff
Inmate Supervision and Management			
Well-being checks and counts	Observe; review logs	Weekly	Administrator or designee
Classification	Review several case records for documentation of classification	Monthly	Administrator or designee
Special management	Observe general conditions; review logs	Monthly	Administrator or designee
Major incidents; use of force	Review reports	Ongoing	Administrator or designee

Continued on next page.



Exhibit 4. Monitoring Performance Through Inspections and Audits (continued)

Functions and Activities	Monitoring Method	Frequency	Responsible Staff
Rules, Discipline, and Grievance			
Inmate rules of conduct	Review and update	Annually	Administrator or designee
Disciplinary process	Review several case records for documentation of disciplinary action taken	Quarterly	Administrator or designee
Grievances	Review grievance records and dispositions	Quarterly	Administrator or designee
Food Service			
Dietary allowances	Review and evaluate menus	Quarterly	Food service supervisory staff
	Review menus	Annually	Qualified dietitian
Meal preparation and service; quality of meals	Observe food service operations and meal service	Monthly	Administrator or designee
Health Care			
Health-care effectiveness	Review statistics; hold meetings with health care authority	Quarterly	Administrator
Health-care delivery system	Review and assess	Annually	Health-care authority
Access to services	Review several case records for documentation of medical services provided	Monthly	Administrator or designee
Medical equipment, supplies, and pharmaceuticals	Inventory and inspect	Weekly	Jail nurse
First aid kits	Inspect and resupply	Quarterly	Jail nurse
Admission and Release			
Admission and release process	Observe; review admission and release documentation in several case records	Monthly	Administrator or designee
Property	Inspect property room; observe handling of property during admission/release	Monthly	Administrator or designee
Programs and Services			
General access to programs and services	Review programs and services and assess adequacy to meet inmates' needs	Annually	Administrator or designee
Laundry	Review and assess services	Quarterly	Supervisory staff
Library services	Review library program	Quarterly	Program coordinator
Religious services	Review inmate requests for religious services; assess adequacy of current resources	Quarterly	Program coordinator
Counseling and education services	Review inmate requests; assess availability and adequacy of services	Quarterly	Program coordinator

Continued on next page.

Exhibit 4. Monitoring Performance Through Inspections and Audits (continued)

Functions and Activities	Monitoring Method	Frequency	Responsible Staff
Programs and Services (continued)			
Mail services	Observe handling and distribution of mail	Monthly	Supervisory staff
Visiting	Observe the visiting process	Quarterly	Supervisory staff
Telephone services	Review inmate access	Annually	Supervisory staff
Work release and inmate work programs	Review work release and inmate work programs	Annually	Program coordinator
Commissary	Review commissary services	Annually	Administrator or designee
Maintenance			
Preventive maintenance	Review maintenance logs; compare with preventive maintenance schedule	Quarterly	Maintenance supervisor

Tip for Administrators

Become actively involved in the local criminal justice coordinating committee if such exists in the community. Advocate for the development of a coordinating committee if none exists.

and makeup of the jail population. Many communities have established coordinating committees to discuss and address criminal justice issues. The members of these committees are generally key justice system officials and other stakeholders who have an interest in the effective functioning of the system. Ideally, coordinating committees work to:

- Improve analysis of criminal justice system problems.
- Improve coordination and cooperation among criminal justice agencies.
- Provide a means to establish system-level goals, objectives, and priorities.
- Promote more effective allocation and use of resources.
- Improve criminal justice programs and services.
- Improve the quality and capacity of criminal justice system personnel.

The jail administrator should be an active participant in the local criminal justice coordinating committee where such exists. Whether or not there is a formal group, you should establish regular communication with key criminal justice system officials to share information about the jail population and the impact of justice system policies and practices on the jail. Channels of communication include the following:

- **Written activity reports.** Provide regular written activity reports to prosecutors, judges, and other key officials indicating current population levels and specific information about who is in the jail and their status.
- **Annual reports.** Send criminal justice officials copies of the jail's annual reports showing overall activity for the year.
- **Meetings.** In addition to written materials, monthly or quarterly meetings with justice officials provide an opportunity for all parties to discuss needs and address issues.
- **Onsite visits.** Invite officials to visit the jail periodically so that they may gain a



better understanding of its capabilities and limitations.

Educating the Community and Funding Authority

The support of the community and funding authority is essential if the jail is to get the resources it needs to function effectively.

Historically, the jail for most people has been “out of sight and out of mind.” Their perceptions of the jail are often shaped by the media and what they have heard from others anecdotally. Compared with other functions of government, the jail is not a high priority for funding in many jurisdictions. Given these circumstances, it is essential that the jail administrator (directly or through the sheriff) educate the community and the funding authority about the jail, its role within the criminal justice system, and its needs.

Strategies for Educating the Funding Authority

Use the following strategies to educate the funding authority about the jail:

- **Visits.** Statutes in many states require the funding authority to visit the jail periodically. Encourage the funding authority to visit the jail regularly to observe operations, assess conditions, and identify needs.
- **Meetings.** Meet with representatives of the funding authority on a regular basis to review accomplishments, discuss needs, and address issues. The funding authority should not be learning about problems or needs for the first time at annual budget hearings.
- **Reports.** On a regular basis, submit written reports to the funding authority that provide information on jail activity, progress in meeting performance goals, and trends.
- **Resource materials and training.** Give the funding authority copies of resource materials that provide information about jails and make them aware of training opportunities where they may learn more about jail issues and trends.

- **Well-prepared budgets.** Document the jail’s needs thoroughly in your budget request. Link requests for funds directly to the goals and objectives established to carry out the jail’s mission. A well-prepared budget can be an excellent communication tool.

Strategies for Educating the Community

Although the community does not require the same level of detail about the jail as the funding authority, community members do need to understand how the jail serves them and the consequences of having a jail that does not meet the community’s needs. Use the following strategies to educate the community about the jail:

- **Written materials.** Prepare brochures and fact sheets that provide information about the jail, including its mission and goals, role within the criminal justice system, inmate population characteristics, accomplishments, and contact information. Distribute these to the media, the funding authority, and to the community during speaking engagements and in other public forums.
- **Videos.** Prepare a video about the jail to share at public meetings, presentations, or on public access television channels.
- **Media.** Establish good relations with the local media. More information about working with the media is provided later in this chapter (pages 43–45).
- **Jail tours.** Make the jail available to the media and community groups for tours. Use these tours as an opportunity to highlight your accomplishments and describe the needs and challenges the jail is facing.
- **Presentations.** Provide information about the jail in presentations to civic organizations, churches, and other community groups. They are often looking for speakers

and may be looking for issues and projects to support. Many of the civic and natural leaders of the community belong to these groups. Cultivate good relations with these leaders, as they are the ones who can influence funding authorities and other community members.

- **Volunteers.** A strong volunteer program in the jail also forges many connections with the community. Volunteers see first hand the challenges and needs of the jail and become strong advocates for the jail with their friends, family, and other community members.

Public information officers and marketing specialists in the private sector are two good resources for jail administrators to use in developing a community education plan. These professionals can help shape the jail's message and carry it through in a variety of formats.

Establishing Community Partnerships

In addition to being a critical component of the local criminal justice system, the jail is part of the community's broader system of human services. All of the jail's inmates have had experience with other social institutions in the community—examples range from family, school, and church to foster care and mental health and substance abuse treatment—before coming to jail. Family conflict, education failure,

chemical dependencies, and mental illness are all factors that contribute to behavior that can lead to involvement with the criminal justice system. The public safety element of the jail's mission suggests that the jail has a role in addressing these issues as part of the community's overall effort to reduce future criminal behavior. This means providing

some services to offenders while in jail and linking the offenders to services made available on release as part of a coordinated intervention system. To accomplish this daunting task, the jail administrator must gain the support and cooperation of the human services providers in the community and other stakeholders who have an interest in better outcomes for offenders. Establishing community partnerships can improve access to and coordination of services for offenders.

Community partnerships are organized in a variety of ways, but all seek to improve services by increasing the input and involvement of participants around a common goal. As indicated in the previous section, many communities have established coordinating committees to improve the criminal justice system. Similarly, groups have come together in some jurisdictions to bring about improvements in the facilities, operations, and services of the local jail. The kind of partnership that will most benefit the jail depends on what is needed to improve its services. Indeed, the jail may be part of multiple partnerships that are supportive of its goals. Some examples of the different types of partnerships are described below:

- **Task forces.** Task forces accomplish a specific set of tasks around a pressing issue, generally at the request of an overseeing body. Once the tasks are accomplished, the task force is disbanded. Groups established to address jail overcrowding or building a new facility are examples of task forces.
- **Advisory boards.** Advisory boards provide suggestions and assistance to an organization. They are generally permanent bodies with changing memberships. Many jail administrators have found the advocacy and influence of advisory boards with funding authorities helpful in getting needed resources for the jail.

Tip for Administrators

Make effective use of community resources. Reach out to the community to establish partnerships to provide services and improve the functioning of the local criminal justice system.



- **Networks.** Networks are typically loose-knit groups that form to provide a vehicle to share information regularly. The jail may be part of a network with local human services providers that meets to discuss specific cases and/or overall service capacity needs for the community.
- **Coalitions.** Coalitions are groups that form to mobilize people around a common program and generate power. Coalitions take a stand on issues and promote them. Mothers Against Drunk Driving and tax protest groups are examples of coalitions. Coalitions can be a benefit or barrier to effective jail operations. A goal of the jail administrator is to find ways to align the interests of these groups with the interests of the jail.
- **Interagency agreements.** These are partnerships that form as two or more organizations contract to support each other in their specific missions. Agreements between the jail and a county health department or the community mental health center to provide services to inmates in the jail are examples of this type of partnership. Interagency agreements often lead to better coordination of services and provide opportunities to access funds from multiple funding sources that currently support traditionally separate services and programs.
- **Contracts.** Contracts are business agreements between organizations or between an organization and an individual to provide goods or services. Contracts have specific objectives, are time limited, and assign specific responsibilities to the contracting parties. Agreements with vendors to provide food services or health services are examples of contracts in jails.

The jail administrator is responsible for engaging stakeholders in the community on jail issues and working toward the establishment

of partnerships that will help the jail achieve its mission and goals.

Tip for Administrators

Develop an effective communications plan to educate the community about the jail and to establish positive relations with the media.

Working With the Media

One of the jail administrator's more challenging administrative responsibilities is working with the media. Your objective in working with the media is to establish good relations that will result in positive reporting about the jail. When bad things do happen, good relations with the media will increase the likelihood that jail officials will be treated fairly and the story will be reported accurately.

The media's primary responsibility is to provide the public with information it values. In fulfilling this responsibility, the media:

- Communicate and interpret information about major events of the day.
- Provide a means for public officials to convey an agenda or explain actions.
- Serve as the eyes and ears of the public, scrutinizing the behavior of public officials for evidence of corruption, incompetence, or carelessness.

As a public entity involved in activities of interest to the public, the jail may have contact with the media on a regular basis in each of these contexts. The media will be interested in reporting on events involving the jail—both good and bad—and will monitor the performance of jail officials. On the other hand, the media also provide a vehicle for the jail administrator to explain the role of the jail to the community, highlight its accomplishments, and convey its needs. Regardless of the reason for contact, establishing a media strategy and developing good working relationships with the media representatives who cover the jail are essential.

What Makes a Story Newsworthy?

The media are interested in stories that are interesting, relevant, timely, and controversial. Stories that meet one or more of the following criteria are likely to be considered newsworthy:

- **Timeliness.** Nothing beats breaking news. Breaking news is immediate news about something that just happened and that matters to a defined audience.
- **Proximity.** Most media are first and foremost interested in stories with a local angle.
- **Consequence.** Stories that affect the community are news. The more people affected, the bigger the story.
- **Conflict.** Whether it involves people or organizations, conflict makes news.
- **Progress.** People like to hear when things are getting better.
- **Human interest.** People are interested in people. Those who read, listen to, and watch the news like to learn about others.
- **Novelty.** People enjoy seeing, reading, or hearing about the unusual or quirky.
- **Tradition.** Annual events or major anniversaries may be newsworthy.
- **Spectacle.** Story about a major celebration or a big event may be news.
- **Prominence.** Some people are newsworthy simply because of their fame or their position of power.

Be alert to positive events or situations in the jail that may be considered newsworthy. Stories about successful jail programs, awards received by staff, or progress being made on jail projects are several such examples.

Developing a Media Plan

A formal media plan will help you get the most out of any contact with the media. Following are guidelines for developing a media plan:

- Develop written policies and procedures for dealing with the media.
- Designate a qualified staff person to coordinate communications activities for the agency.
- Ensure that all staff understand the reasons for designating a specific communications contact with the media (whether an individual or a team) and that they know the contact(s) and how to reach them.
- Obtain training on dealing with the media for yourself and designated staff.
- Develop a comprehensive media resource inventory that lists all newspapers, radio stations, television channels, and contact persons appropriate to the jail's target audience.
- Develop a message that best conveys the facility's mission and any other key information the public should know about the jail.
- Develop media materials that include background information on the jail, for example, fact sheets that cover key data and trends, current issues, and recent accomplishments and include names and contact information for key individuals, pictures and charts, and responses to frequently asked questions. Keep copies available for distribution.
- Establish contacts and relationships with key people in the media.
- Find out about the deadlines, constraints, and needs of the various media outlets and be responsive to them.



Be proactive in your contact with the media. Initiate positive contact with the media to get your message out when things are going well. Media outlets experience many slow news days when they are looking for filler stories. Use these opportunities to build goodwill that you can draw on when a crisis occurs and also to get your message out to the public.

Communicating With the Media in Crisis Situations

When an incident or crisis occurs at the jail, the media will likely be there to cover it. Several basic steps for dealing with the media in these circumstances are outlined below:

- Have an indepth crisis communications plan that includes dealing with the media, the community, and your employees.
- Create a team to work with the media in the crisis communications plan. Designate a spokesperson and backups.
- Make sure all jail staff know who is designated to deal with the media and respect that person's position with the media.
- Make sure the crisis team has been professionally trained in doing "hard news" interviews.
- Make sure the media know who your designated spokesperson is and that your spokesperson is accessible.
- Respond to reporters' questions promptly. They expect a return call or an onsite interview within 10 minutes of the request. Saying nothing is worse than saying, "I don't know."
- Prepare a statement dealing with the crisis situation. Distribute the statement to the media when requests come in.
- Do not lie or bend the truth—it will come back to haunt you. Do not say "No comment." However, it is OK to say, "I'm not sure how to answer that."
- Never go off the record. In a crisis, there is already much confusion. Do not add to it. Tell a reporter only what you want to see on the front page of the local paper.
- Don't be drawn into speculation, causes, or outcomes. Your immediate responsibility is to handle the crisis.
- Show that your organization is addressing the situation.
- Beware of admitting liability.
- Where possible, keep elected officials and staff informed of actions and developments.
- Have media kits prepared and in the crisis room ready for distribution. The media kit should be a folder that contains information about the jail and the situation, important phone numbers, and a list of positive things your organization has done in the recent past.
- Practice implementing the crisis plan by going through a mock crisis at least annually.
- After the crisis, review the handling of the situation to see how well the communications plan served your needs.

Public information officers of public and private sector agencies may be good sources of information and assistance in developing a plan to communicate with the media. Journalism departments in local colleges may also be helpful in developing the plan, providing training, and assisting in the development of media resource materials.

Recommended Resources

Mission and Planning

“Basics of Developing Mission, Vision and Values Statements.” C. McNamara, Free Management Library, www.managementhelp.org/plan_dec/str_plan/stmnts.htm#anchor519441. Accessed in August 2004.

Beyond the Myths: The Jail in Your Community (video). National Institute of Corrections, 2003.

Correctional Administration: Integrating Theory and Practice. R.P. Seiter, Prentice Hall, 2002. (See chapter 3, “Creating a Vision, Mission Statement, and Strategic Plan.”)

Criminal Justice Organizations: Administration and Management, 2d ed. S. Stojkovic, D. Kalinich, and J. Klofas, West/Wadsworth Publishing Company, 1998.

Jail Resource Issues: What Every Funding Authority Needs To Know. G.M. Bowker, National Institute of Corrections, 2002.

“Strategic Planning.” C. McNamara, Free Management Library, www.managementhelp.org/plan_dec/str_plan/str_plan.htm. Accessed in August 2004.

Budgeting and Budget Management

Accounting Issues and Practices: A Guide for Smaller Governments. G.S. Allison, Government Finance Officers Association, 1996.

The Best of Governmental Budgeting: A Guide to Preparing Budget Documents. D. Strachota, Government Finance Officers Association, 1994.

Budget Guide for Jail Administrators. Part 1: Developing the Budget. M.D. Martin, National Institute of Corrections, 2002.

Budget Guide for Jail Administrators. Part 2: Managing the Budget. M.D. Martin, National Institute of Corrections, 2002.

Budget Guide for Jail Administrators. Part 3: Beyond Budget Allocation—Sources of Funding and Services. M.D. Martin, National Institute of Corrections, 2002.

The Operating Budget: A Guide for Smaller Governments. J.C. Powdar, Government Finance Officers Association, 1996.

Human Resources Management

Correctional Administration: Integrating Theory and Practice. R.P. Seiter, Prentice Hall, 2002. (See chapter 11, “Human Resources Management for Corrections.”)

“Human Resources Management.” C. McNamara, Free Management Library, www.managementhelp.org/hr_mgmt/hr_mgmt.htm. Accessed in August 2004.

Policies and Procedures

Developing and Revising Detention Facility Policies and Procedures, rev. ed. M. Martin, National Institute of Corrections, 2002.

Criminal Justice System Coordination and Community Partnerships

Building Partnerships: A Systems Approach to Partnerships in Corrections. V. Jacobson, National Institute of Corrections, 1995.

Guidelines for Developing a Criminal Justice Coordinating Committee. R.C. Cushman, National Institute of Corrections, 2002.

A Second Look at Alleviating Jail Crowding: A Systems Perspective. Pretrial Services Resource Center, 2000.

Media Relations

The Associated Press (AP) Stylebook and Briefing on Media Law. N. Goldstein (editor), Associated Press, 2004.



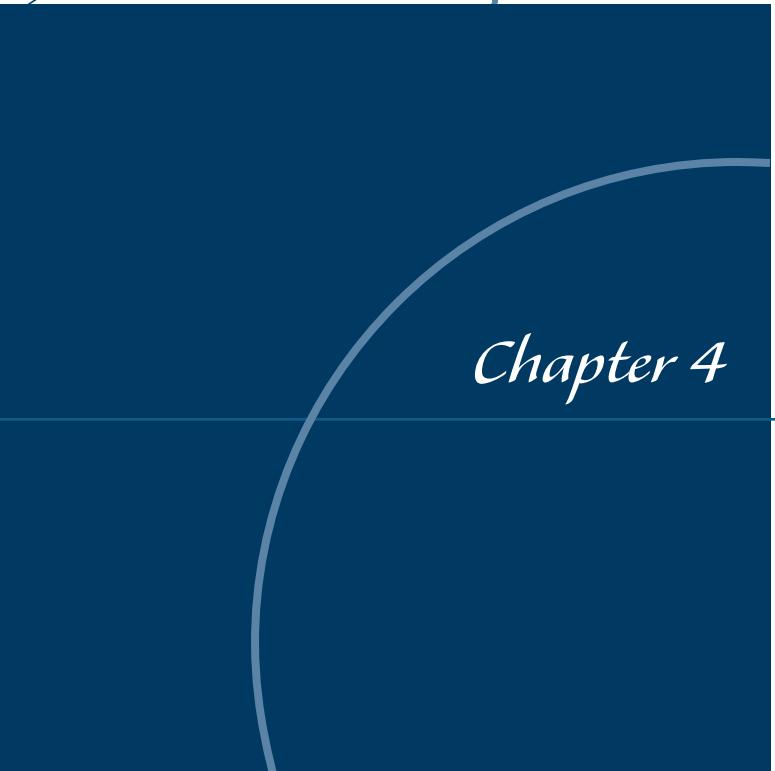
Communicating in a Crisis: Risk Communication Guidelines for Public Officials. U.S. Department of Health and Human Services, Center for Mental Health Services, Substance Abuse and Mental Health Services Administration, 2002.

Dealing With the Media (Web site). Global Development Research Center, www.gdrc.org/ngo/media/. Accessed July 2004.

Oxford Essential Guide to Writing. Oxford University Press, 2003.

Pocket Guide to Public Speaking. W.S. Pfeiffer, Pearson Education, 2001.

Pocket Guide to Technical Writing, 3d ed. W.S. Pfeiffer, Pearson Education, 2003.



Chapter 4

Jail Facilities



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Overview

This chapter addresses a range of issues relating to the jail's physical plant and outlines the characteristics of facilities that contribute to effective jail operations. It includes a basic description of the physical components and design features common to most jails and discusses methods for defining jail capacity and managing crowded facilities. The chapter also reviews the environmental conditions in jails that affect the quality of life for staff and inmates and outlines steps for establishing effective jail sanitation and preventive maintenance programs.

Legal Requirements and Standards

1. Inmates have a right to safe, humane living conditions. The basis of most “conditions of confinement” litigation against jails is inadequacy in the facility’s space, environmental conditions, safety, or sanitation.
2. Federal and state laws and regulations govern the safety and environmental quality of public buildings and worksites.
3. State physical plant standards address issues such as facility size and location, security features, occupancy and space requirements, equipment and furnishings, environmental conditions, and the availability of various types of spaces for programs, services, administration, and other functions. American

Correctional Association (ACA) standards also include physical plant standards. Where state standards and ACA standards conflict on issues relating to the physical plant, the jail administrator’s first obligation is to meet the state standards that are mandatory for his or her jurisdiction; however, jurisdictions may exceed state standards to meet a higher ACA standard if they decide to do so.

4. ACA and state standards address facility maintenance and sanitation.

Characteristics of Facilities That Support Effective Jail Operations

An adequate facility is an essential component of effective jail operations. To assess the adequacy of current facilities and plan improvements, an understanding of the features and characteristics that support safe, secure, and efficient operations is helpful. Those characteristics include the following:¹

- Adequate capacity with flexible housing arrangements that allow for proper classification of inmates and handling of peaks in population levels.
- Availability of the appropriate types of housing (single-occupancy cells, multiple-occupancy cells, dormitories) for the types of inmates held.

¹ D.A. Kimme, *Jail Design Guide: A Resource for Small and Medium-Sized Jails* (Washington, DC: U.S. Department of Justice, National Institute of Corrections, 1998).

- Clear visibility into housing areas from fixed posts that facilitate constant rather than intermittent surveillance or supervision of inmates. Officers should have a clear line of sight into housing unit day areas and cell fronts with minimal obstructions that could create blind spots.
- Adequate living and working environment (lighting, temperature, air quality, sound levels, cleanliness, plumbing, etc.).
- Adequate space for intake, programs, support services, administration, and storage.
- Efficient layout of rooms and spaces that supports staff and accommodates flow of activities and services.
- Clean and well-maintained space with appropriate fixtures, finishes, furnishings, and equipment in good repair and working order.
- Space that complies with life safety codes, health codes, workplace safety standards, and jail standards.

Capacity and Jail Crowding

Inadequate capacity is a primary concern for many jail administrators. To communicate more effectively with funding authorities and other key decisionmakers about this issue, you should be able to describe the capacity of your facility from several different perspectives. A few definitions of capacity are given below:

- **Design capacity:** The original number of beds the facility was designed to hold. In older facilities, space designated at design capacity may fall well short of contemporary standards.

- **Rated capacity:** The number of beds deemed appropriate for the facility based on a recognized set of standards or regulations.
- **Operational capacity:** The optimum number of inmates a facility can efficiently and effectively manage and classify. Operational capacity is usually expressed as a percentage of design or rated capacity (e.g., 80 percent of rated capacity). This percentage will vary from one facility to another, based on factors such as the types of inmates held, housing unit design, and proximity of staff.
- **Functional capacity:** The number of inmates a facility can accommodate and still maintain basic services. Beyond this capacity, basic services and security begin to break down. As with operational capacity, functional capacity is usually expressed as a percentage of design or rated capacity and this percentage may vary from one facility to another, based on the factors listed above. Length of stay, ability to time-phase,² use of various spaces, and availability of activities to keep inmates productively occupied are factors that affect how well a facility tolerates crowding.
- **Emergency capacity:** The number of inmates the facility can accommodate until more adequate arrangements can be made. Usually some services are suspended in this circumstance.

The most commonly used definition of **crowding** is that the jail population consistently exceeds design or rated capacity. In reality, symptoms of crowding may be apparent if the jail regularly exceeds its operational capacity. Compromising the jail's classification capabilities is likely to lead to increases in violence, tension, and the

² “Time-phase” refers to the scheduled use of facility space, such as a classroom or exercise area, by inmates in special management classifications (i.e., disciplinary detention, administrative segregation, and protective custody) who must be separated from the general inmate population.



availability of contraband. Basic services (security, maintenance, sanitation, programs, recreation, etc.) begin to break down when they are stretched to their limits over extended periods of time.

Jail crowding also becomes a serious and immediate concern when the population exceeds the functional capacity of the jail and basic services are no longer consistently provided. These conditions leave the jail open to significant liability exposure and jeopardize the safety and well-being of both inmates and staff.

Ultimately, jail crowding is a community issue that requires an external response. The jail administrator must make key decisionmakers aware of the issue and work closely with them to develop and implement strategies to manage the jail population. The administrator is also responsible for seeing that basic services are maintained despite crowded conditions. Many management options are available to help you deal with problems that arise from crowding. A few examples follow:

- Increase access to telephones to help inmates get released faster.
- Adjust schedules and expand hours of visitation and recreation to handle more inmates.
- Increase the frequency of officer rounds and interaction with inmates to reduce the potential for violence.
- Organize more work details and increase programming to keep inmates occupied.
- Increase the use of incentives to promote good behavior.
- Monitor the case status of inmates to see that no inmate falls through the cracks.
- Develop options for flexible use of housing by reallocating space to handle additional inmates of specific classification types.

- Time-phase the use of common areas to increase inmate access.
- Utilize house arrest/electronic monitoring for community-custody inmates.
- Utilize day-reporting programs, where inmates go home at night and report to the jail during daytime hours.

Work with local officials first to establish capacities for the jail based on the definitions given above and then to keep the jail population within these limits. Develop both internal and external population management strategies to deal with bedspace demands that exceed available capacity. Knowing the characteristics of your inmate population is key to the success of your population management strategies because it enables you to identify target populations for whom alternatives may be appropriate.

Tip for Administrators

Enlist the support of law enforcement, judges, prosecutors, and other key criminal justice officials in establishing a process to achieve better control over the use of the jail. Know who is in jail and whether they are being held for purposes consistent with the mission of the facility. If your jail is crowded, take whatever administrative steps you can to minimize the impact of the crowding on day-to-day operations.

Jail Facility Components and Design Features

The design and layout of jails across the country vary widely due to factors such as age, size, mission, and function. However, the following components and design features are present in some form in most facilities:

- Security perimeter.
- Control center.
- Intake area.
- Visiting areas.
- Inmate housing.
- Support services areas.
- Program and recreation areas.

- Administrative areas.
- Staff areas.

A brief description of the function and basic features of each of these components is provided below.

Security Perimeter

The security perimeter is the outer portion of the facility (including walls, ceiling, and floors) that forms a sealed barrier between the secure area of the jail and the outside world. Its purpose is to

prevent escape, unauthorized entry or exit, and passage of contraband. The security perimeter often includes several entry/exit points that must be controlled to manage the movement of staff, inmates, visitors, and service providers in and out of the secure area of the jail. A separate security entrance should be available for all deliveries to the facility and for refuse removal. Many

jails also have internal security zones that provide for separation of functional areas and control access to the different areas of the jail. Internal zones may include areas such as general population housing, special management housing, program and support spaces, visiting, and central control. Establishing and maintaining a reliable security perimeter are major factors in preventing security breakdowns in the jail.

Control Center

Most jails have an area that serves as the hub for monitoring and coordinating communications, life safety, and security systems. Closed-circuit television monitors, intercoms, telephone lines, fire and smoke alarms, door alarms, and door controls may be located in the control center. The control center is typically a secure, fixed

post that is staffed 24 hours a day. Access to the control center is limited to specific staff and prohibited to inmates and the public.

Monitoring and control functions are the primary responsibilities of the control center staff. In smaller facilities, the control center may be combined with law enforcement dispatch and may also be responsible for lobby reception, supervision of visiting, recordkeeping, and answering outside telephone lines. Overburdening the central control position is easy to do, so the workload of this position should be evaluated periodically to ensure that security and safety are not being compromised.

Intake Area

The intake area, commonly referred to as “booking,” is where inmates are processed into and released from the facility. Intake processing for newly admitted inmates typically includes activities such as searching, removing, and inventorying property; fingerprinting; photographing; medical screening; collecting personal history data; and recording charge information. Telephone calls and visits with attorneys may also occur during this time. Inmates may be temporarily held in this area until release is secured or they are transferred to a housing unit. For inmates who are not able to secure release, additional intake processing activities typically include showering, dressing in jail clothing, receiving orientation to the jail’s rules, and undergoing an indepth assessment of risk and need. The intake area may also be used for release processing. In many jails, inmates being released from the facility are often brought back through the intake area to execute release paperwork, exchange jail clothing for their own, and have personal property returned.

Intake areas should be located within the jail’s security perimeter, near interview rooms, medical examination areas, and property storage

Tip for Administrators

Conduct a comprehensive facility assessment to determine the extent to which the facility supports safe, secure, and efficient operations. Use this assessment as a baseline in developing a plan to address areas needing improvement.



areas if these elements are not included within the intake component, but apart from inmate housing areas. Entrance to the intake area should be through a secure sallyport apart from the public entrance to the jail. The intake area should include the types of spaces and equipment necessary to complete the intake and release processing activities described above. Note that in some states, standards may require certain types of spaces and capabilities in the intake area. Check to verify that your jail is in compliance with your state's standards.

Visiting Areas

Most jails designate space or otherwise make provisions for inmate visits. Inmate visiting is generally divided into two types: personal visits with family and friends and professional visits with attorneys, counselors, and other official visitors. For the most part, personal visits occur in noncontact visiting spaces where barriers separate the visitor and the inmate. Visitors and inmates view each other through glazed panels and speak to each other via telephone or sound port. Either inmates are brought to a central visiting area or visitors go to visiting areas located adjacent to housing units. In some jurisdictions, video visiting technology is used in place of direct face-to-face visits. Video visiting stations with monitors can be located in the jail's public lobby or even at remote locations, allowing the inmate to be kept in or near the housing area.

Contact visits occur in spaces that are free of obstacles or barriers that would prohibit physical contact. Contact visitation is primarily provided for professional consultations, although some jails do make provisions for personal contact visitation. Visiting space for professional visits should be fully enclosed and private. Personal contact visits may take place in larger rooms, with several visiting groups sharing the space

at the same time, but sufficient space and the arrangement should allow each inmate a degree of privacy.

Designate sufficient visiting space for the expected number of visitors at any given time. The jail administration can regulate this number to some degree through scheduling. Visiting also requires space in a public lobby area for visitor check-in and waiting. Visitors should have access to seating, toilets, and drinking fountains in the lobby area while waiting for visits.

Maintaining security and preventing passage of contraband are prime considerations during visitation. Metal detectors, lockers for personal belongings, designated areas for searching visitors and inmates, and signs outlining visiting rules and procedures for visitors all contribute to security in visitation. Staff should be positioned to visually monitor the visiting area and respond if there are problems.

Visiting is an effective tool in managing inmate behavior. It helps inmates maintain contact with their community and communicate effectively with legal counsel. Standards and case law also recognize the need for adequate visitation. The jail administrator should see that adequate visitation space is available and that it is secure and of reasonable quality to serve its designated purposes.

Inmate Housing

Inmate housing is perhaps the most critical element of the facility. The design and construction features of the jail's housing areas largely define the custody level of the facility and the mode of inmate supervision. Housing areas in jails are usually broken down into units that consist of cells or dormitories with associated dayrooms and shower/toilet areas. Staff control posts, janitor closets, and miscellaneous storage areas are other types of spaces typically located in or in close proximity to the housing units.

Configuration of Housing Units

The layout or configuration of the housing units has a significant impact on the jail's strategy for supervising inmates and staff's ability to manage inmate behavior. Three approaches to the configuration of jail housing units have evolved: linear design, podular remote design, and direct supervision design.

Linear design (exhibit 5) is the traditional arrangement of housing units present in many older jails. This design is generally rectangular with single- or multiple-occupancy cells arranged at right angles to an officer corridor. A variation situates housing units with cells and dayroom along the corridor. In the linear design configuration, the jail officer must patrol the corridor and look through the bars or windows to see into cells or housing units, observing inmates only intermittently as he or she passes each area on rounds.

Podular remote design (exhibit 6) is another arrangement of housing units found in more recently constructed jails. In this configuration, cells ring a common area or dayroom in a podular design. The jail officer is stationed in a secure control room adjacent to one or more housing units. From the window of a secure

control room, the officer directly observes activities in the dayrooms of each of the housing units and communicates with inmates via intercom. The control room officer does not leave his or her post in this arrangement. Sometimes other officers move in and out of the housing units in response to problems or in conducting daily activities.

Direct supervision design (exhibit 7) is the third variant in arrangement of housing units. In this arrangement, a jail officer is stationed directly within the housing unit. The officer may have a control panel in the unit that controls cell doors, but not the door out of the unit. The officer is in a position to constantly monitor behaviors and interact with inmates and can detect trouble before it escalates.

Cell Occupancy

Cells in inmate housing units are categorized as single occupancy, multiple occupancy, or dormitory. Single-occupancy cells accommodate one inmate. Multiple-occupancy cells usually hold two to four inmates, although the definition varies from state to state. Both types of cells typically include beds for the maximum number of occupants, a toilet and sink, and possibly a stool and desk. An adjacent dayroom with

Exhibit 5. Linear Housing Design

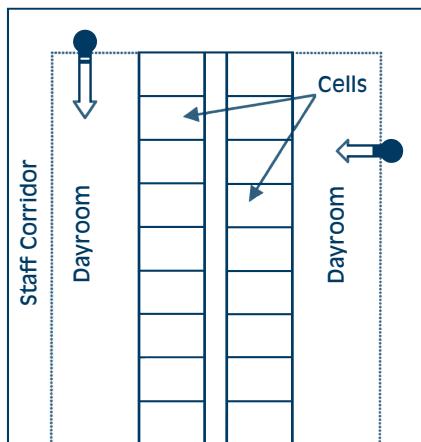
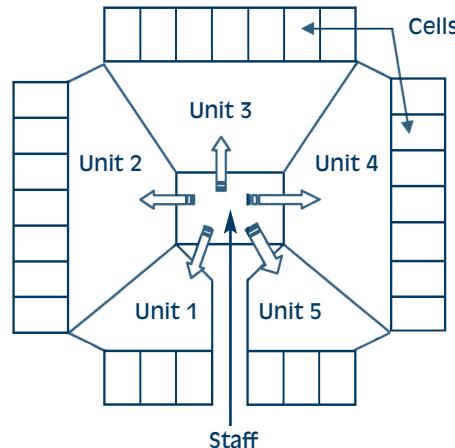


Exhibit 6. Podular Remote Housing Design





showers and dining tables typically serve a cluster of single- or multiple-occupancy cells.

Single-occupancy cells are considered essential special management housing because of the inmates' special behavioral, medical, or custody needs. Single occupancy has many advantages for general population housing as well. It enhances the staff's ability to prevent assaults during lockdown, helps hold inmates accountable for the condition of their personal living space, and reduces tension by providing inmates some personal space and privacy from other inmates.

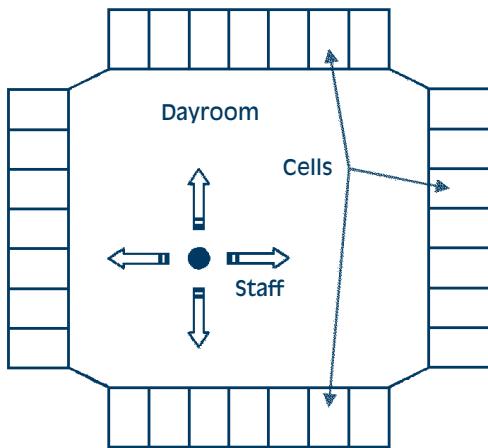
Dormitories are multiple-occupancy living spaces that tend to be more self-contained. Sleeping areas, toilets, showers, and dayroom areas are typically integrated into a single space in dormitories.

Housing Categories

Inmate housing is generally divided into three basic categories: intake, general population, and special management.

- **Intake housing** accommodates newly received inmates as they are going through intake processing and initial classification screening. Intake housing may consist of

Exhibit 7. Direct Supervision Housing Design



temporary holding cells only or may include one or more fully functional units with cells and dayrooms where inmates may be held for several days, until release or transfer to general population.

- **General population housing** accommodates inmates who do not require special supervision for reasons of behavior, condition, or classification type. The inmates in these units may be either awaiting trial or serving sentences, and their security risk classifications range from low to high. Accordingly, general population housing might include a range of cells or housing units with physical security features that correspond to the custody level of the inmates assigned to them.
- **Special management housing** accommodates inmates who must be segregated from the general population, namely, those requiring high-level security, protective custody, disciplinary detention, medical isolation, or special observation because they are suicidal, mentally ill, or intoxicated. Work release and inmate worker housing may fall into this category as well.

The types of housing space required for special management vary with the management issues presented by the inmates assigned to such units. Cells used for protective custody, disciplinary detention, medical isolation, or special observation are generally single occupancy and provide high levels of physical security because they must potentially accommodate the full range of risk classifications. Ideally, these types of cells should be situated in a section of the jail where constant observation can take place. Medical cells should be situated to facilitate delivery of medical services by health care staff.

Work release and inmate worker housing do not require as high a level of physical security as other types of special management housing. Multiple-occupancy or dormitory housing is often used for these categories of inmates.

However, housing for the two groups should be separate to prevent introduction of contraband into the facility. Work release should be located in an area that facilitates the daily exit/entry of inmates to and from their jobs.

Support Services Areas

The jail's support services areas include those used to provide basic services to the inmate population such as medical care, food services, and laundry service and those that support the overall functioning of the jail, such as janitorial service, maintenance, and storage.

- **Medical services component:** Houses the types of spaces and equipment needed to adequately carry out the health-care services provided in the jail.³ At a minimum, properly equipped medical examination space is needed to conduct screening and routine assessments, examine inmates with health complaints, provide first aid, and perform minor treatment procedures. Space should also be available for the appropriate storage and management of medical records, medications, and biohazards. The medical care space should be located in an area that facilitates efficient access by inmate patients and staff (from both housing and intake) and accommodates both privacy and security needs. Larger facilities may provide a medical suite that also includes space for radiographic examination (x-rays), dental examination and treatment, a laboratory, offices for medical staff, an inmate waiting area, and separate housing for ill or injured inmates receiving medical care.
- **Food services component:** Includes space and equipment to provide three meals per day for the inmate population in accordance

with dietary and hygienic standards. The amount of space and type of equipment required depends on how the services are provided. Jails that maintain a full-service kitchen where all meals are prepared in house require appropriate space and equipment for receiving food and food storage (dry and cold), supply storage, preparation, serving, cleanup and dishwashing, waste disposal, and food services management. Jails that have some or all meals prepared offsite by a vendor or other institution should provide a secure means to receive the supplies into the facility and space and equipment for warmup, serving, cleanup, and equipment storage.

- **Laundry area:** Includes space and equipment for collecting, sorting, washing, and drying of bedding, linen, towels, and inmate clothing on a regularly scheduled basis, and for the associated tasks of mending, storage, and distribution of laundered items. Jails that have laundry done offsite by a vendor or other institution do not need space and equipment for washing and drying but should provide resources for the other aspects of handling laundry.
- **Janitor's closets:** Provide space for storage and staging of cleaning supplies and equipment, including a "mop" sink or washtub and storage areas for mops, brooms, buckets, floor buffers, cleaning supplies, and dust cloths. These areas should be secured from unauthorized access by inmates.
- **Maintenance areas:** Include secure workspace and storage for tools used to maintain the facility. The amount and types of space needed depend on what functions are provided in-house as opposed to those provided by outside vendors. Maintenance work includes

³ The jail may transport inmates to health-care facilities for many services, but will provide some level of medical care within the facility.



both routine and preventive upkeep of equipment, systems, and the building and their repair, and encompasses functions such as plumbing, electrical work, locksmithing, heating/ventilation/air-conditioning (HVAC), window repair, and painting.

- **Storage areas:** Always seemingly in short supply, storage is needed for records, food services, laundry, maintenance, supplies, and inmate property. The jail should also have a general storage area for bulk goods and materials not frequently used.

Program and Recreation Areas

Inmates use the jail's program and recreation areas to engage in activities such as physical exercise, counseling, education, industry, worship, and leisure-time recreation. Dedicated program areas include space for indoor and outdoor exercise, a legal and a general library, classrooms, a commissary, and rooms for individual and group counseling and religious services/instruction.

Some jails provide multipurpose space to accommodate compatible program functions on a scheduled basis. In newer jails, decentralized program space may be located adjacent to housing units. With varying degrees of success, older jails lacking program space often must convert other existing space, such as a cell block or offices, to create program areas. Note that because outside service providers, volunteers, and other persons from the community typically use program areas in conjunction with the inmates, proper surveillance and supervision of these areas are important. Access for public users as well as inmates must also be considered.

Administrative Areas

Administrative areas include space for administration, fiscal and personnel management, communication/interaction with the public, security management, program management, physical plant management, and records management.

These types of spaces generally include the public lobby, public toilets, the reception area, offices for administrative staff, conference and meeting areas, clerical areas, records/files, security equipment storage, and related support areas. Administrative areas should be outside the main security perimeter of the jail but adjacent to it. Public access to administrative areas beyond the lobby/reception area should be controlled.

Staff Areas

Areas intended for the private use of jail staff may include spaces such as break rooms, training rooms, locker/shower rooms, physical conditioning areas, and staff toilets. Staff areas, if available, are generally located outside the main security perimeter but in close proximity to an access point into the secure area of the jail.

Security Equipment and Technology

The types of facility-related security equipment and technology used in jails and correctional settings are as follows:

- **Emergency generator:** Provides a backup in the event of a power outage. Emergency generators are typically configured to maintain power supplies to essential lights, communications equipment, detection and alarm systems, door controls, and other critical security and life-sustaining functions.
- **Walk-through metal detectors:** Supplement efforts to control contraband by detecting metal objects not permitted in the jail. Walk-through metal detectors are typically located at key entry/exit points of the security perimeter of the jail.
- **Detection systems:** Detect activity—i.e., motion, sound, or vibration—in restricted areas such as security perimeter walls or fences, attics, or crawl spaces. A central control center monitors most detection systems.

- **Closed-circuit television (CCTV):** Another type of detection system used to monitor activity in restricted areas, but also used to monitor movement between areas of the facility and to aid in the identification of people trying to gain access to secured areas. CCTV is not an appropriate replacement for staff in monitoring inmates in housing areas but is sometimes used to enhance surveillance of common areas.
- **Communications systems:**
 - **Public address systems**, with speakers strategically located throughout the facility, are used to make announcements within the facility, page individuals, or alert occupants to emergencies.
 - **Two-way radio systems** provide a means for staff to communicate with each other or with central control. Portable radios provide staff the flexibility to send or receive communications from any area in or about the facility.
 - **Intercom systems** are hard-wired systems that allow communication between central control and various locations in the facility. Audio monitoring and detection features can also be integrated into the intercom system.
 - **Telephone systems** provide both external and internal communication capabilities. In addition to outside lines, jail systems typically include an internal network that interfaces with the jail's other communications systems and security system. Most jails now also provide separate inmate telephone systems with monitoring and call management capabilities. As jails become increasingly computerized, electronic mail systems provide still another means of internal and external communication.
- **Locking systems:** Keep inmates within designated areas, keep people from entering areas where they are not authorized to be, and control movement between spaces in the jail. Locking systems are a fundamental component of security and several types are used in jails: manual, mechanical, electro-mechanical, and electropneumatic. Manual locking systems, common in many older facilities, require staff to operate the locks on each door individually. The other types of systems generally operate groups of doors from a single location by officers operating mechanical levers or wheels or activating electric switches at a control panel. In many newer facilities, a control center manages electromechanical or electropneumatic locking systems. Centrally controlled locking systems are effective in regulating movement within the facility and effecting prompt release in the event of an emergency requiring evacuation.
- **Fire detection and suppression systems:** Provide for the early detection of fires and the capability to put out fires in their early stages. These systems may also include equipment or technology to facilitate prompt evacuation of occupants who are at risk when a fire erupts. Codes in many jurisdictions require jails to have hard-wired smoke and heat detection systems connected to a central enunciator panel at a fixed post (e.g., central control). Newer facilities in many jurisdictions are required to have locking systems that allow gang release of cell and housing unit doors from a remote location (e.g., central control) and automatic sprinkler systems that activate when a fire is detected. Many newer facilities are also designed with internal smoke compartments or zones intended to isolate fire and smoke to the area of their origin.



Environmental Conditions in Facilities

The quality of the jail environment affects not only the health and well-being of those who occupy and work in the facility but their behavior as well. Poor conditions often lead to low morale of inmates and staff, increased inmate health care costs, more disciplinary problems, higher levels of staff absenteeism and turnover, and an overall negative atmosphere. Attention to light and noise levels, temperature, air quality, and plumbing can improve the overall quality of the jail environment as both a residential setting and a worksite.

Light Levels

Lighting in the jail should be sufficient for the types of tasks and activities that occur in the lighted areas. The intensity of the light, number of fixtures, location and spacing of fixtures, interior finishes and colors, and outside lighting all affect the adequacy of light for particular tasks. Adjustments in one or more of these areas can improve light levels in the jail. Light levels at night are often a problem in jails—lights need to be low enough to allow for restful sleep, but sufficient to allow observation of inmates by staff. Low-level night lighting that allows primary lighting to be shut off should be available in inmate housing areas.

Noise Levels

Noise levels in jails have historically been a problem. Sound from many sources (e.g., locks, doors, intercoms, TVs, or showers) produce high sound levels that reverberate off the hard surfaces typically found in jails. Crowding often increases noise levels as the additional people in the confined areas produce even more sound in the course of daily activities. Sound levels in newer jails are reduced through use of more sound-absorbent materials and furnishings, quieter equipment, and sound-control design features. Management of noise levels in the jail should be a consideration for jail administrators in making facility improvements, in purchases of

replacement equipment, and in establishing daily routine.

Temperature

The temperature of indoor living and work areas of the jail should be appropriate to summer and winter “comfort zones.” A number of factors influence comfort zones, including temperature, air movement, humidity, clothing, and activity levels. The comfort zone is the temperature range in a space that the majority of the occupants find to be acceptable. The jail’s physical plant should have the capability to mechanically raise and lower temperature and humidity to maintain the facility within acceptable comfort levels. Operationally, the jail can improve comfort levels by providing clothing appropriate to the season, providing additional blankets, adjusting activity levels, or increasing airflow with portable fans. When using portable appliances, however, proper precautions should be taken to address potential security and fire safety issues relating to exposed cords and the use of extension cords.

Air Quality

Given the close confinement of people in a jail, air quality is a major consideration. Indoor air pollution has significant health effects for both inmates and staff. The most important factor influencing indoor air quality in jails is the presence of pollutant sources. Commonly found pollutants include environmental tobacco smoke (in jails that still allow smoking); asbestos from insulation and fire-retardant building supplies; off-gases and fumes from building materials, carpet, and other furnishings; odors from toilets; fumes from cleaning materials, paints, adhesives, and office machines; biological contaminants from building occupants, dirty ventilation systems, and water-damaged walls, ceilings, and carpets; and pesticides from pest management practices. Poorly designed, operated, or maintained ventilation systems also contribute to poor indoor air quality.

Use the following strategies to manage and improve air quality in jails:

- **Eliminate the sources of pollution or reduce their emissions.** For example, eliminate smoking, implement appropriate housekeeping and maintenance procedures, and consider air quality implications in selecting cleaning supplies, pesticides, and building supplies and equipment.
- **Reduce concentrations of pollutants.** For example, keep HVAC systems maintained and calibrated, use fans to increase air movement, use exhaust fans to remove polluted air and excess moisture, and bring in more outside air by opening windows (where appropriate).
- **Clean or filter recirculated air to remove particulates.** For example, install air purifiers and maintain filters in HVAC systems. (Note: Not effective in removing gaseous pollutants.)

Plumbing

In housing areas, toilets, hand-washing facilities, and showers should be available to inmates to accommodate personal needs and maintain standards in personal hygiene. Many standards establish a ratio of fixtures to inmates to assure reasonable access for the population served. The fixtures should be kept in operable condition through regular inspections and maintenance. Hot and cold running water should be provided in lavatories and showers, although hot water should be temperature-controlled to prevent scalding.

Facility Sanitation

One key to effective jail management is keeping the facility clean. Besides being unhealthy, dirty, unsanitary conditions communicate to inmates and staff a lack of concern about the quality of the jail environment and suggest a tolerance for

sloppy work. Put in place a comprehensive sanitation plan that sets out responsibilities for both staff and inmates in keeping the facility clean.

Begin by establishing sanitation as a top priority. As administrator, set high expectations for sanitation for both inmates and staff and communicate those expectations often. Housing areas should be kept free of trash, odors, and graffiti and units should be swept, mopped, and wiped down daily as part of a thorough housekeeping routine. Require supervisory staff to make daily sanitation inspections and walk-throughs a priority. Communicate these expectations in writing through policy and procedures, inmate handbooks, job descriptions, daily schedules, and memoranda and reinforce them by calling staff attention to sanitation problems and following up to see that the problems are corrected.

Consider designating a staff member as sanitation supervisor and vest that person with the overall responsibility for developing, implementing, and maintaining the sanitation program for the jail. Provide the sanitation supervisor with training in sanitation codes and requirements, cleaning methods, inspection processes, and corrective action methods and see that he or she has the resources and authority to get the job done.

Written policies and procedures addressing jail sanitation should include:

- Cleaning schedules for each area of the facility.
- A listing of specific tasks to be completed.
- A listing of supplies and equipment to be used for each task.
- How the supplies are controlled and accounted for.
- Access to material safety data sheets (MSDS) for staff using chemicals.
- Training requirements for both staff and inmates.

Tip for Administrators

Make a clean jail a high priority. Get an outside assessment of the current level of sanitation and correct any identified deficiencies. Next, develop a comprehensive sanitation plan for the facility and provide the resources necessary to implement it. Monitor the level of sanitation on an ongoing basis through a system of inspections.

- Inspection schedules and a quality assurance program.
- Documentation and recordkeeping.

Obtain copies of current health and sanitation standards and checklists for use as reference material in writing the policies and procedures and as the baseline for internal inspections.

Cleaning equipment and supplies should also be given consideration. The goal in selection of cleaning materials is to simplify housekeeping tasks and limit the potential for abuse. Provide brooms, mops, buckets, brushes, and pads of a standard size. Select the least toxic cleaning products and keep the number of different products to a minimum.

Next, establish training for both staff and inmates. Training for staff should include instruction in areas such as sanitation policies and procedures, proper cleaning methods, control and maintenance of cleaning equipment and supplies, supervision of inmate sanitation activities, detection of sanitation problems, security concerns relating to misuse of cleaning materials, and documentation of sanitation efforts. Inmates should receive information about the jail's sanitation standards and expectations and the daily housekeeping routine as part of orientation at intake. Jail staff should instruct inmates in proper cleaning methods and use of cleaning equipment and supplies.

The implementation of the sanitation program might begin with a thorough cleaning of the jail to get sanitation up to the expected standard. City or county health authorities may provide a courtesy inspection to evaluate current conditions and identify areas needing attention.

Supervision of housekeeping activities by jail staff is necessary to maintain sanitary conditions. Officers and staff set the expectation of cleanliness for inmates, instruct inmates in proper use

of cleaning equipment and supplies, see that housekeeping schedules are followed, monitor cleaning in progress to see that proper methods are used, and see that inadequacies are corrected. Some jails establish incentive programs that encourage competition among inmates to improve the sanitation levels of their respective housing areas.

Establish a system of routine inspections to ensure that the highest levels of sanitation are maintained. An inspection regime involving several levels of the organization will assure maximum accountability:

- Supervisors should conduct informal inspections of inmate housing and other areas of the jail on a daily basis.
- Supervisors should conduct more formal inspections at least weekly using a written checklist tailored to specific areas of the jail. Results of these weekly inspections should be forwarded to the jail administration.
- The designated sanitation supervisor should conduct a comprehensive inspection at least monthly and submit a detailed report outlining any deficiencies to the jail administrator. Corrective action plans should be developed and implemented to correct any identified deficiencies.
- External health authorities should conduct inspections at least annually to assess compliance with applicable sanitation codes and standards.

All aspects of the jail's sanitation program should be thoroughly documented. Records of policies and procedures, inspection findings, work orders, corrective action, training sessions,

memorandums, and other documentation should be kept. Good documentation:

- Helps the administration track the jail's safety and health activities for better control of operations and planning improvements.
- Provides evidence of the jail administrator's directives to staff and of actual practice.
- Provides evidence of adherence to standards to demonstrate "good faith" if challenged in an audit or lawsuit.

Facility Maintenance

Due to constant and hard use, jail facilities and equipment age 3.5 years operationally for every chronological year they are in service. A good preventive maintenance program for the jail is therefore essential. Preventive maintenance will:

- Maximize the useful life of all building systems in the jail.
- Help the jail function as intended and operate at peak efficiency.
- Prevent breakdowns of critical building systems.
- Sustain a safe and healthful environment for staff and inmates.
- Avoid costly repairs resulting from neglect or deferral of maintenance.

You must plan and implement a program of inspection, testing, servicing, and repair and/or replacement of building systems and components to achieve these goals. The basic steps in developing a preventive maintenance program are as follows:

- **Make an inventory of all building systems and components that must be maintained.** The major building systems are the HVAC, plumbing, fire protection/suppression, power

generation, electrical, lighting, security and locking, and communications systems and the structure and roof. Components are the elements that make up a system—for example, furnaces and boilers are components of the jail's heating system.

- **Assess the present condition of each system or component.** This assessment will help determine any immediate maintenance needs, determine future levels of preventive maintenance required, and help estimate the remaining useful service life of the system or component.
- **Establish the level of maintenance required for each system or component.** The level of maintenance is based on the maintenance activities required to ensure that a particular system or component meets or exceeds its life expectancy. Manufacturer's literature, past experience, and industry averages are helpful in determining the useful life of various systems and components and what preventive maintenance work is most helpful.
- **Develop a work plan that outlines the preventive maintenance tasks for each system or component.** The plan should specify how often each task is to be performed. Preventive maintenance tasks may range from visual inspections to indepth testing; from minor adjustment, cleaning, or lubrication to major overhauls; from reconditioning to replacement.⁴

To implement the preventive maintenance program, you must link the work plan to the jail's annual budget. Some jurisdictions allocate funding for preventive maintenance using a formula based on a percentage of the facility's operating budget or building replacement value. For example, a jurisdiction may allocate funding

⁴ T. Mearig, *Alaska School Facilities Preventive Maintenance Handbook* (Juneau, AK: Alaska Department of Education and Early Development, 1999), p. 6.



based on 5 percent of the jail's operating budget. This should be in addition to any reserve fund a jurisdiction may set aside for unanticipated or emergency maintenance expenditures.

Jurisdictions handle preventive maintenance work in a variety of ways. A common approach is to employ custodial and general maintenance staff for routine maintenance and minor repairs and to contract vendors when more specialized work is needed. Involve maintenance personnel in decisionmaking regarding facility improvements or purchase of building components and in communicating with policymakers about the jail's needs and conditions.

The operation of the preventive maintenance program should include the following elements:

- Checklists of preventive maintenance tasks, including frequency of performance, developed from the work plan.
- A schedule and roster of assignments and responsibility for the performance of specific tasks.
- Written policies and procedures to manage the program.
- A work order system to notify maintenance staff of maintenance problems.
- Reporting and tracking systems to keep accurate records of maintenance efforts and costs.
- Appropriate equipment, tools, and work-spaces for maintenance activities.
- Ongoing training for maintenance workers and building managers.

Line staff and supervisors also participate in the preventive maintenance effort through daily, weekly, and monthly inspections of the facility. Assessing the proper functioning and working order of facility systems and components is one aspect of such inspections. Beyond scheduled

inspections, jail procedures should also provide for the immediate reporting of maintenance problems that require urgent attention (e.g., malfunctioning, deterioration, or breakage of facilities, furnishings, or equipment). A system should also be developed for checking on repairs to make sure they have been completed in full.

Tip for Administrators

Develop an effective preventive maintenance program for the jail. Gain support from the funding authority by communicating the benefits of an effective preventive maintenance program.

Recommended Resources

ACA Planning and Design Guide for Secure Adult and Juvenile Facilities. American Correctional Association, 2000.

Alaska School Facilities Preventive Maintenance Handbook. T. Mearig, Alaska Department of Education and Early Development, 1999.

Building Air Quality: A Guide for Building Owners and Facility Managers. U.S. Environmental Protection Agency and the National Institute for Occupational Safety and Health, 1991.

Correctional Technology: A User's Guide. C. Kichen, J. Murphy, and R. Levinson, National Institute of Corrections, 1993.

Guidelines for the Development of a Security Program, 2d ed. J.D. Henderson, W.H. Rauch, and R.L. Phillips, American Correctional Association, 1997.

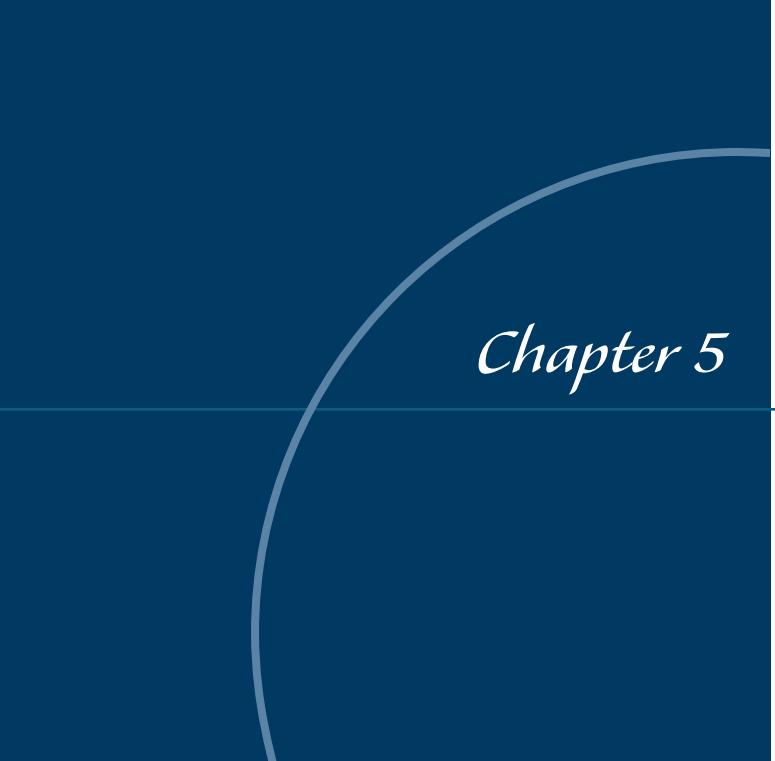
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Jail Design Review Handbook. M. Goldman,
National Institute of Corrections, 2003.

*Jail Planning and Expansion: Local Officials
and Their Roles.* J.R. Robertson, National
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Chapter 5

Jail Staffing and Scheduling



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Jail Staffing and Scheduling

Overview

Two of the primary concerns of jail administrators are staffing the jail appropriately and deploying staff to provide adequate coverage across all shifts. This chapter addresses both staffing analysis through the preparation of a staffing plan and staff scheduling and roster management, including the pros and cons of various shift lengths and patterns.

Legal Requirements and Standards

1. The Constitution requires adequate staffing for the protection of inmates.
2. Staffing in jails must comply with applicable state standards and codes.

Adequate Staffing in Detention Facilities

Adequate staffing in detention and correctional facilities has been defined as having the right number (and type) of staff in the right place, at the right time, doing the right thing.¹ Jail administrators need not only enough staff to operate the facility properly, but also the right type of staff (custody staff, support staff, program staff, etc.) with the skills and training to do their assigned jobs. Administrators must also be concerned with effectively assigning staff to duty posts and scheduling them to provide adequate coverage across all shifts. If deficiencies exist in any of these areas, a facility will not have adequate staffing.

Personnel costs typically represent 70 to 80 percent of a detention facility's annual budget—by far the largest expense category. Adequate staffing is essential to effectively managed, safe, and secure jails. Jails with staffing deficits put both inmates and staff at higher risk of harm, compromise community safety, and are more vulnerable to litigation. Facilities in this situation also have more difficulty providing programs and services to their inmates.

Determining staffing requirements in jails is a complex process affected by a number of factors. Several of the more significant of these factors are as follows:

- **Population characteristics.** The number and type of inmates in a jail are significant factors. The security risks presented by inmates, their behavior while in custody, and any special needs (e.g., medical or mental health needs) all affect the level of supervision and staff involvement required. Inmates' age, gender, and length of stay have implications for staffing as well.
- **Jail mission.** Generally, the jail's operational philosophy is reflected in its mission statement, which expresses not only the facility's legal authority and responsibilities but also the community's values and beliefs. The emphasis placed on community values, along with the jurisdiction's legal

¹ B. Krauth. *Staff/Inmate Ratios: Why It's So Hard To Get to the Bottom Line* (Washington, DC: U.S. Department of Justice, National Institute of Corrections, 1988), p. 3.

responsibilities, affects the level and types of programs and services offered in the facility.

- **Functions and activities.** Sufficient staff must be available to carry out essential security functions in the jail, provide basic services to the resident population, and oversee the various programs and activities that are part of the daily routine.
- **Physical layout of the jail.** The physical layout of the jail affects where staff will be stationed, the number of staff required to supervise each area, and the number of staff needed to effect the movement of inmates to services. (See chapter 4, “Jail Facilities.”)
- **Method of inmate supervision.** Effective supervision requires regular interaction with inmates by staff stationed in close proximity to housing areas.
- **Standards and court decisions.** Standards and court decisions influence staffing requirements by establishing minimum levels of service or specifying particular operational practices and activities. Many state and professional standards address staffing directly.

Understanding these factors early in the process of planning new jails leads to better, more efficient design decisions. In existing jails, careful analysis may open the door to other solutions, resulting in better use of staff resources.

Staffing Analysis

Staffing analysis is used to project staffing needs in new jails or to assess the adequacy of staffing levels in existing facilities. A staffing analysis considers all of the elements essential to an adequately staffed jail. A comprehensive staffing analysis should produce a staffing plan that will prevent or resolve any staff deficiencies in the jail.

The National Institute of Corrections (NIC) has developed a workbook that describes a 10-step process for conducting a comprehensive staffing analysis and includes a number of tools to complete the analysis.² The following sections describe certain elements of the process laid out in the workbook and are intended to provide an overview and understanding of the importance of a staffing analysis.

Facility Profile

The initial steps in conducting a staffing analysis are to develop a profile of the facility and gather the background information necessary to conduct the analysis. The profile should include information that provides an understanding of current issues as well as trends in average population, length of stay, and admissions.

The profile is developed from an analysis of the following types of information:

- Facility’s rated capacity.
- Average daily population.
- Admissions and releases.
- Average length of stay.
- Resident characteristics (age, race, gender, charge, status).
- Types of offenses.
- Number and types of critical incidents.
- Problems with facility operations.
- Other issues of concern relating to staffing.

Additional background information, such as that listed below, should also be collected for use in the analysis:

- Facility mission statement.
- Floor plan.
- Organizational chart.

² D.R. Liebert and R. Miller, *Staffing Analysis Workbook for Jails*, 2d ed. (Washington, DC, U.S. Department of Justice, National Institute of Corrections, 2001).



- Current staffing plan, schedule, and shift rosters.
- Personnel agreements and union contracts.
- Mandatory and professional standards.
- Inspection reports.
- Applicable court decisions.
- Service contracts.

The profile and background information are useful in making management decisions on issues such as coverage needs, service levels, and supervision methods. They also provide justification when making staffing requests to funding authorities.

Net Annual Work Hours

A full-time jail post operates 168 hours per week (24 hours/day x 7 days). Because staff generally work only 40 hours per week and often are not available to work their assigned shift because of vacation or sick leave or training, staffing levels must be sufficient to provide coverage during these absences.

Net annual work hours (NAWH) represent the average number of hours employees in a particular job classification (e.g., correctional officer, supervisor) are actually available to work (exhibit 8). A staffing analysis uses NAWH to determine how many people are needed to fill each post.

Facility Activity Schedule

After developing the profile and calculating NAWH, examine the functions and activities of the jail's operation to get some sense of the overall workload. One approach that may help in visualizing and communicating the workload is the construction of a master facility activity schedule (exhibit 9).

The facility activity schedule charts out a typical 1-week operation of the facility. It is a comprehensive list of the functions and activities that

take place in the facility, arranged in chronological order for each day. It also includes items that are not scheduled but require staff involvement.

Some of the activities to be included in the facility activity schedule are:

- Meal times.
- Visiting.
- Formal counts.
- Exercise and recreation.
- Sick call.
- Administering medications.
- School/general equivalency diploma (GED) classes.
- Library access.
- Commissary.
- Mail delivery.
- Religious services.
- Counseling/group programming.
- Court arraignments.
- Shift change/briefing.
- Staff meetings.

A facility activity schedule makes apparent how many and what kinds of staff are needed to work at various times of the day and week. It also shows peaks in the workload that might be leveled out by rescheduling activities.

Staff Coverage Plan

The next step in a staffing analysis is to determine actual staff coverage needs. The staff coverage plan helps the administrator determine the minimum number and type of staff needed to maintain appropriate levels of safety and security and to provide coverage for the various activities that occur in the facility. The profile information, NAWH calculations, and master facility schedule

Exhibit 8: Sample Form: Calculating Net Annual Work Hours

Step	Job Classification				
	Line Officer	Supervisor	Administrative	Support	Program
1. Total hours contracted per employee per year (if a regular workweek is 40 hours, then 40×52.14 weeks = 2,086)	2,086	2,086	2,086	2,086	2,086
2. Average number of vacation hours per employee per year	80	80	80	80	80
3. Average number of compensatory hours off per employee per year	24	0	0	12	0
4. Average number of sick leave hours off per employee per year	32	28	16	24	16
5. Average number of training hours off per employee per year	40	40	64	24	24
6. Average number of personal hours off per employee per year	8	8	0	8	0
7. Average number of military hours off per employee per year	0	0	0	0	0
8. Average number of break hours off per employee year (optional: it may be a contractual item)	0	0	0	0	0
9. Holiday	96	96	96	96	96
10. Other: [Specify.]	0	0	0	0	0
11. Other: [Specify.]	0	0	0	0	0
12. Other: [Specify.]	0	0	0	0	0
13. Total hours off per employee per year [Total lines 2 through 12.]	280	252	256	244	216
14. Net annual work hours [Subtract line 13 from line 1.]	1,806	1,834	1,830	1,842	1,870

Source: D.R. Liebert and R. Miller, *Staffing Analysis Workbook for Jails*, 2d ed. (Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2001), p. 10.


Exhibit 9. Sample Form: Facility Activity Schedule

Activity	Time of Day (Hour)																							Comments
	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23
Shift change	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Meals	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Counts	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Sick call	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Medications	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Visiting, public	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Visiting, attorney	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
GED classes	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Mail	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Commissary	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Religious services	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Library	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Exercise	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Counselling	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Clothing exchange	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Lockdown	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Housekeeping	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Trash removal	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Deliveries	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-

GED = general equivalency diploma.

Source: Adapted from D.R. Liebert and R. Miller, *Staffing Analysis Workbook for Jails*, 2d ed. (Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2001), p. 12.

developed in the previous steps are used to calculate staff coverage needs, as follows:

- Identify the posts in the facility.
- Identify the shifts for which coverage is required for each post.
- Determine the hours of coverage required for each post on each shift.
- Determine the number of days each week that the post must be staffed.
- Calculate the total hours of coverage required per week for each post.
- Calculate the total hours of coverage required per year for each post.
- Determine if relief is required. (Many administrative, program, and support positions are not covered if the persons filling the positions are absent.).

The resulting staff coverage plan (exhibit 10) indicates the total number of full-time equivalents (FTEs) required for each post or position. Group and summarize FTEs either according to job classification (e.g., custody staff, program staff, support staff, administrative staff) or chronological classification (e.g., how many staff per shift). Estimate staffing costs by multiplying the average annual compensation (salary and benefits) by the total number of FTEs listed for each post or position. Add the amounts for each post together to arrive at a cost estimate for the overall staffing plan.

Staffing Analysis Report

The staffing analysis is typically summarized in a report that describes the proposed staffing plan and provides the necessary rationale and justification. This report is an excellent resource to support funding requests for staffing. It is also a useful management document to guide administrative decisions regarding policy changes or allocation of resources.

Strategies for Maximizing Staff Resources

A number of strategies are available to the jail administrator for making the most of available staff resources, notably:

- Improving hiring and retention practices to reduce turnover.
- Implementing a work schedule that corresponds closely to coverage needs.
- Managing use of overtime.
- Reducing absenteeism.
- Altering facility design (e.g., improving sightlines, relocating fixed posts).
- Reassigning activities to spaces where they may be supervised more efficiently (e.g., conducting some program activities in day-rooms rather than separate program areas).
- Shifting some responsibilities of full-time staff to volunteers or interns.
- Contracting for some services (e.g., food, medical, or commissary services).
- Scheduling training to correspond to coverage needs.
- Cross-training staff to increase flexibility in assignments.
- Consolidating activities under the supervision of a single staff person.
- Streamlining practices, policies, and procedures.
- Reducing demand through changes in policy (e.g., implementing medical copayments).
- Using inmate labor.
- Using civilian staff to reduce costs.
- Using technology (e.g., video visiting, closed-circuit television, perimeter electronics, computers).

Implementing strategies such as those listed above can relieve staffing pressures and increase


Exhibit 10. Sample Staff Coverage Plan

Post/Position	Total Hours on Duty			Days per Week	Hours per Week	Hours of Coverage per Year	Relief Needed?	Net Annual Work Hours	Number of FTEs Needed	Salary and Benefits	Total Salary and Benefits
	Days	Evenings	Nights						Total	Rounded	
Administration											
Jail administrator	8	0	0	5	40	2,086	No	1.0	1	\$62,500	\$62,500
Receptionist	8	0	0	5	40	2,086	No	1.0	1	\$22,500	\$22,500
Records clerk/secretary	8	0	0	5	40	2,086	No	1.0	1	\$26,250	\$26,250
Administration subtotal	24	0	0		120	6,258			3.0	3	\$111,250
Support staff											
Maintenance	8	0	0	5	40	2,086	No	1.0	1	\$26,250	\$26,250
Cooks	8	4	0	7	84	4,380	Yes	1,438	3.0	3	\$22,500
Nurse	8	8	0	7	112	5,840	Yes	1,438	4.1	4	\$45,000
Support staff subtotal	24	12	0		236	12,306			8.1	8	\$273,850
Program staff											
Classification officer	8	0	0	5	40	2,086	No	1.0	1	\$40,000	\$40,000
Program coordinator	8	0	0	5	40	2,086	No	1.0	1	\$40,000	\$40,000
Program staff subtotal	16	0	0		80	4,172			2.0	2	\$80,000
Custody staff											
Shift supervisor	8	8	8	7	168	8,760	Yes	1,614	5.4	5	\$35,000
Central control	8	8	8	7	168	8,760	Yes	1,614	5.4	5	\$30,000
Housing control	8	8	8	7	168	8,760	Yes	1,614	5.4	5	\$30,000
Floor officer	16	8	8	7	224	11,679	Yes	1,614	7.2	7	\$30,000
Booking	8	16	8	7	224	11,679	Yes	1,614	7.2	7	\$30,000
Custody staff subtotal	48	48	40		952	49,658			30.6	29	\$895,000
Total staff						72,374			43.7	42	\$1,360,100

FTEs = full-time employees.
Source: Adapted from D.R. Liebert and R. Miller, *Staffing Analysis Workbook for Jails*, 2d ed. (Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2001), p. 14.

the productivity of existing staff. Be alert to opportunities to enhance staffing through creative management practices.

Summary

Adequate staffing is essential to safe, secure, and effective facility operations. Adequate staffing means more than having the right number of staff to run a detention or correctional facility. It

also means appropriate placement of properly trained staff in duty positions where they can provide effective supervision and oversee day-to-day operations of the facility. A staffing analysis is a process for determining staffing needs in detention settings. It takes into account multiple factors

such as population characteristics, operational philosophy, layout of the physical plant, and legal requirements that influence staffing needs.

Two products of the process are a staffing plan and a report that provides recommended staffing levels and estimated costs. A comprehensive staffing analysis is appropriate to create an initial staffing plan for a new facility or to assess the staffing needs of an existing facility. The facility staffing plan should be updated at least annually and when major changes in policy or other factors affect staffing needs.

Scheduling and Roster Management

Facility Activity Schedule

Effective and realistic schedules are a vital part of any facility, whether it is a jail, hospital, or school. Many functions and activities must be accomplished within a set period of time and cannot be unduly delayed without serious consequences. Schedules serve to organize the routine of the jail to see that the basic needs of inmates are met, order and security are maintained, and the jail operates in a smooth and

efficient manner. When schedules break down or are not clearly established, higher levels of confusion, dissatisfaction, and complaints typically ensue among both staff and inmates.

Many variables affect the jail's schedule, notably:

- **Legal requirements.** These include laws, standards, and court orders or consent decrees. For example, a state's standards may require inmate visitation 2 days per week, physical exercise daily, and commissary access once per week.
- **Facility mission and goals.** A jail that places greater emphasis on rehabilitation may schedule more educational activities for inmates than a custody-oriented facility.
- **Facility policies and procedures.** Policies and procedures direct what activities occur in the jail, and when and how they take place.
- **Facility layout.** The scheduling of programs and activities in jails where program space is centralized will differ from that in facilities where program space is decentralized. The distance between housing and program areas, which affects the logistics of moving inmates between the two locations, also affects scheduling.
- **Population size and characteristics.** Risk and needs, gender, age, and numbers may all drive what services are needed and how they are delivered.
- **Budget.** Funding may affect the level of services that can be provided.
- **Availability of appropriate staff.** Some activities require credentialed staff (medical, educational, counseling, etc.) who may be available to the facility only at certain times.

A good facility activity schedule is essential to efficient scheduling of staff. The jail must

Tip for Administrators

Review the NIC publication Staffing Analysis Workbook for Jails, 2d ed., and conduct a staffing analysis for the current jail operation.

such as population characteristics, operational philosophy, layout of the physical plant, and legal requirements that influence staffing needs.

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provide not only the basic staff coverage necessary for staff and inmate safety, but also proper coverage of the various scheduled functions and activities. The facility activity schedule is also an essential tool in determining how staff should be deployed to best meet coverage needs.

Developing the Staff Work Schedule

Staff scheduling requires decisions about when each type of staff member is needed in the jail and when each employee will work. The facility schedule and staffing plan are essential resources needed to make good decisions in staff scheduling.

An effective staffing plan determines the number and type of staff available to provide the minimum coverage needed for staff and inmate safety, based on the fixed posts that have been identified. It also ensures proper coverage of planned programs, services, and activities. The facility activity schedule provides information as to when the programs, services, and activities occur during the day and over the course of a typical week.

A major decision in staff scheduling is determining the primary shift pattern, that is, the regular set of shifts that repeats itself over a period of weeks, usually with teams of staff. The shift pattern affords consistency in scheduling staff while assuring adequate coverage at all times.

Although many shift configurations can provide 24-hour coverage, the following are the most common:

- **Three 8-hour shifts.** Staff working this type of shift generally work 5 days, followed by 2 days off.
- **Three 10-hour shifts that overlap.** Staff working this type of shift generally work 4 days, followed by 3 days off. The work days and days off always fall on the same day of the week.

- **Two 12-hour shifts.** Staff working this type of shift generally work 2 days and take 2 days off, then work 3 days and take 2 days off, then work 2 days again and take 3 days off. The cycle then begins again. This variation provides workers with every other weekend off. In another common variation of the 12-hour shift, staff work 4 days on and 3 days off one week, followed by 3 days on and 4 days off the next week.

Tip for Administrators

Develop a facility activity schedule if your jail does not have a formal one. If there is a schedule, review it for changes in programs or physical plant reconfigurations made since it was originally developed. If you have transferred to a new jail, recognize that many activities may not occur on the same schedule as in your old jail.

The primary shift pattern is used to schedule staff for posts requiring continuous coverage. Other posts or positions in the facility may require some variation on the primary shift pattern.

Consider the following factors in determining appropriate work schedules:

- **Hours of operation and timeframes.** Although many functions in the jail operate 24 hours a day, others do not (e.g., visiting, public reception, escort). Examine each function to determine what work schedule would be effective.
- **Days operated each week.** Some jail functions operate fewer than 7 days a week (e.g., school, work programs). Scheduling staff for these functions might require alternative approaches.
- **Organizational goals and objectives.** The goals established to implement the jail's mission should be reflected in the level and availability of services. For example, a high priority on maintaining family involvement may affect the need for extra staff to accommodate greater visiting opportunities.

- **Levels of activity.** Some components of the jail may require more intense staffing (e.g., booking areas during peak activity periods or during docket call). Creative scheduling could provide for more staff in those areas through overlapping shifts.
- **Staff training.** Alternative schedules may facilitate access to inservice training through overlapping shifts.
- **Fatigue and productivity.** Take fatigue into account when determining length of shifts and length of workweek in the shift pattern.
- **Schedule rotation.** If shifts are not fixed, research suggests that workers adjust to forward-rotating schedules (morning-evening-night) more easily than to backward-rotating schedules. Also, workers tend to adapt better to slowly rotating shifts (no more often than every 2–3 months) than to shifts that rotate more often.
- **Use of part-time staff.** Part-time staff can be used effectively to cover needs that do not rise to the full shift level or to fill in if full-time staff are not available. Avoid using part-time staff on regular shift assignments.

Scheduling Staff

An effective staffing plan and facility activity schedule identify the number and type of staff available and the workload. With these two tools you can build and maintain a staff work schedule, either manually or using scheduling software. In either case, you must identify the number of staff required for each shift and then fill in each employee's work schedule for all of the days included in the work cycle (week, month, 2 months, etc.). Stagger the days off to assure adequate coverage of each shift.

After entering all staff schedules in the roster, check the numbers for each shift against the staffing plan and activity schedule and adjust as necessary. The goal is to match staff availability with the workload at any given time.

Managing Schedule Conflicts and Absenteeism

A staff work schedule or roster is a compilation of all the shifts that each person is scheduled to work based on the shift pattern for his or her classification. However, it eventually ends up being very different for each person due to events such as holidays, vacation leave, and sick leave. Encourage staff to plan time off as far ahead as possible to help maintain coverage at all times, especially during holidays. The staff schedule is a working document that requires daily changes to manage schedule conflicts and absences. To minimize conflicts and absenteeism:

- **Use a shift pattern that allows employees sufficient scheduled time off.** This allows staff to deal with personal needs such as doctor's appointments and family activities and reduces problems associated with many uncontrollable sources of absences.
- **Encourage staff to schedule vacation time when the workload is low.** Limit the number of staff who can take vacation at any time and monitor vacation use throughout the year.
- **Staff the jail above the minimum requirements.** Staffing above minimum requirements provides flexibility for training, special assignments, and additional security. When absences do occur, however, essential functions can still be covered.
- **Use overtime to cover vacancies as they occur.** Although this is a very good use of overtime, it works best in an environment that does not experience large fluctuations in workload from week to week. In organizations with large fluctuations in workload, overtime is a scarce resource that can be easily abused, resulting in fatigued employees, lower productivity, and increased costs.
- **Cross-train personnel in different work areas.** Cross-training allows personnel from



one department to be used in other departments if there is a crisis. This is good business practice as long as the cost for cross-training is not excessive. However, it often does not provide relief during peak vacation seasons when resources are scarce.

- **Use temporary personnel.** For positions requiring little training to perform, temporary personnel can be the least expensive source of absence coverage. Temporary personnel are a good solution when full-time employees cover all full-time positions. Some of the full-time employees must have the ability to step up to the next job if needed. When an absence occurs, a trained person in the next lower position covers it, creating a daisy chain of step-ups until the actual vacancy is at the position requiring the lowest skill level. A temporary employee can then cover the vacancy.
- **Reschedule work to be performed when resources are available.** You may have some flexibility as to when intermittent activities such as maintaining master logs are performed.
- **Smooth out the variability of controllable absences.** Employees do have some control over certain types of absences. When employees and management work cooperatively to schedule such absences, covering them with fewer resources becomes easier.

Summary

Several types of schedules are important to the effective functioning of the jail. Facility activity schedules organize the routine of the facility to assure that inmates' basic needs are met, order and security are maintained, and the facility operates smoothly and efficiently. A good facility activity schedule is also essential to efficient scheduling of staff.

The facility must provide basic staff coverage necessary for staff and resident safety, but also proper coverage of the various scheduled functions and activities. The staff work schedule is an essential tool in determining how staff should be deployed to best meet coverage needs.

Tip for Administrators

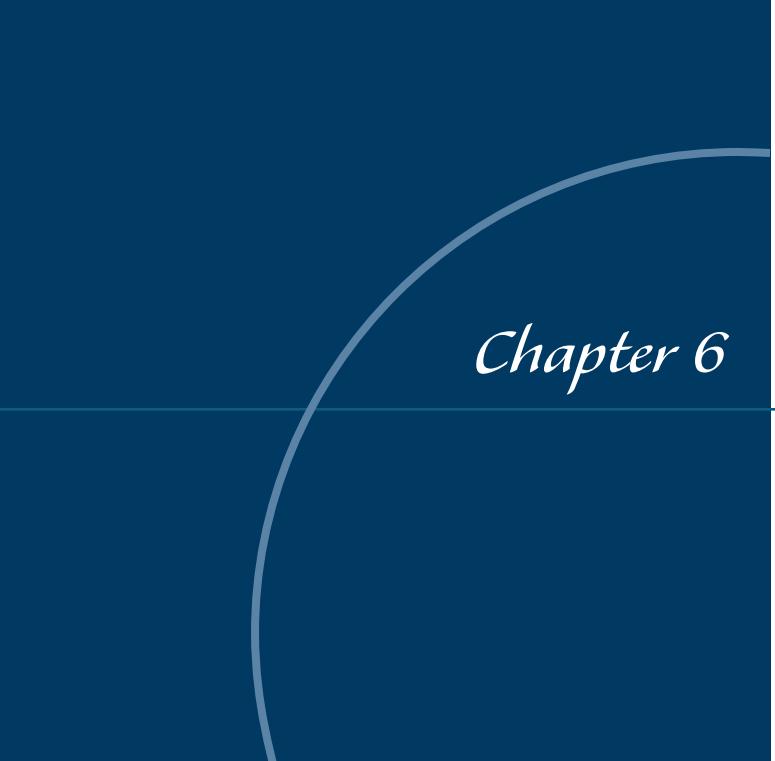
Review current shift configurations in light of current operations, overtime budgets, turnover rates, and absenteeism to determine if changes are needed. Review the paid leave policy (holiday, vacation, and overtime) to ensure it is equitable and administered equitably.

Recommended Resources

Staffing Analysis Workbook for Jails, 2d ed. D.R. Liebert and R. Miller, National Institute of Corrections, 2001.

Staff/Inmate Ratios: Why It's So Hard To Get to the Bottom Line. B. Krauth, National Institute of Corrections, 1988.

The Manager's Guide to Alternative Work Schedules, 2d ed. W.L. Booth, Institute of Police Technology and Management, University of North Florida, n.d.



Chapter 6

Staff Recruiting, Selection,
and Retention



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Staff Recruiting, Selection, and Retention

Overview

A competent, viable workforce is the foundation of an effective jail. Finding and keeping good employees, however, can be a major challenge. Administrators often cite the following factors when asked what makes recruitment and retention difficult for jails:

- Low salaries.
- Negative image of the jail.
- Competition from law enforcement, security agencies, and prisons, which siphon off existing and prospective staff.
- Growth in the number and size of jails, which has created greater competition for workers.

To overcome these challenges, jail administrators may need to look beyond traditional recruitment and retention methods for creative ways to attract and retain qualified employees.

The processes of recruitment, screening, selection, and retention are interconnected, with the effectiveness of one area dependent on the others. A breakdown in any of these elements will adversely affect the effectiveness and productivity of the overall workforce. This chapter outlines strategies to assist jails in being successful in all phases of staff recruiting, hiring, and retention.

Legal Requirements and Standards

1. The jail must meet state minimum standards for screening, hiring, and training of staff.

2. Screening and hiring of staff must be in accordance with state and federal equal employment opportunity laws.

Job Descriptions

For each position, a current, appropriate job description is essential to the success of the agency's recruitment, selection, training, and performance evaluation processes. It has been said, "To find what you want, you have to know what you are looking for." Clearly defining the job requirements, duties, and terms of employment helps both the administrator and the job candidate make informed decisions and will likely result in a more committed employee.

Federal law requires that selection procedures be related to the position being filled. The job description is a means to fulfill that legal requirement. Accordingly, the jurisdiction's legal counsel and human resources representatives should review all job descriptions to confirm that all of the content is, indeed, job related.

Job descriptions should clearly define the duties of the position and the knowledge, skills, and abilities needed to perform those duties. To attract candidates who can effectively manage inmate behavior in the jail setting, emphasize the following qualifications: communication, conflict de-escalation and resolution, and problem-solving skills. A well-written job description helps recruiters target their efforts to individuals with these qualities.

Diversity

Federal law prohibits discrimination in employment on the basis of gender, race, or ethnic background. Beyond the legal requirements, a workforce that reflects the diversity of the community in which the jail is located has many advantages. Accordingly, exercise care to ensure that all phases of the recruiting, screening, and hiring process are free from elements that might adversely affect any group. Indeed, extra effort in recruitment may be necessary to reach out to particular groups to achieve the desired levels of diversity in the jail workforce.

Recruitment

The goal of the recruitment process is to locate and attract a diverse pool of qualified candidates. To increase the potential for success, develop a specific plan of action. A comprehensive recruitment plan includes a recruiting committee, recruiting materials, a recruiting team, and recruiting strategies. These components are discussed in the following sections.

Recruiting Committee

A recruiting committee can assist the jail administrator in the development of the recruitment plan. The membership of the committee should be broad based and might include:

- The jail administrator or a designee.
- Human resources representatives for the agency and the jurisdiction.
- A person knowledgeable about the agency's testing and selection process.
- Career counselors from local high schools and colleges.
- Representatives of businesses and minority organizations.
- A marketing/public relations expert.

- Representatives from the local government employment office.

- A representative from the funding authority.

A recruitment plan sets recruiting goals (e.g., greater diversity, parity in gender, an increased number of bilingual staff, a higher percentage of staff with college degrees), outlines recruiting strategies, and creates a system for monitoring the effectiveness of recruiting efforts. In developing recruiting strategies, the committee should consider ways to involve agency staff and the community in the process. The best methods of advertising, within available budget resources, should also be considered. After developing the plan, the committee should meet periodically to review progress in implementing it and to evaluate its effectiveness.

Recruiting Materials

Materials such as brochures and posters are essential to any recruiting effort. Videos and Web sites are also used in recruiting. These materials are used in the following ways:

- **Brochures and posters:** These are traditional media for sharing information about the organization and describing the job of the jail officer and other positions in the jail. A brochure should emphasize the important role that jail officers play in contributing to community safety. It should also list minimum qualifications and describe the selection process in sufficient detail to inform readers about what would be required of them if they decide to apply.
- **Videos:** A video is an effective way to give prospective job candidates a realistic preview of the job. Videos can offer a look at what the jail environment is like and how it operates and can include jail officers discussing their jobs and the benefits and



challenges of working in the jail. One advantage of the candid look inside the jail offered by a video is that it can help discourage unmotivated or unqualified applicants at an early stage in the process.

- **Web sites:** Many agencies maintain Internet Web sites. A Web site can incorporate a recruiting page that highlights information about employment opportunities, posts vacant positions, and includes an online application. Arrangements can also be made with administrators of other high-volume Web sites to post job openings or provide a link to the jail's Web site.

To convey a consistent, effective message in all types of recruiting materials, consider soliciting assistance from marketing or public relations specialists in the jurisdiction. These experts can help shape the message, prepare written copy, create tag lines, and produce graphics. Local college marketing or journalism programs may be good sources of such assistance.

Recruiting Team

You need a team to implement the recruiting plan. Assign recruiting activities to existing staff. Select recruiters who reflect the desired diversity of the organization and show their enthusiasm, job knowledge, professionalism, and skill in advocacy, public speaking, and public relations. They should be knowledgeable about personnel matters, the agency's personnel needs, the selection process, training requirements, compensation and benefit plans, and career opportunities. Provide training for recruiters in these areas as needed.

Recruiting Strategies

Many effective options and techniques are available for recruiting qualified candidates. In *The Employee Recruitment and Retention Handbook*,

Diane Arthur describes four factors that should be considered in the selection of recruiting strategies:¹

- **Cost:** The amount of money available for recruitment.
- **Immediacy:** How quickly job openings must be filled.
- **Audience:** How wide an audience must be reached to get a sufficient pool of qualified applicants.
- **Level of employee:** The level of the position being filled (professional versus nonexempt).

If jobs must be filled quickly, proactive strategies must be used to go out and find prospective employees. Where jobs are more difficult to fill, strategies that reach out to the widest audience possible may be preferred. However, consider the level of the position(s) to be filled in choosing recruiting strategies. Strategies that are effective in attracting candidates for nonexempt jobs may not work for professional positions.

Many recruiting options are available to jails: low- or no-cost strategies, paid advertising, outreach through special events, internal recruiting, and others. These strategies are summarized in the following sections. Not all of the strategies described need to be incorporated into the jail's recruiting plan for it to be effective. The recruiting committee should select strategies according to the types of positions being filled, the available labor pool, and a variety of other factors unique to each jurisdiction. The most effective recruitment plans use multiple strategies to attract the largest pool of qualified candidates possible from which to select new employees.

Low- or No-Cost Recruiting Strategies

If the recruiting budget is limited, the jurisdiction may focus on low- or no-cost options. Some

¹ D. Arthur, *The Employee Recruitment and Retention Handbook* (New York: AMACOM, 2001), pp. 94–95.

of the ways to maximize media attention to the jail's recruiting efforts at little or no cost follow:

- **Press conferences:** To kick off a recruiting effort or call attention to staffing needs, either the jail administrator or his or her chief executive officer may call a press conference.
- **Feature stories:** Encourage reporters for both the print and broadcast media to do feature stories about particular exemplary jail officers and correctional careers in general.
- **Talk/news shows:** The jail administrator or designated staff can use appearances on radio or television talk shows to promote the recruiting campaign and provide information about career opportunities.
- **Public service announcements:** Jail officials can work with local media to develop and run public service announcements that encourage listeners or viewers to consider working in the jail as a career option.
- **Public appearances/speakers bureaus:** The jail administrator, recruiters, and designated staff should take advantage of opportunities to speak at events and meetings where potential job candidates may be present.
- **Cable access channels:** Cable franchise agreements typically include provisions for agencies to utilize public access channels. Jail officials could develop a program to air on the local cable access channel that provides information about the jail as a work setting and describes career opportunities.

Paid Advertising

Paid advertising is often a popular and effective means of recruiting. Content, timing, and placement are key ingredients to generating a large response through paid advertising. Some of the more traditional approaches include:

- **Classified newspaper ads:** Consideration should be given to location of the ad, use of

white space, graphics, and other placement strategies to call readers' attention to the ad.

- **Paid radio and television ads:** Ads should be placed with stations providing the widest audiences of listeners and viewers representing the candidate pool in which the jail is recruiting.
- **Newspaper inserts:** Placement of advertising inserts in newspapers or other publications may be an effective option.
- **Brochures and posters:** Place brochures and posters throughout the community, in businesses, schools, sports clubs, community service organizations such as the YMCA, and organizations frequented by people who might be interested in the jail as a career option and that reflect the diversity the jail is trying to achieve.

The following types of paid advertising offer more creative, nontraditional recruiting options:

- **Inserts in utility bills:** Utility companies are often willing to send out advertising inserts with utility bills.
- **Premovie advertising at local theaters:** Slides advertising job openings and career opportunities can be placed in theaters for moviegoers' viewing before the start of the featured film.
- **Billboard advertising:** Billboard advertising is typically a paid option; however, local businesses may be willing to donate space if asked.

Special Events

Special events are excellent recruitment opportunities. These may be either events held specifically for the purpose of recruiting or general events where a broad audience may be reached:

- **Job fairs:** The jail should participate in community job fairs where many employers in the community come together to promote employment opportunities.



- **Open houses:** A very effective strategy is holding an open house at the jail to give interested persons the opportunity to tour the facility, view recruiting videos, and get answers to their questions about employment from on-duty staff as well as from recruiters.
- **Career days at local colleges:** Jail staff and recruiters should be represented at career days held at local high schools and colleges.
- **County fairs and festivals:** County fairs and other local festivals offer great opportunities to share information firsthand with a wide audience. Consider renting booth space where recruiters can speak with prospective candidates, pass out brochures, and present videos.

Internal Recruiting Methods

Not all recruiting options require outreach to the community. The following methods are internal to the organization:

- **Job postings:** As used here, the term “job posting” refers to the process of advertising positions internally to staff before announcing them to the general public. Job postings can promote the stability of the agency by giving employees opportunities for professional growth within the organization.
- **Human resources files:** Human resources files can be an excellent source of qualified candidates for job openings. Scan these files for qualified candidates who previously applied for other positions or who applied when no specific job opening was available.
- **Employee referrals:** Current employees often refer candidates to job openings by word of mouth. Some organizations formalize the employee referral process by advocating such referrals and rewarding employees who refer persons who subsequently are hired.

- **Unsolicited applications:** Good candidates for positions can sometimes be discovered from individuals who walk, write, or call in to submit unsolicited applications. These are persons looking for work who are not responding to an advertisement for a specific job opening. The jail should have a means to monitor such applicants to see that they are given due consideration for future job openings.

Other Recruiting Methods

Other recruiting methods and sources to be considered include the following strategies:

- **Government workforce development agencies:** These agencies can be a good referral source, particularly for entry level positions. There is no cost for their services.
- **Private employment agencies:** Private employment agencies often have access to a large pool of applicants, but their services can be costly.
- **The military:** The military has been a traditional source of applicants for law enforcement and detention. Individuals with military backgrounds often possess a number of intangible qualities desired in detention work and have had direct experience.
- **Pre-employment training/oncall staff:** Agencies select and train individuals, who then enter a standby pool until a suitable position becomes available. Jails that want to develop a supplemental workforce often use this recruitment strategy because individuals in the standby pool work as oncall staff in the jail to gain experience while awaiting a permanent position.
- **Intern and workstudy programs:** Educational programs can be used to encourage students to consider corrections as a career option. Intern and workstudy programs give students the opportunity to experience various aspects of the job firsthand.

Screening and Selection

Job applicants are screened to assess their suitability for working in the jail and, specifically, for the position being filled. The screening process should use job-relevant and legally defensible screening, interviewing, and assessment methods and tools and should focus on the inherent competencies required for the job, not those that successful applicants will develop later through training. Screening out unqualified and unsuitable candidates early in the process allows more time and attention for the most qualified candidates. Assessment tools should be based on actual job requirements and administered in a consistent manner by trained individuals.

Minimum Qualifications

Many states have established minimum qualifications for jail officers, including a minimum age requirement, a minimum level of educational attainment, U.S. citizenship, and a background free of felony convictions. State law or standards may also establish a standardized hiring process that includes a background check, a physical examination, and a psychological evaluation. Be aware of the minimum qualifications established by your state and/or jurisdiction and periodically review jail officer job descriptions to see that they are consistent with these requirements.

Even in states that do not regulate screening and hiring, jail administrators would be wise to establish minimum qualifications for the agency, as these tend to screen out persons with undesirable backgrounds and to identify those who are trainable and more likely to add to the professionalism of the jail. When establishing minimum qualifications, work with legal counsel and human resources personnel to make sure that these requirements do not discriminate on the basis of gender, race, or ethnic group.

Elements of the Screening Process

Screening processes vary from one jurisdiction to another, but generally include some combination of the following elements, each of which is discussed below:

- Written testing.
- Oral interviews.
- Background investigations.
- Physical testing.
- Ranking and selection.
- Psychological evaluations.
- Medical examinations.

Written Testing

The types of written tests used in the screening process include tests to measure general intelligence, aptitude, personality, and job knowledge or proficiency. If written tests are used, they should be standardized and directly correlated with job performance. Uniformity and consistency in the administration of written tests must be high priorities. Neither the content, format, nor administration of written tests should discriminate on the basis of gender, race, or ethnic background.

Oral Interviews

A structured oral interview is generally part of the preliminary screening process used to determine whether an applicant will be placed on a hiring list. An interview panel typically conducts the interview using a set of questions that are asked of every candidate. The questions should be job related and address the skills and abilities jail officers need—for example, the ability to work with all kinds of people, manage inmate behavior, mediate disputes, and solve problems. Each question should be assigned a point value to enable panel members to score responses and rate the applicants. The panel members should



be trained in interviewing and thoroughly understand the requirements of the position being filled. They should also have a good grasp of the philosophy of the agency and of the traits desired in jail officers.

Background Investigations

A background investigation is an essential component of the screening process. The jail administrator should develop procedures for conducting background investigations to ensure they are performed consistently and thoroughly. The procedures should address various aspects of the process, including reference checks, data collection methods (e.g., visits, correspondence, telephone, Internet), and the report format. Those conducting the investigation should know the responsibilities of the positions being filled and the skills and abilities required in these positions. They should be aware of automatic disqualifiers (such as the failure to meet any minimum hiring requirements) so that they can check on those areas first.

Some agencies use polygraph examinations as part of their background investigation. Polygraph tests are useful for determining undetected crimes, other serious misconduct in the applicant's past, or false statements made during the application process.² The general areas of inquiry and the specific questions asked during a polygraph examination should be directly related to the requirements of the position being filled.

Physical Testing

Physical testing is used to determine if an applicant is capable of performing the essential duties of a jail officer. Some jurisdictions administer general fitness tests to verify that individuals have the minimum physical capabilities required

to practice and become proficient in the job-related duties taught during initial training. Other jurisdictions administer more specific physical tests that simulate the types of tasks a jail officer may perform.

Evaluate physical tests themselves and the rating criteria carefully to make sure they are job related and accurately reflect the physical traits essential to the job. Applicants' performance on these tests should be rated as "acceptable" or "not acceptable" rather than ranked.

Ranking and Selection

Many agencies rank qualified candidates for positions being filled. The rankings are based on the results of the various phases of the screening process, with any additional points awarded for education, experience, or veteran preference. The policy in many jurisdictions is to select the top three to five candidates from the eligibility list for personal interviews, the results of which determine who is offered the position.

Psychological Evaluations

Some jurisdictions require psychological evaluations as part of the screening process, usually after a conditional offer of employment is made. The purpose of the psychological evaluation is to assess the candidate's emotional stability, ability to work under pressure, level of predisposition toward violence, and susceptibility to depression or other mental illness that may adversely affect job performance. Assessment instruments used in psychological evaluations should be validated and job-related and should be administered and interpreted only by certified individuals. Candidates should be rated as "acceptable" or "not acceptable" for hire rather than ranked.

² National Center for Women & Policing, *Recruiting & Retaining Women: A Self-Assessment Guide for Law Enforcement* (Washington, DC: U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Assistance, 2000).

Medical Examinations

The screening process also may include a medical examination, which, like the psychological examination, is typically conducted after a conditional offer of employment is made. The examination generally assesses the individual's overall health and looks for the presence of any medical conditions that could affect his or her ability to perform the essential duties of the position safely and effectively. The physician performing the examination should be familiar with the description of the position being filled and the types of physical activities it routinely entails as well as any automatic disqualifiers (e.g., current drug use) that the examination may reveal. The examination should result in a finding of "acceptable" or "not acceptable" for hire. Any "not acceptable" finding should be accompanied by a report that describes the reasons for the finding.

Using Assessment Centers in the Hiring Process

Some jurisdictions use assessment centers as a basic step in the hiring process. These centers use trained assessors to observe and make conclusions about the behavior of participants. In the assessment center process, a series of test situations derived from a detailed job analysis are constructed to provide assessors a means of observing how individuals would perform in specific situations. Properly done, assessment center tests have been shown to be effective in distinguishing high performers from low performers for certain jobs. Agencies often use assessment centers when filling supervisory and management level positions, but some jurisdictions use them for entry level positions as well.

Retention

Retention of quality employees is critical to effective jail operations. When the workforce is competent and committed, not only is the work performed properly, but strategies are implemented, objectives are achieved, and the public's interests are served. Employee turnover, on the other hand, is tremendously costly to the organization in terms of lost productivity, employee replacement expenses, lost expertise, lower employee morale, and diminished quality of services.

Why employees leave and why they choose to stay are not simply the opposite sides of the same issue. Turnover is more often associated with job dissatisfaction, whereas retention is more closely associated with the strength of the employee's commitment to the organization. Job dissatisfaction typically occurs when the "fit" between the employee and his or her workgroup, immediate supervisor, or the overall organizational culture is not good. Indeed, research suggests that most voluntary resignations in organizations occur because of a problem with the manager-employee relationship.³ Some of the primary reasons employees commit to organizations include having the opportunity to learn and develop, fair compensation for their work, opportunities for career growth, feeling like the work they do makes a difference, and being recognized for their contributions. Effective retention, therefore, needs to address both aspects of this issue—to eliminate those factors that lead to job dissatisfaction and incorporate strategies that increase commitment.

Why Employees Leave

Employee turnover occurs for a number of different reasons, many of which relate to the

³ R.P. Tett and J.P. Meyer, "Job Satisfaction, Organizational Commitment, Turnover Intention, and Turnover: Path Analysis Based on Meta-Analytic Findings," *Personnel Psychology* 46 (2): 259–293, 1993.



job dissatisfaction issue described above. The reasons most frequently cited include the following:⁴

- **Incompatible corporate culture:** Employees are more likely to leave when they find that their interests, goals, and values are incompatible with those of the organization.
- **Unsatisfactory relationships at work:** Job dissatisfaction is higher in organizations where conflict exists between co-workers or between employees and their supervisors.
- **Feelings of not being appreciated or valued:** Employees want to know that their work matters. Where there is little feedback or acknowledgment of good work, employees begin to question whether the organization values their work.
- **Not feeling part of the company:** Employees need to understand how their work fits in with the organization's overall mission and goals. The failure to communicate this effectively during orientation for new employees can significantly affect their subsequent level of commitment.
- **Not knowing how they are doing:** Employees need to know if their work is meeting expectations. Inattention to regularly scheduled performance reviews sends a message that performance is not important. A lack of ongoing coaching and regular feedback to employees to acknowledge accomplishments and highlight areas for improvement also adds to frustration in this area.
- **Inadequate supervision:** Employees need a sense of guidance and direction. When supervisors are not available or responsive, employees will seek out employment where adequate supervision is available.
- **Inadequate training:** The opportunity to learn is one of the most significant reasons why employees commit to an organization. Employees need adequate training to do their jobs properly, but they also are interested in training as a means to enhance their marketability and career potential.
- **Lack of opportunity for growth:** Few employees are content staying in a job they view as being a dead end. Employees are less committed to jobs where no opportunity for either lateral or upward progression exists.
- **Inequitable compensation and benefits:** Unequal pay, both within the organization and as compared with similar jobs in the community, can lead to employee dissatisfaction. Employees expect to be compensated equitably for comparable work.
- **Too much work and not enough staff:** This issue is particularly relevant for jails, where inadequate staffing levels and overcrowding are often major concerns. In these environments, employees burn out sooner and leave for better work situations.
- **Substandard equipment, tools, or facilities:** Productivity is directly related to the quality of the work environment. Employees may not be willing to put up with poor work conditions, unsafe surroundings, or outdated facilities.

If the jail is having difficulty retaining quality staff, assess the situation to see if any of the reasons listed above are factors in employees' decisions to leave. Once you have a good understanding of the problem and why it exists, you can design strategies to improve retention.

⁴D. Arthur, *The Employee Recruitment and Retention Handbook*, pp. 222–224.

Strategies for Retaining Quality Employees

The following strategies have been found to be effective in addressing the retention issues described above:

- **Begin with recruitment.** The recruiting plan should focus on finding people who are a good fit for the organization with regard to style, values, and work preferences. Attitude is just as important as aptitude, if not more so. Also, it is often more important to hire people with the right qualities than those with specific experience. Proper training and supervision can compensate for lack of experience.
- **Establish a positive work environment.** The mission statement generally specifies the values of the organization as they relate to employees, inmates, and the community. Clearly defined policies and procedures should specify the way employees will be treated and interact with the organization. Attention to the interests of employees may be reflected in compensation and benefits plans, work scheduling arrangements, opportunities for job growth and promotion, and overall management style.
- **Develop effective processes for orientation, performance management, and coaching.** Instill strong commitment to the organization early on by giving new employees effective training and orientation that include clear explanations of opportunities for job progression and development within the jail. Build and maintain this commitment through effective supervision and support. Supervisors should be aware of and manage how people are treated on the job. They should be prepared to provide the detail and frequency of communication each employee requires, provide challenging growth and development opportunities, and regularly recognize the employee's contributions.
(Note that supervisors themselves may need

training and support to acquire and groom these skills.)

- **Provide innovative compensation and benefits packages.** The jail's compensation schedule should be equitable and as competitive as possible. Other benefits, such as flexibility in the use of earned leave time, cafeteria plans that allow employees to tailor benefits according to their needs, flexible work arrangements, child care, transportation subsidies, and tuition reimbursement, also serve to increase commitment to the organization.
- **Establish a recognition and rewards program.** Formal programs that recognize employees personally and publicly for special achievements make them feel valued and appreciated for their work. Recognition can range from a simple handwritten note from the jail administrator to a public recognition ceremony. Recognition can also come as a tangible reward such as a bonus, gift certificate, or merchandise. Administrators may want to explore many of the low- or no-cost ways other organizations recognize their employees and select ways that will work best in the jail setting.
- **Provide training and educational opportunities.** Programs that improve work skills and future career development are particularly effective in retaining employees. Basic training is essential to ensure that employees are adequately trained in their respective jobs and in the agency's policies and procedures. Effectively trained staff feel more confident and competent in their work and are less likely to leave. Beyond the basics, employees are most interested in training that positions them for career growth. Popular training incentives include technical training, interpersonal skills training, managerial training, and tuition reimbursement. Cross-training of employees for various jobs



in the facility is a strategic way to get employees more invested in the organization while developing a more flexible workforce.

- **Establish a mentoring program.** Mentoring can increase productivity while helping to retain talented employees. Informal mentoring relationships typically develop when veteran employees take an interest in helping new employees integrate into the organizational culture, build skills, and move up in the ranks. A formal mentoring program is one that is established and sanctioned by the agency. Mentors serve as role models and coaches for newly hired employees, providing guidance and support. Mentors can also inform the administration about any problems that new employees may be experiencing and help get them resolved.
- **Provide opportunities for career growth.** The jail administrator can facilitate career growth by structuring the organization in a way that creates a logical career path. This may include establishing levels within specific job classifications (e.g., Jail Officer I, Jail Officer II), giving employees the skills and training needed to qualify for promotions to higher job classifications, and creating special lateral assignments (e.g., safety and sanitation officer, classification officer, training coordinator) that allow employees to learn new skills and focus on areas of interest.
- **Provide an adequate, safe work environment.** The physical environment should be hazard free, with adequate heating, lighting, ventilation, plumbing, and the necessary furnishings and equipment. An adequate work environment also means having sufficient staffing levels and reasonable workloads.
- **Conduct exit interviews.** Exit interviews can provide significant information about why employees terminate their positions with the agency. Employees leaving the

agency may offer frank observations about working conditions and recommendations for improvement. The jail administrator can assess this information to identify trends or glaring issues that, if addressed, may lead to higher retention.

A successful retention plan usually incorporates some combination of these strategies. The specific strategies selected and the emphasis placed in any particular area depend on the severity of the turnover problem and the administrator's analysis of the reasons underlying the problem. Use the following indicators to measure the success of the jail's retention plan:

- Reduced turnover rates.
- Reduced absenteeism.
- Improved employee morale.
- Reduced numbers of disciplinary actions.
- Increased productivity.

Note that retention at all costs is not good policy, especially for marginal employees or those who are not happy in the job or who fail to follow policies and procedures. At a minimum, these employees may negatively affect morale and productivity. Of greater concern is the potential for liability arising out of negligent retention. The jail administrator must be prepared to take appropriate action, within the jail's staff disciplinary policy, to address staff behavior that is contrary to the interests of the organization.

Tip for Administrators

Develop a formal plan for the recruitment, screening, selection, and retention of staff. Consult state authorities to ensure that the jail's staff selection and hiring policies conform to state requirements.

Summary

There is no one formula for success in recruiting, screening, hiring, and retaining staff. The approaches used in jails across the nation vary according to local policy and practices. Many creative, inexpensive methods are available to

the jail administrator who is committed to do what is necessary in this important area of human resources management.

Recommended Resources

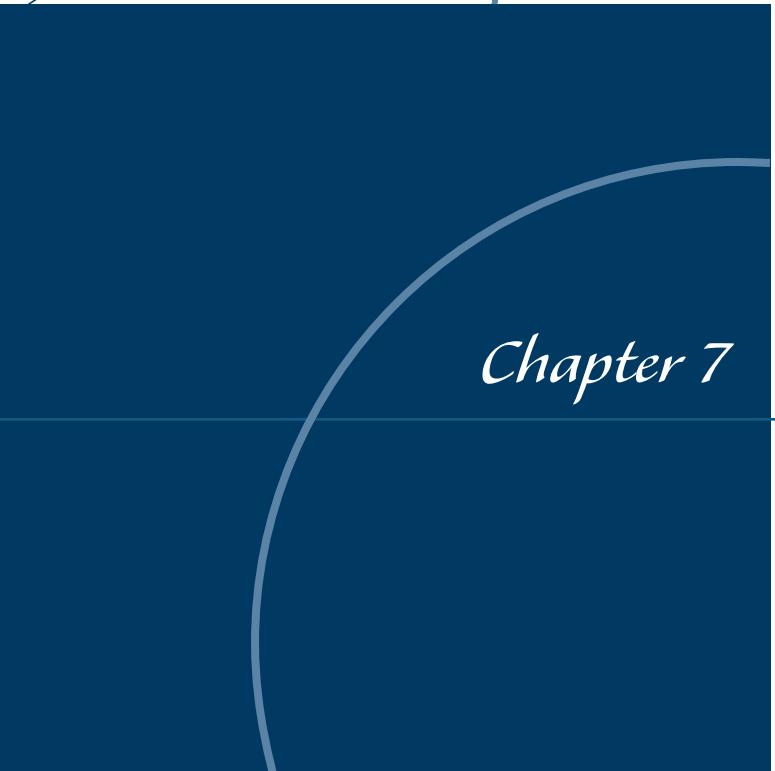
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Chapter 7

Staff Training



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Overview

Staff training is one of the most powerful problem-solving interventions available to the jail administrator—when the problems result from a deficiency in staff knowledge and skills. You can use training to target a wide array of problems in areas such as safety and security, inmate behavior management, workplace stress, staff morale, compliance with policies and procedures, and consistency in operations. By effectively addressing operational problems, you also reduce the risk of successful litigation against the jail.

In many jails, training often fails to produce these benefits. Four reasons account for this failure. First, the training function in jails is often isolated from the overall management strategy and staff performance. When this is the case, training tends not to be problem based and is often determined solely by staff preferences and the obligation to teach mandatory topics. To connect training to management goals and staff performance, base it on the following elements:

- Problems identified in an assessment of agency goals.
- Operations in relation to those goals.
- The knowledge and skills that staff require to meet operational goals.

Second, many jails focus primarily on providing and reporting a certain number of training hours to satisfy requirements set externally or internally. When the accumulation of hours is the primary focus, training becomes an obligatory

exercise with little impact on staff performance and, therefore, little effect on the achievement of the jail's mission and goals. In this case, precious resources are wasted.

Third, many jails devote minimal resources to training. Training does require resources, but lack of training or poorly planned training can cost the jail (and its community) far more if the jail is sued because staff did not have the knowledge or skills to prevent or handle a suicide, fire, assault, escape, or riot. Turnover of staff because of inadequate training also costs the community, although that impact is far less public. Various low- to no-cost sources of training are, in fact, available to the jail, as discussed later in this chapter.

Finally, training is often misused. Some jails see training as the response to all staff performance problems. Training is not a panacea. If the problem is due to lack of administrative leadership, inadequate direction to staff, faulty or nonexistent policy, inadequate supervision, or inappropriate hiring, training cannot remedy the problems. If staff think they should not do it, do not want to do it, forget to do it, or simply cannot do it, training will not help. Using training inappropriately only wastes resources and frustrates staff—and may cause staff to view training as punishment.

Used appropriately, training is highly effective in addressing deficiencies in performance and operations and directly contributes to the achievement of the jail's mission and goals. This chapter,

in providing an overview of staff training, considers the components of legally defensible training, the role of the training coordinator, the development of the annual training plan, steps in training development, how trainees learn, strategies for delivering training, documentation of training, and training resources.

Legal Requirements and Standards

1. The jail administrator has an affirmative duty to see that staff have the knowledge and skills necessary to perform core job tasks that ensure the security of the facility and the safety and well-being of inmates and staff.
2. Professional standards and statutes regarding staff training vary. Many standards include requirements for both training topics and the number of hours of training staff should receive. These standards address training for new and existing employees and for employees with varying degrees of contact with inmates.

Legally Defensible Training

Training can be defined as a formal transfer of job-related knowledge or skills from one who possesses the knowledge/skills to one who needs it. Training occurs in a teaching setting and is applied on the job, resulting in something of value for the agency. To be legally defensible, however, training must meet the following six criteria:

1. **Both the intent and the content of the training must be defined in writing.** Performance objectives state the intent of the training—that is, they define the goals the training is designed to achieve. Lesson plans, which document the content of the training, describe how the performance objectives will be met.

2. **The training must be job related, as determined by job or problem analysis.** Training of new employees must be based on a job analysis that identifies the core tasks of the job. Core tasks are defensible topics in a new employee curriculum. Training of existing employees is based on an analysis of operational problems, most likely resulting from lack of staff knowledge or skills. These operational problems can become defensible topics for inservice training.
3. **The trainer must have the appropriate credentials to teach the subject.** An employee who has demonstrated proficiency at jail tasks such as handcuffing, cell searching, and distribution of commissary and who can effectively teach others can be a defensible trainer for such tasks. However, training on suicide prevention is more appropriately taught by a mental health professional with expertise on suicide and competence in training. The jail should maintain documentation of trainer credentials in the training file.
4. **The training must be of sufficient duration (quantity of training).** The number of hours allocated for the training must be reasonably related to the complexity of the topic or how long it takes to master it.
5. **The training should result in the learning and application of something relevant to the trainee's job (quality of training).** The quality of training can only be evaluated by assessing its outcomes: what the trainee learned by the end of the training, how the trainee's job performance changed, and the benefit to the jail resulting from the change in performance.
6. **Only staff who need the training, as determined by job or problem analysis, should attend.** Providing training on topics that are not relevant to a staff person's job or that



address areas in which staff are already proficient does not reduce the agency's liability exposure. To be defensible, the target audience should be those staff who perform, or may perform, the job tasks related to the topic and who have a deficit in knowledge or skills that adversely affects their performance.

When all six of these elements are planned, implemented, and documented, the training is defensible.

Training Coordinator

A training coordinator should be designated to develop and implement an overall annual training plan, maintain training records, and provide progress reports to the jail administrator on the implementation of the training plan. A written job description should clearly articulate the training coordinator's responsibilities. If training coordination is a duty added to another position, a written job element should be added to that position's description. The position of training coordinator, whether full or part time, must be officially designated in writing.

The training coordinator does not necessarily conduct training; instead, he or she plans, organizes, and facilitates training and should work as an integral part of the jail's administrative team. An effective training coordinator has the following characteristics:

- Excellent planning and organizing skills.
- Broad understanding of jail operations and issues.
- Resourcefulness and creativity (needed to seek out sources of training and to develop options in training delivery).
- Ability to work with staff at all levels and with persons in other organizations.
- Task-oriented focus and attention to detail.

- Self-motivation and ability to working independently.
- Excellent oral and written communication skills.

Annual Training Plan

The annual training plan is a problem-solving tool for both new and veteran staff. For new staff, and for experienced staff moving to a new position, the problem can be viewed simply as giving them the knowledge and skills required for the job. For veteran staff, problems will vary among staff over time, as evidenced by operational shortcomings due to deficiencies in knowledge and skills.

Jails often erroneously develop training plans based on a survey that asks staff what they want or think they need for training. This approach is akin to a doctor asking the patient what medicine he or she wants instead of identifying and analyzing symptoms, determining the cause, and prescribing the appropriate remedy. It is important not to ask the patient—i.e., the staff—for the solution but to start by identifying and analyzing agency problems to see where training can play a role.

The annual training plan should have the following elements:

- A list of specific goals for the year.
- A summary of the previous year's problem analyses that led to the goals.
- A list of topics for the current year that will address the problems identified and achieve the goals.
- For each topic, a description of how the six elements of defensible training will be met, delivery strategies (stressing alternatives to classroom-based delivery when appropriate), and the required resources for each topic.
- The proposed master schedule.

Tip for Administrators

Designate a training coordinator for the jail. Make sure he or she is formally trained as a training coordinator, not just as a trainer.

- The total budget based on the aggregated cost of each topic to be delivered plus general costs associated with training. Whether overtime/trainee replacement costs are included is an agency-specific decision.
- A plan for the overall evaluation of the effectiveness of the training plan.

The annual plan should cover all job classes, including volunteers, contract workers, and the administration.

New Employees

The development of training for new employees requires an analysis of the core tasks for their job class. Core tasks are those that are done frequently and/or are judged to be critical to safety and security, the well-being of inmates and staff, and the jail's mission and goals. Based on the core task analysis, the jail should develop a basic curriculum for the knowledge and skills required to successfully perform the core tasks of the job. The plan for new employees must address both the cognitive requirements (data, facts, information) and psychomotor requirements (behavior and physical action) for the job. Unless a particular job changes dramatically, the new employee curriculum should remain relatively stable.

Tip for Administrators

Develop a comprehensive staff training plan that is updated annually. Be sure that the training plan covers all job classes and is based on training needs related to operational problems and issues.

based on whose knowledge and skills need to be enhanced to meet operational goals. The plan should consist of individualized training prescriptions for employees, developed jointly by the supervisors, training coordinator, and administration.

Mandatory Topics

Many jails have accumulated a large number of mandatory training topics derived from jail standards, internal policies, requirements of external agencies, and administrative preferences. The jail administrator and the training coordinator should review all mandatory topics to determine whether they are required by standards, regulation, or law or are critical to life, health, and safety—in other words, whether they are truly mandatory. For example, subjects such as first aid, cardiopulmonary resuscitation (CPR), and the use of emergency equipment are directly related to life, health, and safety and are logical mandatory training topics. If, however, you determine that certain topics are not truly mandatory and do not address the jail's specific operational needs, teaching these topics may serve little purpose and deplete limited resources.

Five Steps in Training Development

There are five steps in designing training to address problems in staff performance:

1. Establish the need for training through identification and analysis of the operational problem.
2. Set training objectives to address the problem.
3. Determine the best method for achieving the objectives.
4. Conduct the training intervention.
5. Evaluate the impact of the training.

These steps are discussed in the following sections.



Establish the Need for Training

If the analysis of the operational problem shows that the cause is a lack of staff knowledge and skills, the jail administration team, including the training coordinator, can develop a training program to address the problem. For new employees, as noted earlier, the generic “problem” is simply the lack of all the knowledge and skills needed to perform in a new job. For existing employees, the performance problem is usually a deterioration in knowledge and skills.

Set Training Objectives

Objectives define what the training is designed to accomplish. Thoughtfully developed objectives begin to define the nature of the solution. In developing objectives, consider the impact they will have at three levels:

- **Immediate impact:** The specific knowledge and skills staff will acquire during the training.
- **Intermediate impact:** The change in job performance expected to result from the training.
- **Ultimate impact:** The benefit to jail operations from improved staff performance expected as a result of the training. The ultimate-impact objective will relate directly to the operational problem identified.

For example, if the operational problem is an increase in inmate suicide attempts in the previous year:

- The **immediate-impact objectives** for the training session might focus on increasing knowledge and skills concerning inmate suicide screening instruments, detection of signs that an inmate is considering suicide, and suicide prevention/intervention techniques.
- The **intermediate-impact objective** might specify staff demonstration of increased

effectiveness in the use of screening instruments, observation of inmates for signs of suicide intention, and ongoing implementation of suicide prevention techniques, as evaluated by supervisors.

- The **ultimate-impact objective** might be to decrease the percentage of suicide attempts within a specific period after the training takes place.

Determine the Best Method for Achieving the Objectives

The best method for achieving the training objectives is the one that best addresses the issue or solves the problem. For example, if the training need involves physical skills such as handcuffing, use of fire extinguishers, or emergency evacuation, the best training method might be an on-the-job module or experiential learning such as onsite drills. If the training need requires the acquisition of knowledge about an issue—for example, inmates’ rights—then the best training method might be classroom-based instruction or use of a videotape. For additional information on effective intervention design, see the sections below on “Trainees and Learning” (page 102) and “Training Delivery Strategies (pages 103–105).”

Conduct the Training Intervention

Staff should understand why they are participating in the training and how it is intended to enhance their work performance and jail operations. As part of the training, explain the three levels of impact described above and what will be expected of staff who have received the training.

Evaluate the Impact of the Training

To ascertain whether the training has achieved its objectives, evaluate its immediate, intermediate, and ultimate impacts.

Evaluation of Immediate-Impact Training

Before the trainees leave the learning environment, evaluate them individually to see if they

have acquired the knowledge or skills communicated in the training. Traditionally, jails have used tests based on multiple-choice, fill-in-the-blank, and true/false questions for this level of evaluation. However, this type of test focuses on retention of facts rather than comprehension. To better ensure that training results in improved job performance, this evaluation should focus not only on facts, but also on comprehension of how those facts are applied in various job situations (i.e., judgment and decisionmaking). This can be done with testing methods that require trainees to develop responses to certain scenarios (e.g., “Given this situation, what would you do and why?”) and take part in role-playing and simulations. Although scoring these types of tests can be more challenging, they are more effective in measuring comprehension. If the trainer explains in advance exactly what is being looked for in terms of thinking, decisionmaking, and projected action, fair and defensible evaluation of participants is achievable. As with oral board examinations, scoring becomes easy if standards are clearly defined.

Evaluation of Intermediate-Impact Training

Measure intermediate impact by assessing changes in staff behavior on the job after the training takes place. Assessment at this level is not that difficult if supervisors know the training objectives and then conduct effective formal and informal performance appraisals using the objectives as part of the appraisal criteria.

Evaluation of Ultimate-Impact Training

The measurement of ultimate impact answers the “so what?” question about training: Did the training affect the targeted operational problem and, specifically, how? Measurement of the ultimate impact is the most important aspect of training evaluation.

Trainees and Learning

In any training activity, it is important to remember that people learn best differently. Some learn best only when they first understand why the topic is important to them, their agency, or their job. Others see value in the information itself. This group enjoys and easily learns information, concepts, and theories—they focus primarily on what is being taught. Still others learn best by doing—they focus on how to do what they are taught, and in essence teach themselves by hands-on activity. Finally, some people learn best if they are able to bring their individual creativity to the topic. This last group often likes to build on what is being taught and apply it to other situations. They are best able to comprehend a topic by applying a variety of “What if...?” scenarios to it. Although most staff will have a way in which they learn best, all staff need training that answers the “why,” “what,” “how,” and “what if” of any given topic. Not only will they learn effectively through that process, but it will better prepare them to perform on the job.

Many staff working in jails tend to learn by doing. Jails prefer to hire these individuals because they think quickly, make decisions, and take action. They are doers and, as such, they learn by hands-on training activity. If all training for them is delivered primarily through lecture, for example, the training is not likely to be as effective as it could be for most staff. Meet with the training coordinator to discuss developing training activities that will better meet the learning needs of staff and emphasize hands-on learning. More information on this topic is available through the National Institute of Corrections Academy Division.



Training Delivery Strategies

Classroom-based training is not the only option for training delivery and is not all-effective for certain types of training. For example, staff cannot be trained to evacuate a housing unit in under 3 minutes using classroom-based training. Many nonclassroom options are not only more effective but also less costly. Note that neither the definition of training nor the elements required for training to be considered defensible mandate a classroom setting. The next sections present several ideas for training outside the classroom setting. To be defensible, all types of training, including those listed here, must meet the six criteria for defensible training presented at the beginning of this chapter—they must be formally planned, implemented, and documented.

On-the-Job Training for New Staff

On-the-job training translates the knowledge new staff receive in a pre-service academy (if any) into productive work behavior. Academy or classroom-based training simply cannot teach the specific skills required at a job post.

Too often, on-the-job training is merely an observation, partnering, mentoring, or shadowing program. Knowledge and skills retention from such programs tends to be low. On-the-job training should be a formal teaching process that happens to occur in an informal setting. For training to be effective and defensible, each psychomotor core job task should have a corresponding on-the-job training module with a specific performance objective and a list of steps for successful completion. The process for delivering training modules should be consistent, and proficiency testing should be conducted for each core task.

The on-the-job training program should not be developed with a “sink or swim” ethic, but with the understanding that employees learn behavioral skills at different rates. The goal is to train

new staff to perform on the job and to build their skills, not to wash the employee out.

On-the-job training requires the recruiting, screening, and selection of on-the-job training officers, often referred to as “field training officers” (FTOs), from among the jail’s pool of high-performing staff. The quality and commitment of FTOs are key to the success of on-the-job training.

In most cases, the FTO responsibility is added to the duties of an already busy employee, and the FTO should be rewarded.

Monetary compensation often is not feasible, nor is it often a strong or long-term motivating factor. More practical and often more effective rewards and incentives include special uniform patches denoting FTO, office space designated for FTOs, allowing FTOs first choice in selecting shifts and schedules, reserved parking spaces, and special events to recognize FTOs. Consideration of service as an FTO in promotional decisions also is an effective reward.

The on-the-job training program is a formal training program that occurs on all different shifts and in different areas of the jail. It must be managed by an on-the-job training program manager (an added duty, usually for the training coordinator or one of the FTOs). The jail administrator should regularly spot check the on-the-job training activity and conduct random audits of the related documentation to ensure the program is being implemented as intended.

The jail administrator and the training coordinator should define the goals of the on-the-job training program and then annually evaluate whether the program is meeting those goals. If it is not, the reasons should be identified and the program modified accordingly.

Tip for Administrators

Establish an effective field training officer (FTO) program for the jail. Explore other low-cost options for meeting training needs.

"Tune-Ups" for Veteran Staff

Each year, veteran staff should requalify on mandatory skills and selective tasks identified through individual performance appraisals. Veteran staff begin by taking a proficiency test on a particular task. Those who do not pass the test to standard are placed in an on-the-job training phase with an FTO for that particular task.

Roll Call Training

Shift overlap or roll call periods offer a prime training opportunity. For example, an 8-hour lesson plan can be broken into 15-minute segments and delivered over a series of roll calls.

Experiential Drill Training

A fire drill can be just a fire drill, or it can be a valid training activity. If all six elements of defensible training are planned, implemented, and documented, experiential drill training can be some of the most effective and relevant training conducted for jail staff. Drills can be conducted for issues such as evacuation, suicide intervention, mass arrest, failed lock and security equipment, medical emergency, escape, inmate disturbances, hostage situations, and natural disasters. Administrators often find drill topics in recurring issues that resist resolution or in scenarios that could have serious consequences if the response to an emergency is inadequate. Training of this nature not only improves performance but also tests the adequacy of emergency response plans and resources.

Shift Scenario Training

The training coordinator can give all or some staff on a shift a written scenario that might be derived from litigation newsletters, previous incidents, or areas of jail operations that have been problematic. During the shift, the staff review policy, identify relevant standards, and discuss options on how to prevent or handle the

given scenario. By the end of the shift, the staff are required to write a response to the scenario with recommendations based on policy, standards, and their periodic discussions during the shift. The product can be evaluated and retained, and the staff have received training on an important operational issue.

Independent Study

Independent study programs can be part of a prescriptive training plan for staff. If certain staff need particular knowledge and the administration needs some recommendations about an issue, independent study is a mutually beneficial strategy. For example, a fire-safety officer may need information about conducting more effective fire inspections in the jail. At the same time, the administration may want to enhance the level of fire-safety readiness in the jail. In this case, the fire-safety officer can be assigned to research ways to improve the jail's fire inspections. The assignment should be made in writing, and the officer should be required to submit a written report to the jail administrator and training coordinator.

Incorporation of Training Into Staff Meetings

Staff meetings are a training opportunity. A portion of the meeting may be reserved for relevant knowledge and skills enhancement through training provided by an outside vendor, a local mental health official, or staff with specific expertise, to name just a few possibilities.

Videotapes

Viewing a videotape with jail-relevant content can be a training event if planned with specific objectives and accompanied by discussion and testing. Use of videotapes can build knowledge and demonstrate skills, but is unlikely to teach specific behavioral skills. To accomplish that, followup training is necessary.



Correspondence Courses

Correspondence courses are available from professional corrections and corrections-related organizations. They can be effective in providing information on generally accepted correctional practices, but the concepts taught should be reinforced through in-house followup training.

Internet Electronic Learning

The interactive nature of electronic learning, or e-learning, is likely to hold a trainee's attention more than a book or manual. E-learning can be an excellent training method for imparting information (i.e., for meeting cognitive objectives), but it is not necessarily amenable to teaching psychomotor skills. Because e-learning can be efficient and cost effective, some jail administrators see it as a solution to all of their training concerns; however, e-learning is not a panacea. It is best viewed as but one tool for training staff, to be used in combination with other training methods. Training that is integral to the jail's management strategy and that focuses on problem solving requires various approaches. No single delivery strategy will suffice to make training both effective and defensible.

Ride-Along Training

“Ride-along” training can be a valid activity for certain skills-based positions such as sanitation officer, fire safety officer, or internal inspections officer. For example, the jail inspections officer might accompany the local or state health or fire inspector on inspections of 24-hour institutions similar to jails, such as hospitals and nursing homes. The training should have specific objectives, and the expert inspector should submit a written report summarizing the topics covered and the nature of the training and evaluating the trainee’s performance.

Training Documentation

Thorough documentation of staff training is essential because:

- It enables the administrator to track the progress of training and assess its quality.
- It helps ensure staff training will be done formally, even if in an informal setting.
- It helps substantiate that the jail is meeting training requirements, whether they are imposed internally or externally.
- It demonstrates, in the event that mistakes occur, personnel actions are taken, or litigation is filed, that the administrator has met his/her affirmative duty to train staff.

If all six elements of defensible training are planned, implemented, and well documented for each training activity, the jail has the necessary record of training. Records should be retained for each training event as well as for each individual trainee. Records should be kept current and be audited regularly for completeness. The records for all currently employed jail staff should be readily accessible.

How long should a jail keep training records? The short answer is “almost forever.” The general practice of retaining records for a certain number of years may be acceptable in other areas of jail administration, but retention needs for training records are different. For example, in litigation involving a 30-year employee for an incident that occurred in the current year, training records might be needed to prove that the employee received a certain type of training when he or she was first hired.

Recommended Resources

Publications

Cost Effective In-Service Training Alternatives for Small Jails. T. Reid, National Institute of Corrections, 1997.

National Institute of Corrections

The National Institute of Corrections (NIC) offers a capacity-building training initiative through its Academy Division in Longmont, Colorado. This initiative includes programs for training coordinators, for developing on-the-job training programs, and for designing and delivering effective lesson plans. The NIC Academy Division also has a training capacity initiative that focuses on small correctional agencies. Visit the NIC Web site at nicic.org for further information.

Professional Organizations

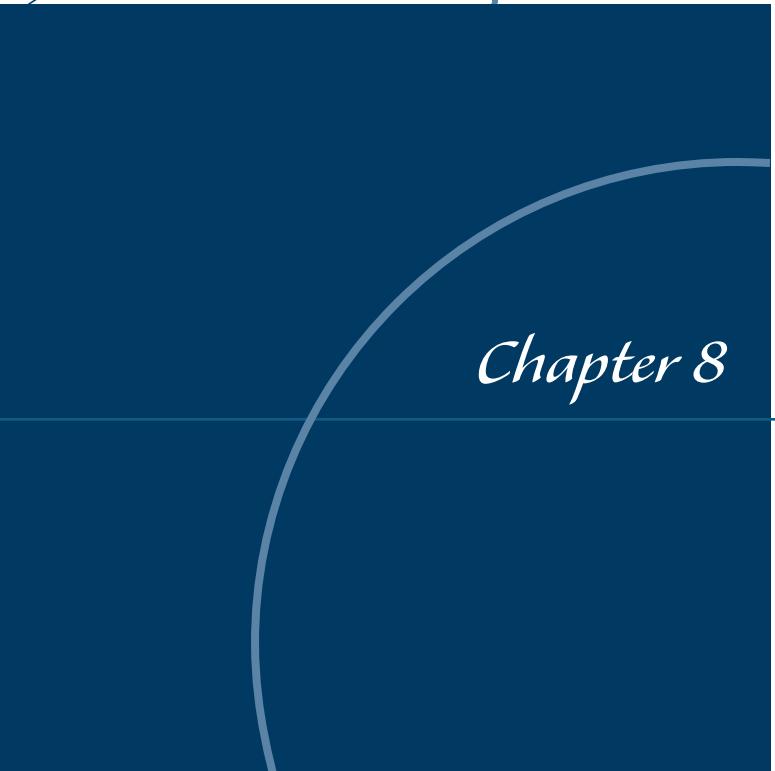
American Jail Association. The American Jail Association (www.corrections.com) offers videotapes and two bulletin series—Jail Operations Bulletins and Jail Managers Bulletins—on a broad range of topics. The programs discussed all include performance objectives and are affordable. The organization also provides training seminars on selected topics in regional locations around the country.

National Sheriffs' Association. The National Sheriffs' Association (www.sheriffs.org) offers correspondence training programs for jail officers and for first- and second-line supervisors.

American Correctional Association. The American Correctional Association (www.aca.org) offers many correspondence courses (including one of the few food services correspondence courses available), videotapes, and some lesson plans. Although all these resources are inexpensive, they will only build cognitive ability and knowledge and will not necessarily lead directly to behavioral change unless your training coordinator reinforces the lessons with immediate followup activity to give direct application experience and set behavior expectations for your agency.

State and Local Resources

State agencies and, more importantly, your local community constitute a wealth of training resources (usually cost free) in terms of specific expertise. Fire marshal's offices (state and local), health and sanitation inspectors, mental health professionals, health professionals, chemical abuse counselors, and county or state's attorney offices all offer expertise in their subject area and will usually be willing to share it with your staff on a periodic basis. Other nearby training entities, such as state academies and law enforcement training consortiums, may be willing to share but only on a cost basis. Vendors, either current or potential, are another good resource for low-cost training.



Chapter 8

Jail Security, Safety, and
Emergency Preparedness



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Overview

Security and safety are fundamental elements of effective jail operations. The primary goals of security are to prevent escapes and to maintain order within the facility. Security in jails is established through a combination of appropriate staffing, adequate facilities, and well-defined operational procedures.

The primary goal of safety in the jail is to protect inmates, staff, and the public from harm. This goal is achieved through the identification and management of risks that present a threat to the safety and well-being of jail occupants and the community. The risks include those unique to the jail environment, such as inmate assaults or violence, in addition to those inherent within any residential or work setting, such as accidents, disease, or natural disaster.

Despite the attention given to safety and security, emergency situations of any type can occur at any time. Jail administrators and staff must be prepared to respond to a broad range of man-made and natural emergencies. This chapter discusses the basics of jail security, safety, and emergency preparedness and presents strategies for assessing and improving security and safety in jails.

Legal Requirements and Standards

1. The “duty to protect” is well established in case law. Jail officials have a responsibility to protect inmates from harm caused by themselves, other inmates, staff, or unsafe conditions or practices.

2. The jail is a worksite and, as such, comes under the jurisdiction of the Occupational Safety and Health Administration (OSHA) and other federal and state regulations addressing workplace safety.
3. Fire codes, health and safety codes, state jail standards, and professional standards address many of the security, safety, and emergency preparedness issues covered in this chapter. Many of these requirements are established in administrative code, making compliance mandatory.

Jail Security

A jail’s security requirements are determined by its mission and the custody category of the inmates housed in the facility. Jails can be categorized by their security capabilities, which in turn are defined by factors such as internal design and layout, perimeter security features, facility capacity, construction method and materials, type of security equipment, staffing pattern, and operations. Effective security depends on a good match between the jail’s security capabilities and the custody level of the inmate population. The basic factors that constitute jail security are described in the following sections.

Perimeter Security

Effective perimeter security prevents inmates from escaping the secure area of the jail and prohibits unauthorized access by the general public. Maintaining a secure perimeter around the jail

and controlling facility access are key elements of perimeter security.

Security Perimeter

The security perimeter is the overall barrier between the secure area of the jail and the outside world. The security perimeter of the jail should be clearly identified, and all staff should be fully aware of its boundaries. To prevent escapes and unauthorized access, the integrity of the security perimeter must be maintained at all times. All components of the main security perimeter, including walls, floors, ceilings, doors, windows, bars, and locks, should be constructed of materials that cannot be easily breeched, even under sustained attack with tools. These components should be maintained in good repair and working condition as part of the jail's preventive maintenance program. (See chapter 4, "Jail Facilities.")

Other issues relating to the security perimeter include the following:

- **Maintenance of monitoring equipment.** Equipment used to monitor the security perimeter, such as video cameras, electronic alarm systems, audio surveillance equipment, metal detection systems, and similar devices, should be maintained in good working condition. Malfunctioning equipment should be repaired or replaced promptly.
- **Staff ability to use security equipment.** Staff should be thoroughly trained in the operation and use of all security equipment that maintains the security perimeter.
- **Access points.** The number of access points into the main security perimeter should be limited to the number necessary to control traffic flow in and out of the facility and to meet code requirements. Controls for doors at access points should be operated from a secure location such as the control center.

- **Maintenance of fencing materials.** Materials used in perimeter fencing, such as fencing fabric, posts, nuts, bolts, and barbed or razor wire, should be maintained in good repair and checked regularly to determine whether they have been altered or damaged in any way. There should be no washouts or gaps at the bottom of perimeter fencing.
- **Perimeter lighting.** Perimeter lighting should be in place to discourage unauthorized approaches to the security perimeter and to aid in monitoring areas on the outside of the perimeter.
- **Unobscured sight lines.** Landscaping, trees, and vegetation should not obscure sight lines to the outside of the security perimeter.
- **Signs.** Signs should be posted along the security perimeter identifying a restricted access area.

Facility Access

The jail should have a policy that governs access to the facility. Access points into the facility should be designated according to their function and the types of individuals (e.g., staff, personal/professional visitors, maintenance personnel, contract staff, delivery people, volunteers) authorized to enter or exit through respective areas. The following are typical access categories:

- Main public access.
- Staff access.
- Arrestee/officer access.
- Service delivery access.
- Emergency exits.

Orders for staff posts controlling entrances should include details about the processing of various types of individuals through the designated entrances. Other issues relating to facility access include the following:

- **Visitor identification.** A system to positively identify all people entering and exiting the



facility should be established by policy. All visits to the facility, both personal and professional, should be documented.

- **Searching visitors.** A system for searching visitors should be established by policy. Items brought into the secure area of the jail should also be subject to search. Only items authorized by policy should be allowed into the facility; exceptions must be approved by the jail administrator. Certain items, such as tools, should be inventoried when the owner enters and leaves the facility.
- **Signs.** Signs listing prohibited items should be posted at facility entrances.
- **Metal detectors.** Metal detectors should be available at entrances.
- **Weapons lockers.** Weapons lockers should be available at facility entrances for weapon storage.

Monitoring and Communication

Monitoring

Beyond the primary supervision of inmates through direct staff-inmate interaction, the jail must have the means to monitor its overall security. Most monitoring functions are centralized in a control center. Monitoring should encompass the following:

- Audio and video electronic surveillance systems.
- Life safety and security systems.
- Various electrical and mechanical building systems.
- Areas adjacent to the control center that are under direct surveillance.
- General movement within the facility, particularly through access points in the security perimeter.

Closed-circuit television (CCTV) is most effective for monitoring areas such as perimeter walls

and fences, security perimeter access, security garages, security corridors, parking areas, loading docks, and other spaces that are used intermittently. Recording devices may be integrated with the CCTV system to record activities such as intake or planned use of force. CCTV should be used only as a supplement for staff—never as a replacement.

Communication

Communication among jail staff is vital to security and is typically accomplished by one or more of the following methods:

- An internal telephone or intercom system that connects each jail post and a control center post.
- Intercoms or call boxes strategically located throughout the facility.
- Portable radios carried by individual staff.
- Personal alarm devices.

Like monitoring systems, most communication equipment in jails is centralized in a control center. The control center post officer is usually responsible for monitoring and responding to internal communications.

Other Concerns

Special security concerns regarding monitoring and communications include the following:

- **Maintenance of monitoring equipment.** Equipment used for monitoring and communication purposes should be inspected regularly and maintained in good repair. Malfunctioning equipment must be promptly repaired or replaced.
- **Staff ability to use monitoring equipment.** Staff should be trained in the proper use and operation of all monitoring and communication systems used in the jail.
- **Use of supplemental surveillance and communication systems.** In areas where

staff are not stationed in close proximity to inmate housing, jails should use an audio surveillance and communication system. Surveillance and communication technology is not an appropriate alternative to maintaining a staff presence in inmate housing areas, but it is a supplemental means for staff to detect problems and for inmates to seek assistance in emergencies.

Inmate Well-Being Checks and Counts

Jail staff must be able to account for and ensure the well-being of inmates at all times. Well-being checks and inmate counts are key operational strategies for enhancing inmate accountability. These strategies are discussed in the following sections.

Inmate Well-Being Checks

Good practice dictates that all inmates in general population housing be viewed by staff in person at least every 30 minutes on an irregular schedule. People who are violent, mentally ill, intoxicated, or have other special problems warranting closer supervision require more frequent checks or, in some cases, constant supervision. The jail should have an established method for documenting the time and results of well-being checks.

Counts

The jail should have a system for physically counting inmates to verify that all of them are present or otherwise accounted for. Counts should be taken routinely and when a situation indicates that inmates may be missing. The jail's procedures should provide for the following types of counts:

- **Formal counts.** These counts are scheduled at specified times each day. At least one formal count should be conducted each shift, or at least three times a day. During a formal count, all inmate movement and activity should cease. Inmates should be directed

to stand in a specified area (except during sleeping hours) and remain quiet. Officers conducting counts should be certain they "see body flesh" to confirm the presence of all inmates. Counts should be recorded on a count sheet, which should also show the number and location of inmates absent from each housing unit during the count (see Outcounts below). The count sheets are then reconciled with a master record that documents all inmate names and housing assignments, the location of all inmates at the time the formal count is recorded, and all head-count changes from the previous count. If a discrepancy is found between the count sheets and the master count record, the count procedure should be repeated to determine the reason.

- **Outcounts.** Inmates who are away from their respective housing units at the time of a formal count should be included in the outcount. This count may include inmates who are authorized to be out of the facility (e.g., court, work) and those authorized to be in other areas of the facility (e.g., kitchen, laundry, a program).
- **Emergency counts.** Emergency counts are conducted on an unscheduled basis when staff have reason to believe an inmate or inmates may be missing. Emergency counts are generally authorized after a disturbance, escape, fire, or other unusual incident. For an emergency count, staff may require inmates to be recalled to their respective housing units and locked down until the count is complete and verified.
- **Roster counts.** This type of count is taken to determine which inmates are not in their assigned areas. The jail may authorize a roster count when an inmate is believed to be missing or when discrepancies in a formal count cannot be reconciled through a recount.



During the day, all inmate movements (e.g., admissions, releases, authorized leaves, changes in housing assignments) should be reported so that changes can be noted on the master count record.

Searches and Contraband Control

Searches are operational strategies for controlling contraband and detecting conditions that adversely affect security and the well-being of staff and inmates. The jail's policies and procedures should detail criteria and methods for searches of the following:

- Inmates and their personal property.
- Other people who enter the jail.
- The facility.
- Vehicles.

Contraband is generally defined as any item that is illegal or expressly prohibited within the jail. Contraband may include weapons, implements of escape, intoxicants, money or other items of value that are prohibited, and other items not issued or received by inmates through approved channels. Contraband may also include excessive amounts of authorized items or authorized items converted for an unauthorized use. Jail policies and procedures should list and describe items considered to be contraband and address the manner in which discovered contraband items are to be handled.

Inmate Searches

Arrestees are searched on admission to the jail to ensure that all personal property is removed and properly secured and to enable a jail officer to assess their physical condition and remove any contraband. Jail officers conduct frequent and routine searches of inmates subsequent to admission primarily to control contraband obtained while in custody.

Several types of searches can be conducted, with varying levels of intrusiveness: pat or "frisk," strip or body, and body cavity searches.

Pat or "frisk" searches. In a pat search, jail staff touch and feel the inmate's fully clothed body to detect contraband. Pat searches may include the use of a metal detector. Pat searches are the least intrusive type of search and may be conducted on a routine and random basis to maintain security and control.

Strip or body searches. In a strip search, the inmate is required to remove all clothing. Jail staff then visually inspect the inmate's nude body, including the outer areas of orifices and cavities. Jail staff also thoroughly search the inmate's clothing after the inmate has removed it. Strip searches should be conducted in a suitably private area by jail staff of the same sex as the inmate.

Strip searches require reasonable suspicion that an inmate possesses weapons, drugs, or other contraband. Requiring all newly admitted inmates to be strip searched on the assumption that they may be in possession of contraband is illegal. With regard to arrestees being admitted to the jail, reasonable suspicion of possession of contraband must be determined on a case-by-case basis. Therefore, many arrestees accused of nonviolent misdemeanors are excluded from strip searches. Reasonable suspicion is generally deemed to be present under the following circumstances:

- Current charges or previous convictions involving escape, drugs, weapons, or violence.
- History of possession of contraband or prohibited property while in custody.
- History of escape attempts.
- Contact with the public or exposure to public areas after arrest.
- Refusal or resistance to being pat searched.

- Discovery of weapons or drugs during a pat search.
- Alert by metal- or drug-detection devices.
- Receipt of other reliable information that the arrestee may be in possession of drugs or weapons.

Jail officials have more discretion in strip searching an inmate already in custody. Circumstances in which inmates in custody may be subject to strip searches include the following:

- After the inmate has been in contact with the public or on reentry into the security perimeter after exposure to public areas.
- After having access to tools, medical instruments, or kitchen utensils within the jail.
- On discovery of contraband in the inmate's cell or living area.
- On refusal of a less intrusive search.
- After inmate involvement in a serious incident in the jail.
- On placement in segregation for disciplinary reasons or for the inmate's protection.
- On receipt of reliable information that the inmate may possess contraband.

Strip search issues are a prime area of litigation as the courts continue to define and refine the conditions and circumstances under which they may occur. Accordingly, you should stay current with case law.

Body cavity searches. Cavity searches involve the manual or instrumental inspection of the oral, anal, and vaginal cavities. Cavity searches may only be conducted by medical professionals and only to detect the presence of contraband. Cavity searches should be conducted privately and under sanitary conditions. Authorization for body cavity searches must come from the jail administrator or a designee and should only be given when you have probable cause to believe the individual is concealing contraband after less

intrusive types of searches have failed to satisfy the safety and security needs of the facility.

The jurisdiction's legal counsel should review the jail's body cavity search procedures. As part of this review, legal counsel should be asked to research any circumstances under which a search warrant would be required to conduct a body cavity search.

Searches of Other People

People other than inmates who may be authorized to enter the jail include personal visitors (i.e., family and friends of inmates), official visitors (i.e., law enforcement personnel, lawyers, probation officers, inspectors), vendors, maintenance workers, volunteers, and contract service providers. Policies concerning the search of non-inmates entering the jail should specify who can be searched, under what circumstances, and by which method. The category of the individual, level of staff supervision provided, and areas of the jail to which the person is allowed access are factors that affect these policy decisions.

In general, noninmates should be screened by a metal detector and required to leave unnecessary personal items outside the secure area of the jail. All tools and repair equipment brought in by maintenance workers should be inventoried and searched before being brought into the facility and again when they are taken out to ensure that they are accounted for. When searches of non-inmates are authorized, pat searches may be required to gain entry. If a more intrusive search is deemed necessary, simply denying the person access to the facility may be more appropriate, but you must document the reasons.

Facility Searches

The jail's physical plant may be searched to discover contraband, prevent accumulation of excess items and clutter, and inspect facilities, equipment, and furnishings for possible tampering, damage, or deterioration. Inmate housing areas and other common areas of the facility



should be searched at least weekly according to a random pattern and schedule. Visiting rooms, holding cells, detoxification cells, observation cells, and other areas with frequent turnover of occupants should be searched before and after each use. Areas near the security perimeter, exercise yards, and visitor traffic areas should be searched regularly to discover items left for inmates.

Supplies and equipment for effective searches should be kept in stock. Typical search equipment includes flashlights, mirrors with extension handles, probes, protective clothing and gloves, forms for documenting search results, and plastic bags for securing contraband.

Vehicle Searches

Agency vehicles used to transport inmates should be searched for contraband and messages before and after each time an inmate is a passenger. Locks, grills, and other security devices should be checked carefully for evidence of damage or tampering.

Other Concerns

Other concerns regarding searches and contraband control include the following:

- Items considered to be contraband and the consequences for possessing contraband should be detailed in the inmate handbook.
- Rules relating to contraband control and search procedures for visitors should be posted at visitor entrances of the security perimeter.
- Staff should know which items are considered to be contraband.
- Staff should be trained in the proper conduct of personal, facility, and vehicle searches.
- Jail policies and procedures should provide for the search of inmate mail as a contraband control measure. (See chapter 12, “Inmate Services and Programs.”)

Control of Equipment and Supplies

Jail staff must maintain complete accountability for and control of keys, weapons, tools, equipment, and supplies used in the jail. Failure to do so could result in inmates gaining access to materials that can facilitate escape or cause harm to themselves or others.

Key Control

The jail must have an effective system for controlling the storage, issuance, and use of all keys. Jails typically use several categories of keys, which may have different accountability requirements. Keys should be classified for one of the following uses:

- **Regular-use keys**, such as post or housing keys, that are used frequently in daily operations. Regular-use keys required for particular posts are usually grouped on rings commonly called key sets.
- **Restricted-use keys** that allow access to certain parts of the facility, such as commissary areas, property storage areas, offices, or the pharmacy. Restricted keys are issued only to staff working in those areas.
- **Emergency-use keys** that provide rapid access to all areas of the facility in the event of an emergency.
- **Permanent-issue keys** assigned to staff, which they retain in their possession (e.g., keys for staff locker areas and break rooms).
- **Nonissued/surplus keys**, or spare keys that are not in use but are available as backup.
- **Pattern keys** from which all other keys for a particular lock or series of locks are cut.

All facility keys should be stamped with an identification (ID) number. Maintain an accurate written inventory listing all facility keys cross-referenced with their corresponding locks and locations.

Keys should be issued from a central, secure location in the jail (e.g., central control). The daily issuance and return of keys should be documented in a log where the date, time, key or key set number, and name of staff accepting/returning the keys are recorded. A list of all permanently issued keys and the staff to whom they are assigned should also be maintained. Regular-use keys should be stored in a secure key locker with hooks that easily display the presence or absence of any key. Keys not issued in normal daily operations should be stored separately from regular-use keys. Key sets issued to staff working in inmate-occupied areas should not include keys to perimeter doors.

Emergency key sets should be stored in a secure location accessible to staff who are responsible for their use in emergencies. Staff should be familiar with the jail's locking system and be trained in the use of emergency keys. Emergency keys should be notched for nonvisual identification.

Repair or replace malfunctioning keys or locks promptly. The jail's security inspection process should include regular inspection of locks to ensure that they are working properly.

Jail staff should report missing keys to their supervisors immediately. A verbal report should be followed by a written incident report describing the missing key and the circumstances of the incident. If appropriate, initiate search procedures to locate the missing key.

Tool Control

Tools are necessary for the repair, maintenance, and improvement of the jail. Tool control policies may also encompass janitorial equipment and kitchen utensils. Strict accountability for tools used in the jail must be maintained so that they do not fall into the hands of inmates, where they can become weapons or implements of

escape. An effective tool control program includes the following elements:

- A secure storage area for tools.
- Methods for identification and inventory of tools.
- Methods for issuance and return of tools to storage.
- Adequate supervision in the use of tools.
- Measures for dealing with lost or misplaced tools.

Tools should be classified as "hazardous" or "nonhazardous." When not in use, hazardous tools should be kept in a secure tool storage area away from inmate housing. Nonhazardous tools used daily for housekeeping or simple maintenance may be kept in designated locked storage areas close to the areas in which they are used.

Tools should be marked with an ID number where possible and stored in a manner that enables staff to easily determine whether items are missing. Shadow boards, where silhouettes of the tools are depicted on a surface, are the preferred method of storing many tools. Where tools are shadowed, only one tool should be assigned to each shadow and the corresponding tool ID number should be listed on the shadow.

All jail-owned tools should be cataloged in a written inventory, copies of which should be kept both in the tool storage area and with the facility's other inventory records. Inspect tool storage areas regularly—preferably daily—to ensure proper accounting of all tools. Conduct a full tool control audit at least every 6 months.

The issuance and return of all facility-owned tools in the tool storage area should be governed by procedure. The jail should maintain a tool checkout log that includes the date and time of issue, name of the receiving employee, name and ID number of the tool, date and time of return,



and name of the returning employee. The jail administrator should identify staff who are authorized to check out and use hazardous tools in the jail.

Tools brought into the secure area of the jail by maintenance personnel should be inventoried before they are allowed within the security perimeter and again when they are brought out of the secure area. Generally, security staff should escort nonjail maintenance personnel while they are in the facility and instruct them in regard to their responsibility for tool control. When maintenance personnel leave, jail staff should inspect the work area carefully to determine that no tools or other materials have been left behind that could be converted to contraband.

As with keys, jail staff should report missing tools to their supervisors immediately, write an incident report describing the missing tools and the circumstances of the incident, and initiate appropriate search procedures to locate the missing tools.

Control of Supplies and Hazardous Materials
Jails should have control procedures in place to prevent waste or improper use of the wide range of supplies required for daily operations and inmate care. The elements of an effective control plan are similar to those of the tool control plan described above: secure storage, identification and inventory of approved items, appropriate methods for issuance, supervised use, training for users, and contingency measures for dealing with problems—particularly those involving hazardous materials.

Jails may have a central storeroom located away from inmate housing areas for storing bulk supplies or items that are not regularly needed. Access to a central storeroom is generally limited to staff who are responsible for the area. Limited access reduces problems in controlling the procurement, issuance, and use of supply items

stored in the central storeroom. The issuance of supplies from the central storeroom to various areas or programs in the jail should be governed by procedure, and the storeroom should maintain accurate records of its supply inventories.

Because of the specialized nature of food and medical supplies, separate storage areas under the direct control of food service or medical personnel are typically designated for these items. The control methods described in this section apply to these areas as well.

Supply items used regularly (e.g., paper towels, forms) should be available in storage areas close to where they are used. These storage areas should be under the direct control of jail staff in charge of the particular area and equipped with shelves for the storage of supplies delivered in containers. Supplies should be clearly labeled, and directions for use should be posted on the containers. The jail administrator should determine the amount and type of supplies assigned to each storage area. The officer in charge of the area should submit requisitions for replenishment of supplies on a scheduled basis.

Supplies available from storage areas should be issued by the officer in charge of the area or work team. Only the amount of supplies required or authorized should be issued. When necessary, inmates should be instructed in the proper use of the supplies. Staff should monitor inmates using jail supplies.

Some supplies used in jails, such as cleansers, may be classified as flammable, toxic, or caustic. The number and type of hazardous materials used in the facility should be kept to a minimum, and nonhazardous alternatives should be selected, if possible. The use and disposal of hazardous materials should be governed by strict controls. All hazardous materials must be stored in secure locations inaccessible to inmates and inventoried closely. A permanent log documenting the receipt, issuance, and return of any

hazardous material should be maintained in every storage area in which hazardous materials are kept.

Other issues regarding the control of hazardous materials include the following:

- **Appropriate labeling of containers.** Containers holding hazardous materials must be labeled or marked with the identity of the hazardous material contained within and must display hazard warnings appropriate for user protection.
- **Availability of material safety data sheets.** Material safety data sheets (MSDS) available from manufacturers or producers of hazardous materials must be maintained for each product used in the facility. OSHA regulations specify that MSDS must be readily available to employees on all shifts in the work area where the materials are used. Storage areas, issue points, use areas, and the health-care area are typical locations where MSDS may be maintained.
- **Staff training.** Staff should be trained in the handling and use of hazardous materials.
- **Inmate training and supervision.** Before being allowed to use hazardous materials, inmates should be trained in how to use them properly and the necessary safety precautions. When using these materials, inmates should be supervised by a trained employee.
- **Provision of safety equipment.** The jail must provide those using hazardous materials with the protective or safety equipment required in the manufacturer's directions.
- **Availability of first-aid supplies.** Equipment and supplies necessary for emergency first-aid treatment resulting from exposure to hazardous materials must be readily available.
- **Regular inspections.** Regular inspections of all storage and issue areas should be

conducted to ensure the proper handling of hazardous materials.

- **Immediate reporting of all incidents.** Incidents involving hazardous materials should be reported immediately to supervisory staff.

Weapons Control

Designated weapons and security equipment must be available to respond to major incidents and emergency situations in the jail. The storage, maintenance, and use of these items must be carefully controlled to prevent unauthorized access and inappropriate use by staff or other individuals.

All weapons and security equipment assigned to the jail should be stored in an arsenal, vault, or other secure area under lock. The arsenal should be under the direct control of a single designated jail employee, with access to the area limited to authorized personnel. The arsenal should contain only the weapons, chemical agents, and equipment that the jail administrator has specifically approved. Current copies of a master written inventory of all weapons and security equipment maintained in the arsenal should be kept both in the storage area and with administrative records. An accounting procedure for the issuance and return of all weapons should include a log that specifies the name of the person receiving the equipment, the name of the issuer, the time and date of issue and return, the type of weapon issued with the ID number, and signatures for verification.

Weapons and security equipment should be inspected and inventoried at least monthly to account for all items and to determine their condition and expiration dates. Malfunctioning equipment should be repaired or removed from the inventory. Expired chemical agents and ammunition should be removed from the arsenal and disposed of according to jail policy and, if appropriate, local health department policy.



Except in emergency situations, no firearms should be permitted within the security perimeter. Chemical agents and other types of weapons and security equipment authorized by policy to be kept within the security perimeter should be stored in secure areas inaccessible to inmates. Give careful consideration to policy decisions permitting chemical agents or other nonlethal weapons within the security perimeter other than for emergency situations. The need for immediate access to and potential use of these items should be clearly understood. Regardless of where they are kept, the decision to use weapons in an emergency situation and the types of weapons to use should be made by the jail administrator or a designee.

Weapons lockers should be available at entrances to the security perimeter for the temporary storage of weapons belonging to law enforcement officers who must enter the facility. A notice that weapons are prohibited within the security perimeter should be posted at perimeter entrances.

Jail staff designated to use weapons or security equipment must be trained and certified in their use. Jail policy should stipulate that any use of weapons, chemical agents, or other security equipment in emergencies must be thoroughly documented in a written report.

Use of Force and Restraints

To maintain security and order in the jail, staff must sometimes use force, security equipment, and restraints to control an inmate or group of inmates. You must balance the use of force and restraints as security measures against the jail's obligation to safeguard the rights of inmates to be free from harm caused by excessive or inappropriate physical interventions.

Use of Force

The following are general circumstances in which the use of force by jail staff may be authorized:

- Defending oneself from assault by an inmate.
- Defending an inmate, visitor, or other jail officer from an assault by an inmate.
- Preventing an inmate from causing serious property damage.
- Preventing an inmate from escaping.
- Preventing or stopping violent behavior.
- Preventing an inmate from inflicting self-harm.
- Controlling an inmate who refuses to obey jail rules governing conduct.

As a general rule, force may be used only when absolutely necessary, that is, as a last resort when all other reasonable efforts have failed to resolve a problem. Officers should be trained to use only the minimum force necessary to control a given situation. Force should never be used as a method of punishment or retribution. In reviewing cases alleging improper or unjustifiable use of force, courts consider the following elements:

- The officer's perception of the circumstances and the risk presented by the inmate.
- The actions of the inmate.
- The officer's selected force response, given the facts and circumstances confronting him or her at the time.

Jail policies and training should define what levels of force are authorized, the conditions under which each level of force may be used, and who may authorize it. Many jails adopt force continuum models that attempt to match the officer's

perception of a situation and the inmate's actions with an appropriate force response. These models typically include four or five levels that incorporate varying levels of force or control with varying degrees of resistance.

When force is used to control an inmate, both the inmate and the staff members should receive followup medical attention. All use-of-force incidents should be thoroughly documented and investigated. Doing so will help you determine whether the use of force was justified and whether the level of force was appropriate for the particular incident. Regularly reviewing reports of incidents involving the use of force can also help you identify the need for possible changes in policy or procedure, additional training, additional supervision of staff, staff disciplinary action, or changes in the physical plant or programming to prevent similar situations in the future.

The agency's legal counsel should review use-of-force policies and procedures before they are implemented. Jail staff should receive basic and refresher training in use-of-force techniques and procedures. Jail staff authorized to use weapons or chemical agents in use-of-force situations must be trained and certified in the use of that equipment.

Use of Restraints

Inmates may be placed in restraints in conjunction with an incident involving the use of force. Restraint equipment may also be used as a precautionary measure to prevent escape of inmates under escort and to prevent harm to inmates, other people, or property. Restraints should never be used as a method of punishment or in a way that inflicts pain or restricts an inmate's blood circulation or breathing.

When prolonged use of restraints is necessary to control dangerous or threatening conduct, the least restrictive method should be used, the level of restriction being determined by past or current

conduct. Decisions to use restraints to prevent inmates from harming themselves should be made in conjunction with medical personnel. Medical personnel should also be available to assess the condition of inmates placed in four-point restraints in bed or by means of a restraint board or chair. Inmates in restraints should be monitored by staff constantly and checked for impairment of circulation or other problems.

The continued use of restraints should be approved by supervisory staff, who should check periodically to determine whether the inmate can be released from restraints or restrained less restrictively. When extended use of restraints is necessary, jail policy should require the jail administrator or designee to review the situation.

The use of restraints, other than for routine escort, should be thoroughly documented. Documentation should include all noteworthy actions or events during the restraint period, such as staff checks, medical reviews, inmate behavior and responses, and changes in position, as well as basic information such as time and date, type of restraint used, and the reason for the use of restraints.

Following are some important considerations in the use of force and restraints in jail settings:

- **Control of devices.** All restraint devices and electronic disablers should be controlled. If jail officers have ready access to various devices, they may be prone to use them unnecessarily. Jail officers also should be prohibited from altering a manufactured product to create a makeshift device that may be dangerous.
- **Manufacturer's training literature.** Most devices come with the manufacturer's training literature or warnings. Training must be consistent with this literature. If the manufacturer does not provide training literature for a device, training in the use of the device



should be consistent with best practices for safety.

- **Prevention of asphyxia.** Jail officers should not hog-tie inmates by cuffing them behind the back, shackling their ankles, and then connecting them with a tie. Doing so can lead to positional asphyxia. Jail officers monitoring the vital signs and circulation of an inmate in a restraint chair should never place an object such as a towel over the head of the inmate to prevent him or her from spitting; doing so could lead to asphyxia. Commercially available “spit shields,” or helmets with face shields, are available for use in these circumstances.
- **Suggested devices.** Devices that are recommended for jail restraints include the restraint chair, cuffs, and shackles. Suggested disablers include oleoresin capsicum (pepper) spray and electronic devices. When disablers are used, be sure that medical care is accessed and that decontamination procedures are accomplished.
- **Accessibility of devices.** Store use-of-force devices in areas where use of force is most likely to occur, such as intake and special management areas, or any other area in the jail where their need may arise.

Inmate Movement and Transportation

Inmate movement refers to the movement of inmates internally from one area of the jail to another to access services, participate in programs, receive visitors, and so forth. **Inmate transportation** refers to the external transport of inmates, generally by agency vehicle, outside the security perimeter of the jail for court appearances, community appointments, or transfer to another facility. The jail should establish procedures to respond to the increased security risks presented by inmates during these types of movement.

All internal movement should be monitored to maintain accountability of inmates while they are outside their assigned housing units. Policy may permit certain categories of inmates, individually or as a group, to move unescorted between specific areas of the jail. The accountability of inmates in unescorted movement may be maintained by a pass system in which inmates are issued passes giving the details of the authorized move. If not part of the routine schedule, movement on a pass may be preceded by a phone call to the inmate’s destination.

Policy may require inmates in higher risk categories to be escorted—under certain circumstances, in restraints. Alternative methods of service delivery may also be used for these inmates to minimize the need for them to move outside their housing unit. Observation of inmate movement, whether escorted or not, may be supplemented through video surveillance of movement corridors.

Staff should have a means to positively identify inmates before they move in and out of their assigned housing units. All movement in and out of housing units should be documented by the staff responsible for the units. Criteria for searching inmates before removal from or return to their assigned housing units should be established by policy.

The jail should have an adequate supply of restraint equipment and properly equipped vehicles for the transport of inmates. All inmates being transported outside the security perimeter should be placed in restraints according to policy and their classification level and should be positively identified and thoroughly searched before leaving the facility and on their return. Transport staff should plan a travel route along with an alternative in case of emergency and be aware of particular security risks and behavior problems presented by the inmate being transported.

Transport staff should use all equipment specified by policy and adhere to transport procedures established for movement of inmates according to their classification. Transport staff should be trained in transport procedures and in the use of equipment necessary for transports. Transport vehicles should be thoroughly checked for contraband both before and after transport.

Security Inspections

Inspections are an integral part of the jail's security program. They constitute a systematic method for assessing the condition of security features of the physical plant, the proper functioning of security devices, and adherence to appropriate security practices. Inspections are also a means to detect breaches or weaknesses in jail security.

The process should provide for regular inspection of all areas of the facility, including inmate housing, program areas, support services areas, intake and release areas, administrative areas, the public lobby, parking areas, exterior grounds, the security perimeter, and mechanical services and shop areas. These areas should be grouped into manageable inspection zones. Staff who work in and are familiar with the areas included in the respective zones should be responsible for inspecting them.

Inspections should focus on the security features, devices, and operations within each zone. The following are items to be inspected in each area:

- Locks.
- Security fittings such as screws, bolts, hinges, and brackets.
- Doors, gates, screens, grills, access panels, etc.
- Walls, windows and window frames, bars, mullions, ceilings, and floors.

- Drains, ductwork, tunnels, etc.
- Perimeter walls, fences, detection and surveillance systems, security lighting, etc.
- Fire and safety hazards, hidden contraband, excess or unauthorized property, clutter, etc.

Inspection intervals should be established for various features. Some features may require inspections during every shift, whereas others may be inspected on a daily, weekly, or monthly basis. The interval for each of the features needs to be determined and indicated on appropriate inspection forms. For example, separate checklists may be developed for daily, weekly, and monthly inspections.

Use various inspection techniques to conduct thorough security inspections, including the following methods:

- Visually examining, tapping, and probing to detect evidence of wear, deterioration, or tampering.
- Testing and operating various security devices to make sure they are in proper working order.
- Interviewing staff to learn of any unreported problems.
- Reviewing documentation such as maintenance reports and work orders.

Inspection procedures should specify the appropriate method for each type of security feature. The jail should provide the equipment (e.g., mirrors, probes, mallets, protective clothing) necessary to execute the various inspection methods.

The inspection process should be supported by inspection forms that list each feature to be inspected. The forms should include space to document the name of the area inspected, time and date of the inspection, inspection results, and name of the person conducting the inspection. Forms should also be available to document

Tip for Administrators

Complete a comprehensive security audit of the jail. Identify deficiencies in facilities, systems, equipment, or practices that may adversely affect security in the jail. Develop an action plan to resolve deficiencies.

port services areas, intake and release areas, administrative areas, the public lobby, parking areas, exterior grounds, the security perimeter, and mechanical services and shop areas. These areas should be grouped into manageable inspection zones. Staff who work in and are familiar with the areas included in the respective zones should be responsible for inspecting them.

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followup action taken to resolve deficiencies discovered during security inspections.

Inspection procedures should detail the disposition of the inspection reports. The reports should be forwarded to the supervisory staff responsible for reviewing and acting on the inspection findings. Immediately report critical breaches in security discovered in the inspections so that further investigation and action can be taken without delay. A process should also be in place for prompt resolution of noncritical security problems.

Staff involved with security inspections should be trained in the jail's inspection policies and proper inspection techniques. Training should provide the knowledge and skills needed to conduct effective security inspections.

Summary

A physical plant with security features that correspond to the level of custody of the inmate population, availability of properly trained staff, and written policies that reflect sound security practices are essential components of effective jail security. Deficiencies in one or more of these areas can lead to escapes or other disruption of facility order and security.

Jail Safety

Like any work environment, the jail has hazards that can endanger staff, inmates, or others who are in the facility. These hazards may be inherent within the jail setting or created by the activities or behavior of those occupying the facility. The following are the most common categories of hazards present in the jail:

- **Chemical exposure** from inappropriate use or handling of toxic or caustic substances often contained in common cleaning materials, insecticides, pharmaceuticals, tobacco smoke, caustic acids, antifreeze, or chemicals used in the operation of equipment.

- **Fire and explosions** from fires intentionally set by inmates, spontaneous ignition of flammable materials, accidental ignition resulting from worksite activities, or ignition from heat generated by defective electrical wiring or malfunctioning equipment.
- **Biological hazards**, including blood-borne and airborne pathogens transmitted from infected people to others or from vermin or insects. Unsanitary facility conditions can also breed disease.
- **General safety hazards** such as holes or cracks, slippery floors, sharp objects, unstable surfaces, and clutter.
- **Noise** associated with normal living and work activity, often amplified by surfaces constructed of hard materials that do not allow sound to dissipate.
- **Violence**, which includes violent acts of inmates and others directed toward staff or other occupants of the facility.

The combination of these conditions can result in an environment with various hazards that must be eliminated or managed.

The primary responsibility for ensuring the safety of the jail environment lies with the jail administrator. The administrator must plan, implement, and monitor an effective program to reduce the potential for fire, injury, and other events that can cause harm. A safety program must provide comprehensive protection against all potential hazards and specific protection against known hazards. Furthermore, the program must be updated as new information and conditions warrant.

Effective jail safety programs include the following elements:

- Management commitment.
- Employee involvement.
- Assigned responsibility and authority.

- Worksite analysis.
- Hazard prevention and control.
- Written policies and procedures.
- Safety and health training.
- Internal inspections by trained staff and independent inspections by external auditors.
- Recordkeeping and evaluation.

These elements are described in more detail in the following sections.

Management Commitment and Employee Involvement

The jail administrator provides the motivating force and resources necessary for organizing and managing safety activities within the jail. The administrator must regard the safety of inmates, staff, and visitors to the facility as a fundamental value of the organization. Demonstrate this commitment in the following ways:

- Establish workplace safety as an organizational priority.
- Exhibit equal commitment to the safety and health of staff and inmates.
- Assign responsibility for various aspects of the safety program to ensure that all staff understand their obligations.
- Allocate the resources needed to meet safety objectives.
- Maintain a system of accountability to see that all aspects of the safety program are followed.
- Support and implement recommendations from designated safety and health officers.

Employee involvement is the means through which workers develop and/or express their own commitment to safety through compliance with

established policies. Employee involvement includes the following:

- Understanding and complying with safety requirements and procedures.
- Successfully completing required safety training.
- Reporting safety problems promptly and offering suggestions for safety program improvement.
- Assisting in resolving identified safety problems.
- Avoiding unsafe work practices.

The jail administrator should establish safety objectives delineating the goals of an effective safety program. Examples of objectives for the safety program include reductions in the following items:

- The number of injuries and accidents involving staff or inmates.
- The number of workdays missed due to injuries or accidents.
- The amount of workers' compensation claims paid.
- The cost of medical services provided to inmates as a result of accidents or injury.

These objectives should be shared with the entire staff to gain their input and support.

Assigned Responsibility and Authority

Responsibility and authority to oversee the safety program should be assigned to a designated safety officer with the appropriate training and skills. The administrator should ensure that the safety officer has adequate resources for the assignment and the opportunity to develop expertise in safety program management.



The safety officer should have copies of all safety regulations and standards that apply to the jail, including the following:

- Professional and state jail standards.
- OSHA standards.
- Fire codes.
- The National Fire Protection Association (NFPA) Life Safety Code.
- Building codes.

These standards are necessary as reference material and as benchmarks for internal inspections. Standards also help determine which changes need to be made when hazards are discovered.

The safety officer should be trained in the application of these regulations and standards to the jail setting and, as needed, in the use of appropriate instruments for measuring and documenting compliance. Training is often available from inspection authorities, private organizations such as NFPA (www.nfpa.org), and safety programs within private industry in the community.

Worksite Analysis

A worksite analysis involves step-by-step examination of the workplace to find existing or potential safety hazards. This analysis typically includes the following steps:

- Reviewing procedures and operations that may contribute to hazards and reviewing specific areas of the facility where hazards may develop.
- Reviewing medical, safety, incident, workers' compensation, and insurance records to identify problem areas and trends.
- Surveying staff to learn about what they view as potential hazards, how well they think current safety measures are working, and their ideas for improving safety in the jail.

- Inspecting the facility to visually identify hazards and risk factors.

The information gathered in a worksite analysis helps assess the strengths and weaknesses of the existing safety program. If the analysis identifies a major problem, immediate corrective action can be taken or a plan developed for controlling the problem. Corrective measures should be documented.

Hazard Prevention and Control

Systems and procedures to prevent and control hazards identified in the initial analysis should be established. Hazard control may include the following measures:

- Eliminating the hazard or condition.
- Diminishing the hazard by limiting or controlling exposure.
- Training staff (and inmates) to be aware of hazards and follow procedures to avoid them.
- Providing protection against the hazard.

Implementing these measures may involve the following actions:

- Modifying the physical plant.
- Ensuring that each employee thoroughly understands his or her job and work process.
- Enforcing rules for safe work procedures when necessary.
- Maintaining equipment to prevent breakdowns that can create hazards.
- Conducting regularly scheduled drills and simulations to prepare for possible emergencies.
- Providing protective equipment and training for staff in the proper use of the equipment.

Keeping the jail clean contributes significantly to hazard prevention and control. Poor housekeeping not only contributes to accidents and an

unhealthy environment but also communicates to inmates and staff a lack of concern about the quality of the jail environment and a tolerance for sloppy work. Jail staff should get rid of rubbish, make sure proper containers are provided, see that flammable items and toxic or caustic materials are properly stored, and make sure that exits are not blocked and passageways are marked and adequately lighted.

Jail staff should also be aware of potentially hazardous situations that inmates create through carelessness or misbehavior. Studies show that inmates deliberately set most jail fires. The jail's inmate behavior management plan should support the safety program by screening and identifying inmates who present potential risks for arson or escape and those who may be emotionally disturbed. Inmates who present particular risks should be assigned to appropriate housing and monitored carefully.

Written Policies and Procedures

Written policies and procedures addressing all aspects of the safety program should be established to communicate the jail administrator's priorities regarding safety management and describe the methods for following through on those priorities. Proper recordkeeping should be a key feature of the policies and procedures.

Safety and Health Training

Employees, supervisors, and managers should be given initial and ongoing training in all aspects of the safety program. Although policies and procedures are the core of an effective health and safety program, training is essential to ensure that they are implemented. Safety and health training should cover topics such as the following:

- Safety-related policies and procedures.
- Risk factors that cause or contribute to an unsafe work environment.

- Recognition of safety hazards or unsafe work practices or situations.
- Ways to avoid hazards or minimize exposure.
- A response plan for hazardous situations, including availability of assistance, response to alarm systems, and communication procedures.
- The location and operation of safety devices and alarm systems.
- Use of protective clothing and equipment.
- Reporting and documenting hazardous situations.
- How to obtain medical care, counseling, workers' compensation, and other assistance after an accident or injury.

Qualified jail staff may conduct training on safety policies and procedures. For training on specific content areas such as the control of blood-borne and airborne pathogens or skills such as the use of fire extinguishers, consider soliciting assistance from the local fire department, state fire marshal's office, OSHA state consultation program, state and local health departments, corrections training agencies, and professional organizations.

Inmate training and education are also critical, given that inmates are the other primary users of the facility. Inmate orientation should include information about the dangers of smoke, fire, and other hazards within detention facilities. The information should include behavior expected of inmates to prevent or minimize hazard exposure and actions they can take to protect themselves if an incident occurs.

Internal and External Inspection Processes

A system of routine internal and external inspections should be established to identify where hazards exist and whether they are under control.



Internal inspections should cover the following:

- Sanitation.
- Fire safety.
- Security.
- The building itself and the heating/ventilation/air-conditioning, electrical, plumbing, and other building systems.

Fire, safety, and sanitation inspections are often combined into one activity and checklist. Generally, these combined safety and sanitation inspections should ensure the following:

- All areas of the jail are clean and orderly.
- Lighting, ventilation, and heating equipment are functioning properly.
- No fire, health, or safety hazards exist.
- All detection and suppression systems, equipment, tools, and security devices are functioning properly.
- All inmates are receiving appropriate supervision and training in the use of hazardous materials, equipment, and tools.
- All plumbing equipment, including showers, sinks, toilets, and laundry facilities, is functioning properly.
- All identified deficiencies are promptly reported and corrected.

Checklists that include items and locations unique to the facility should be developed for use in internal inspections. Procedures should exist for recording and reporting findings and followup to correct deficiencies. Many standards require a weekly inspection by a designated staff person, a monthly inspection by a qualified fire and safety officer, and an annual inspection by independent, qualified auditors. Designated staff should conduct daily spot inspections in their respective work areas and note their findings in a log. Also, employees should have a means to report

hazards not discovered during routine inspections. Some jails establish a safety committee to work with the safety officer to address identified issues.

Several external regulatory agencies may inspect the jail for various safety-related issues. External auditors may include jail inspection agencies, the fire marshal, the health department, and state OSHA agencies. The findings of these inspections are a good source of information on areas needing attention. You should establish good working relationships with these entities to take advantage of the expertise and compliance assistance they may offer.

Tip for Administrators

Establish an internal and external inspection program to routinely monitor security and safety in the jail. Conduct drills regularly to test emergency response capabilities.

Recordkeeping and Evaluation

Recordkeeping and evaluation are necessary to determine the overall effectiveness of the safety program and to identify areas for improvement. All aspects of the safety program should be documented. Proper documentation includes policies and procedures, inspection findings, work orders, corrective action, incidents, training sessions, memorandums, and information about potential hazards. Good documentation does the following:

- Provides evidence of adherence to standards to demonstrate good faith if the jail is challenged in an audit or lawsuit.
- Facilitates periodic evaluation of the jail's safety activities for better control of operations and to plan improvements.

Evaluation is also a key element of the safety program. Safety program evaluations should include the following components:

- Establishing a uniform reporting system for safety-related incidents and regular review of reports.

- Analyzing trends and rates in illnesses, injuries, missed work, and medical costs to track changes from previous review periods.
- Measuring improvement based on lowering the frequency or severity of safety-related incidents.
- Reviewing compliance with OSHA and other safety-related standards and regulations.
- Assessing the impact of operational or worksite changes to determine their effectiveness.
- Keeping abreast of new strategies to improve safety in the jail.

Summary

The nature of the detention setting and its function presents many unique challenges in maintaining the safety of those in the facility.

Development of an effective safety program for the jail demands a multifaceted approach that incorporates physical plant and equipment, personnel, policies and procedures, inmate management and supervision, and education and training.

Emergency Preparedness

Despite all efforts to maintain a safe and secure operation, emergencies can arise in the jail. An emergency is defined as any significant disruption of

normal facility routine or order caused by riot, escape, fire, natural disaster, employee action, or other serious incident. Emergency situations can result in serious harm to people and property. Accordingly, you must make emergency preparedness a priority.

Tip for Administrators

Conduct a comprehensive safety audit of the jail. Identify safety hazards and develop strategies to eliminate, minimize, or control the hazards. Develop a safety program, and designate a safety officer to oversee the program. Provide the leadership and resources necessary for the program to be effective.

Emergency preparedness in jails serves three purposes:

1. Prevention or minimization of emergency situations.
2. Containment of emergency situations before they escalate into major incidents or disasters.
3. Mitigation of the consequences or amount of harm resulting from an emergency.

A comprehensive emergency response plan is the foundation of emergency preparedness. An effective jail emergency response plan should include the following components, which are discussed below:

- Risk assessment and control.
- Organization and coordination of emergency response.
- Emergency plans.
- Equipment and resources.
- Training and drills.
- Recovery.
- Reporting.
- Review.

Risk Assessment and Control

The jail should conduct a risk assessment to identify the types of emergencies that could occur in the facility and the likelihood and circumstances under which each type of emergency might occur. The following strategies can be used for risk assessments:

- Brainstorming emergency scenarios.
- Surveying staff.
- Reviewing operations and procedures.
- Reviewing past incidents and emergencies that occurred in the jail.



- Conducting walk-throughs of the facility to visually identify potential problems.
- Bringing in external experts to conduct evaluations or audits of the facility.
- Reviewing the experiences of other jurisdictions.

After a risk is identified, you should determine the likelihood that it will occur and under what circumstances. The following scale can be used to rank the likelihood of an emergency:

- **Rare:** The emergency may only occur in exceptional circumstances.
- **Unlikely:** The emergency could occur at some time.
- **Moderate:** The emergency will probably occur at some time.
- **Likely:** The emergency will probably occur in most circumstances.
- **Almost certain:** The emergency is expected to occur in most circumstances.

Although likelihood of occurrence is an important dimension of risk, it is not the only one. Assessing the extent of the exposure—that is, determining the severity of the consequences if

the emergency should occur—is also important. The following scale can be used to rank the potential consequences of an undesirable event:

- Insignificant.
- Minor.
- Moderate.
- Major.
- Catastrophic.

An exposure ranked as “insignificant” would be one in which no harm is done, losses are low, and disruption to normal jail operations is minimal. An exposure ranked as “catastrophic,” on the other hand, would be one resulting in death or major injury, enormous losses, and major disruption to normal operations.

Identify risk priorities by developing a risk matrix that includes both dimensions of likelihood and consequences. A level of risk—high, significant, medium, or low—can be assigned on the basis of how the rankings of these two dimensions fall out on the risk matrix shown in exhibit 11.

After the range of potential emergency situations is identified, appropriate strategies for eliminating or mitigating the risks associated with

Exhibit 11. Risk Matrix

Likelihood of Emergency	Consequences (Level of Risk)				
	Insignificant	Minor	Moderate	Major	Catastrophic
Rare	Low	Low	Medium	Significant	Significant
Unlikely	Low	Low	Medium	Significant	Significant
Moderate	Low	Medium	Significant	High	High
Likely	Medium	Significant	Significant	High	High
Almost certain	Medium	Significant	High	High	High

particular types of emergencies can be developed. Control measures may include the following:

- Removal of hazards/conditions that increase the likelihood and/or consequences of an emergency (e.g., removal of clutter that increases fuel load or inhibits prompt evacuation).
- Improvement or redesign of the facility (e.g., improved sight lines, installation of sprinkler systems).
- Additional resources (e.g., additional staffing, emergency equipment, inter-agency coordination).
- New methods (e.g., revision of policies and procedures to reflect innovative or more effective prevention and containment strategies).
- Better supervision of both staff and inmates to ensure compliance with facility rules and procedures.
- Additional training and drills to increase skill and competency levels in detecting and responding to emergency situations.
- Systematic inspections and reviews to detect hotspots or other problems that could erupt into emergency situations.

Organization and Coordination of Emergency Response

During an emergency, a clear process for decisionmaking, staff assignment, and resource deployment is essential. Emergency response personnel may include regular on-duty staff, designated emergency response staff, agency supervisory staff, and emergency response personnel from cooperating agencies. An organizational structure that establishes the chain of command

and delineates the roles and responsibilities of all personnel is an integral part of an emergency response plan. Emergency plans should specify the level of response authority delegated to the on-duty supervisor to activate the emergency command structure when a crisis occurs. The level of authority of various command staff within the official chain of command should also be established.

Emergency plans should provide for the activation of a command post that can serve as a central location for assignment and deployment of staff, decisionmaking, communications, and information management when a situation seems likely to develop into an emergency.¹ Planned strategies for assembly and assignment of resources should also be in place. Designated staff responding to an emergency should know where to go to be briefed on the situation and to receive equipment and assignments, as necessary. The coordination of emergency response efforts should also provide for continued operation of the parts of the facility that are unaffected by the emergency.

The jail should enter into written agreements or contracts to formalize the participation and involvement of external emergency responders such as the fire department, hazardous materials team, emergency medical services, and law enforcement. External responders should participate in planning and training activities at the jail to enhance coordination efforts.

Emergency Plans

Jail policies and procedures should include written plans for responding to emergencies. These plans should direct the actions of jail staff in containing and controlling emergencies; provide

¹J.D. Henderson, W.H. Rauch, and R.L. Phillips, *Guidelines for the Development of a Security Program*, 2d ed. (Lanham, MD: American Correctional Association, 1997), p. 182.



for the protection of staff, inmates, and visitors during emergencies; and provide for the maintenance of security during emergencies. Many jails have a general emergency response plan that outlines policies and procedures common to all types of emergencies. That plan is supplemented by specific written plans that address a range of predefined emergency situations, including the following:

- Outside assault on the facility.
- Bomb threat.
- Escape.
- Fires.
- Environmental contamination.
- Hostage situations.
- Medical emergencies, death of inmates, and epidemics.
- Natural disasters (e.g., floods, earthquakes, tornados, hurricanes).
- Riots and disorder.
- Mass arrests and civil disturbances.
- Utility failures.

All specific emergency response plans should include the following components: prevention, notification, specific procedures for the control and containment of the emergency, recovery, reporting, evaluation, and training.

Jails must also have basic plans for evacuation in the event of emergencies. Although evacuation plans may vary, depending on the type of emergency, the physical plant, and response capabilities, all plans should include the following elements:

- Designated areas of refuge and/or emergency shelter.
- Posted primary and secondary exit routes.
- Procedures to account for all inmates, staff, and visitors in the facility.

- Staff assignments and duties during evacuation.
- Control of access points.
- Security of jail records.
- Security of the facility after evacuation.

Equipment and Resources

Jails should have the equipment and resources necessary to respond effectively to emergency situations and carry out emergency response plans. The basic types of equipment and resources are as follows:

- **A communication system** to notify law enforcement, the fire department, and other local emergency responders of an emergency in the jail. Internal communication systems should also be in place to alert staff to emergencies in situations where issuing a general alarm is not appropriate.
- **An alarm system** within the jail to alert staff, inmates, and visitors of an emergency.
- **A fire detection and suppression system**, including sprinkler systems, strategically located fire extinguishers, standpipes, and other fire-fighting equipment, to detect and extinguish fires in early stages.
- **Emergency generators** to provide an alternative source of power to essential systems in the event of commercial power loss.
- **Emergency keys** coded for quick identification.
- **Protective equipment** needed by staff and other emergency responders (e.g., protective clothing, gloves, breathing apparatus, security equipment, authorized weapons).
- **An emergency response team** made up of designated supervisory and line staff who can be mobilized to assist on-duty staff in responding to emergency situations.
- **External agency agreements** providing for assistance during emergencies by outside emergency responders.

- **Floor plans and other documentation** with information such as facility layout, location of emergency utility cutoffs, secondary fire access doors, emergency access routes, fire extinguishers, and standpipe locations. This information should be readily accessible to response personnel in emergencies.

Training and Drills

Training and drills are critical to emergency preparedness. Training should extend to staff, inmates, and emergency response agencies.

- Staff should be given initial and refresher training in the execution of emergency plans and the use of emergency equipment and devices.
- Supervisory staff and staff specialists should receive more indepth training in their respective areas of responsibility (e.g., command and control, hostage negotiation, media relations).
- On admission, as part of the orientation process, inmates should be given information about relevant portions of emergency plans. This information should also be included in the training inmates receive in regard to safety and sanitation in the jail.
- Emergency response agencies should receive an orientation to the jail so that they are familiar with the jail's layout, location of utility shutoffs, standpipes, etc., and overall security procedures.

Drills to practice emergency response plans should be conducted regularly. Drills are an important method of “playing out” emergency response procedures so that both inmates and staff know what to do and where to go in the event of an emergency. Drills also provide an opportunity to practice emergency response procedures with emergency responders from outside the facility. Standards and fire codes require at least quarterly fire drills.

Drills should be conducted during each shift at least once over the course of a year. Each drill should be observed and critiqued by jail administrative staff and outside emergency responders to discover any flaws in the facility’s emergency response efforts and suggest areas for improvement. Simulated, or “tabletop,” exercises can be used for training scenarios when full-scale drills are not practical—for example, evacuation of all inmates or the shutting down of the facility.

Any problems identified in the critique should be corrected. The critique and recommended improvements should also be shared with staff so that they can learn from the experience. Documentation developed in relation to the drills should be maintained as evidence of compliance with emergency plan requirements.

Recovery

Emergency preparedness includes provisions for returning the jail to routine operations once an emergency is resolved. Specific recovery steps depend on the nature of the emergency and the severity of damage to the facility. In general, postemergency actions include the following:

- Notification that the emergency is over.
- A complete count to ensure the presence of all inmates and an accounting of all staff and visitors present in the facility during the emergency.
- Inspection of affected areas of the facility for damage or security breaches by appropriate inspection authorities.
- Removal of debris and cleanup of the affected area (provisions should be made for the preservation of evidence if criminal activity is suspected).
- Prompt repair of damage that affects security.
- Thorough inspection of all areas of the jail and removal of emergency equipment.



- Return of inmates to their assigned areas if they were evacuated or moved during the emergency.
- Provision of basic services to inmates (e.g., medical care, meals) and restoration of other services as appropriate.
- Provision of trauma services to staff and inmates as necessary to help them deal with the psychological impact of the experience.

Reporting

Information about each emergency should be carefully compiled and documented. All personnel involved in an emergency must submit written reports concerning their actions and observations at the conclusion of the emergency or before leaving the facility at the end of their shifts. Video- and audiotapes, photographs, logs, computer records, and inmate interviews may yield additional information about critical events and actions associated with the emergency. If possible, assign a staff person to keep a chronological log of events as they occur during an emergency.

Review

The followup for all emergencies should include a critical-incident review to establish the facts about the situation so as to understand what happened. The review can also help assess the following elements of emergency preparedness:

- The appropriateness of training.
- The appropriateness of policies and procedures.
- Whether any policy was violated or training was insufficient.
- The adequacy of systems, equipment, and interagency coordination.

Periodic administrative examination of incident review findings is also useful to determine whether a pattern exists that indicates a serious

problem in some aspect of the jail's operation that increases the risk of emergency situations.

The review process should yield recommendations to improve future emergency response capabilities. Recommendations might include additional training, changes in policies and procedures, changes in systems or equipment, or organizational changes.

Summary

The primary goal of emergency preparedness is to prevent a crisis situation from occurring. However, despite efforts to follow effective safety and security practices, emergencies may arise. When they do occur, jails must be prepared to act promptly to contain and control the situations and minimize any negative consequences to either people or property.

Tip for Administrators

Assess the jail's emergency preparedness. Identify deficiencies or weaknesses in current emergency response capabilities. Develop an action plan to resolve deficiencies.

Recommended Resources

Chemical Hazard Communication. U.S. Department of Labor, Occupational Safety and Health Administration, rev. ed. OSHA 3084, 1998.

Critical Analysis of Emergency Preparedness. J.A. Schwartz and C. Barry, National Institute of Corrections, 1996.

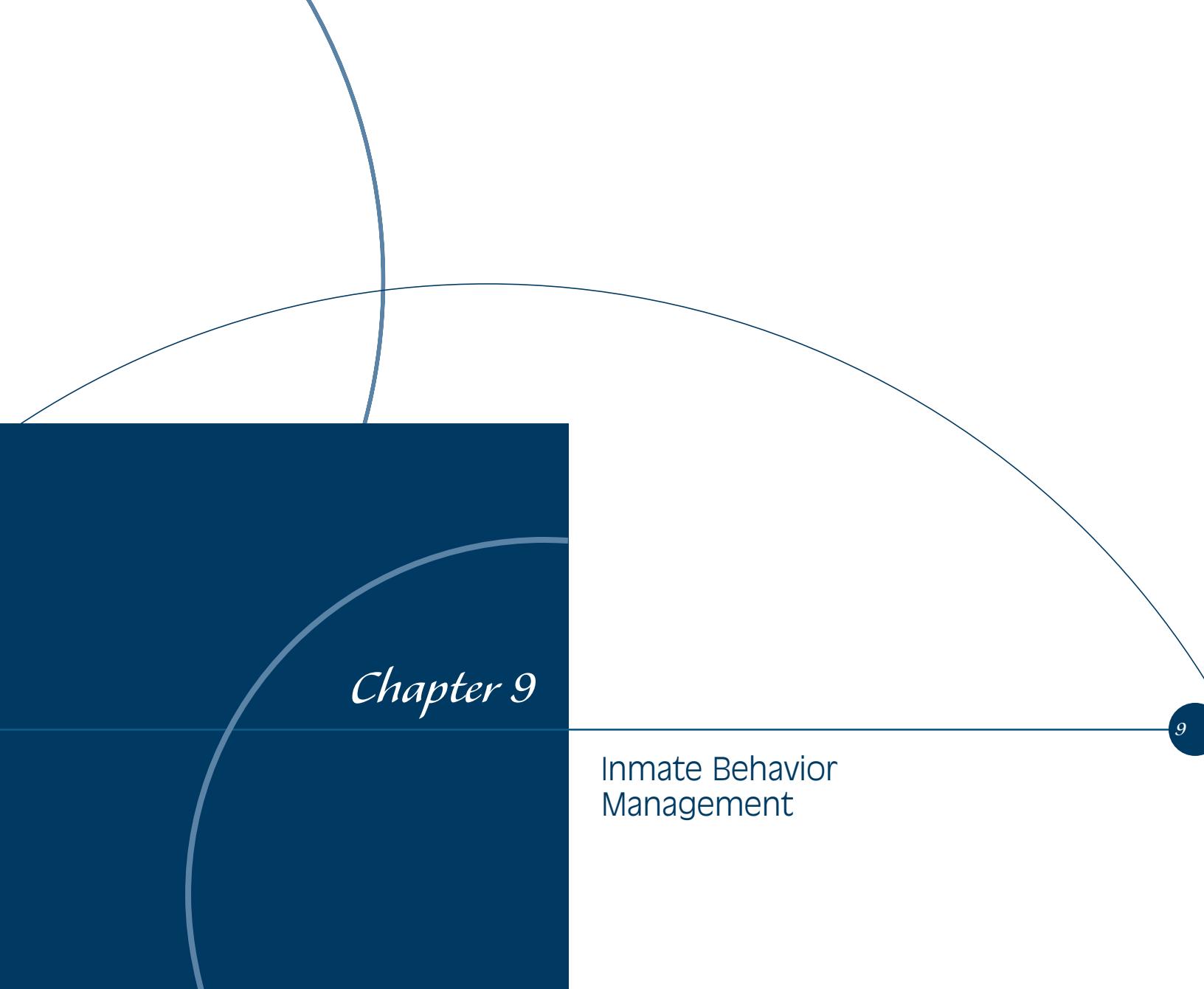
Guidelines for the Development of a Security Program, 2d ed. J.D. Henderson, W.H. Rauch, and R.L. Phillips, American Correctional Association, 1997.

How to Plan for Workplace Emergencies and Evacuations. U.S. Department of Labor, Occupational Safety and Health Administration, rev. ed. OSHA 3088, 2001.

Jail Design Guide: A Resource for Small and Medium-Sized Jails. D.A. Kimme, National Institute of Corrections, 1998.

Performance-Based Standards for Adult Local Detention Facilities, 4th ed. American Correctional Association, 2004.

Staff Safety: New Approaches to Staff Safety, 2d ed. R.L. Thornton, National Institute of Corrections, 2003.



Chapter 9

Inmate Behavior
Management



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Inmate Behavior Management

Overview

Management of inmate behavior is a key component of jail safety and security. This chapter identifies the reasons a jail should have a formal, written plan for inmate behavior management and describes the six elements of such a plan.

Legal Requirements and Standards

1. Courts have established that jail personnel have an affirmative duty to do the following:
 - Protect inmates from other inmates and themselves.
 - Detect and respond to pressing medical and mental health concerns.
 - Provide due process protection.
 - Protect the public.
2. Jail officials have a duty to respect an inmate's due process rights in making decisions about housing assignment, supervision level, program placement, and access to services:
 - Assignments must be based on a proper assessment of risks and needs conducted with valid instruments.
 - Decisions must be based on accurate information.
 - The decision process must be applied consistently to all inmates.
 - A process for review and reclassification should be in place.
 - The basis for all decisions should be properly documented.

3. Professional and state standards related to classification, suicide and health screening, housing assignments, program participation, cell checks, counts, and discipline and grievance procedures address many aspects of inmate behavior management.

Inmate Behavior Management: The Key to a Safe and Secure Jail

Chapter 8 identifies the primary goals of security as preventing escapes and maintaining order within the facility. Effectively managing inmate behavior is critical to these goals. Traditionally, jails have sought to control inmates solely through physical containment, namely, hardware—locks, steel doors, security glass, and alarm systems. Staff safety was believed to depend on maintaining physical barriers between staff and inmates.

In the absence of staff management of inmate behavior, however, the emphasis on physically containing inmates failed to keep jails secure. With inmates left to their own devices inside cellblocks, problems such as violence, vandalism, and lack of sanitation became so common that they seemed inherent to jails, which, along with communities, have paid dearly for these problems through costly litigation, staff and inmate deaths, jail riots and fires, and escapes.

Over the past 25 years, jail practitioners have learned that jails do not have to be and should not be out of control, dangerous, or filthy. Ample evidence shows that control of the jail can be established through effective management of

inmate behavior. Much of what we have learned about managing inmate behavior is based on the experience of jails that use podular direct supervision. Introduced to jails by W. Raymond Nelson when he was chief of the Jails Division at the National Institute of Corrections (NIC), podular direct supervision combines an inmate management philosophy with a specific jail design that conveys an expectation of positive inmate behavior, facilitates staff interaction with inmates, and promotes management of inmate behavior. In direct supervision jails, staff are positioned within inmate dayrooms, and no physical barriers separate them from the inmates. Staff are able to interact extensively with the inmates and provide continuous supervision. (For more information on podular direct supervision, see the discussion on page 149 and “Recommended Resources” at the end of this chapter.)

Although many local jurisdictions that have built new jails in the past 25 years have opted for direct supervision design and management, most American jails were built in the era when physical containment was stressed to the virtual exclusion of inmate management. Jail professionals now realize, however, that all jails, regardless of design, are responsible for managing inmate behavior to ensure safety and security.

If inmate behavior is managed effectively, jails can be a good workplace for staff, a safe and clean detention environment for inmates, and a valuable and highly regarded service for the community. An effective jail administrator will accept nothing less. Given the importance of inmate behavior management in achieving safety and security, it may be viewed as the jail’s core function and the jail administrator’s primary concern. You should consider all decisions regarding jail operations with respect to their impact on inmate behavior management.

Inmate Behavior Management Plan

The inmate behavior management plan presented here is based on previous work in two major areas: podular direct supervision and inmate classification. As noted above, W. Raymond Nelson is credited with introducing podular direct supervision to jails. His work was supported and furthered by Michael A. O’Toole, his successor as chief of the NIC Jails Division. James Austin and Timothy Brennan are responsible for much of the work on inmate classification. Both have worked extensively in this area and produced a body of knowledge that has changed the way jail practitioners think about assessing risks and needs in the inmate population.

The inmate behavior management plan consists of six essential elements:

1. Assessing the risks and needs of each inmate at various points during his or her detention.
2. Assigning inmates to housing.
3. Meeting inmates’ basic needs.
4. Defining and conveying expectations for inmate behavior.
5. Supervising inmates.
6. Keeping inmates occupied with productive activities.

These elements, once established, function as an ongoing, integrated process designed to generate positive inmate behavior—that is, behavior that complies with the staff’s expectations of what is acceptable. Implementing these elements puts control of the jail in the hands of the staff instead of the inmates.

Establishing a formal, written inmate behavior management plan serves the jail administrator as both a strategy for achieving more effective control over inmate behavior and a mechanism for identifying problem areas in inmate behavior management. The written plan should include



goals, an overview of components (the six elements), and provision for periodic assessment to determine if the plan is meeting its goals. The goals of the plan should be based on an assessment of the current status of inmate behavior in the jail and a determination of what behavior is expected of inmates. For example, goals might address issues such as violence, vandalism, contraband, sanitation, and inmate compliance with rules. Goals should be specific and measurable, and the jail should develop a formal system to evaluate the achievement of stated goals at specified intervals.

Implementing an inmate behavior management plan requires the following:

- Clear directives, in the form of written policies and procedures for each step of the plan.
- Adequate staffing levels.
- Staff training.
- Supervision of staff to ensure that the plan is implemented according to policies and procedures.
- Systematic documentation and recordkeeping of all activities related to inmate behavior management.

Plan implementation and success also depend greatly on the active direction and leadership of the jail administrator. You must clearly articulate and demonstrate support for inmate behavior management both philosophically and operationally. The remaining sections of this chapter outline the six elements of an inmate behavior management plan.

Element 1: Assessing Risks and Needs

The first element in the inmate behavior management plan is to gather information on the risks and needs of each inmate:

- **Risk** is a measure of how dangerous the inmate is to himself or herself and to others

and of the likelihood that the inmate will attempt to escape.

- **Need** is a measurement of the inmate's physiological and psychological requirements for well-being, for example, in terms of medical care, mental health care, or education.

The risk and needs assessment lays the foundation for the behavior management plan. The information gathered is used to classify the inmate and is also essential for developing a strategy to manage his or her behavior. For example, an inmate assessed as a high escape risk and one assessed as a low escape risk will have substantially different requirements for housing, supervision, and delivery of services, as will an inmate with serious medical needs and one who is healthy. An inmate who is developmentally disabled is likely to require a different behavior management strategy than one who is not developmentally disabled.

A jail's system of assessing inmate risks and needs is called **inmate classification**. Every jail administrator is responsible for implementing an inmate classification system and for ensuring that the classification process assesses each inmate's risks and needs accurately so that staff can manage and control inmate behavior.

Attributes of an Effective Inmate Classification System

An effective classification system is objective, that is, it is based on a consistent set of criteria and a systematic method of applying the criteria to classification decisions. It is also straightforward and easily understood and implemented by staff. An effective classification system meets the following three tests:

1. **Reliability:** Different staff using the system will get the same result for a given inmate.
2. **Validity:** The system accurately predicts (or assesses) the inmate's risk level and need.

3. **Equitability:** The system is applied in the same way for each inmate.

Assessment Criteria

The following criteria are commonly used to assess inmate **risk**:

- The severity of the current charge.
- Detainers and warrants.
- Sentencing status (pre- or postsentencing).
- Criminal history and possible additional charges.
- Escape history.
- Institutional disciplinary history.
- Substance abuse.
- Age, employment, residence, and family ties.

Needs are commonly assessed in the following areas:

- Medical (physiological) condition.
- Mental (psychological) condition.
- Intellectual capacity.
- Substance abuse.

Assessment criteria must be clearly defined and applied consistently to all inmates.

Classification Decisionmaking Points

Inmate risks and needs must be assessed at various points during incarceration. The jail must have a process to gather and respond to information at each classification decisionmaking point.

Booking and Intake Screening

During booking and intake, inmate risks and needs are screened at two points:

1. **On arrival at the jail.** Jail staff screen each arrestee brought to the jail to determine

whether the jail can accept him or her based on whether the arrestee has immediate, critical medical needs that must be addressed at a medical facility.

2. **On acceptance into the booking room.** Jail staff screen the inmate further to determine how he or she should be managed in the booking room. The information gathered typically covers the assessment criteria found on this page, with the possible exception of sentencing status and institutional disciplinary history.

The booking and intake screening process identifies and responds to critical issues related to the information gathered.

An initial assessment of risks and needs should not be conducted randomly or haphazardly. Jail policies and procedures must ensure that every arrestee brought to the jail receives an initial screening. Policies and procedures should address both the process of gathering information (who, what, where, when, and how) and the response to information gathered during the initial assessment. The assessment must be documented on a standard form.

Admission to the Jail

The next point at which inmate risks and needs are assessed is when the decision is made to admit the inmate into the jail and assign him or her to housing. The move to housing takes place after an initial observation period, which varies among jails and may last from 1 hour to 3 days. Depending on the physical layout and operational philosophy of the jail, inmates may remain in the booking room until they are moved to housing, they may be placed in a holding area until after they appear in court, or they may be held in a separate intake unit until they are given a housing assignment. Regardless of where and how long inmates are held on admission to the



jail, they must undergo an indepth assessment of risks and needs and be classified before being moved to housing. The information gathered during the indepth assessment provides the basis for decisions about how best to manage the inmate's behavior in the jail, which in turn informs decisions about the inmate's housing assignment, level of supervision, and access to services and programs.

The indepth assessment, which is conducted during a face-to-face classification interview, considers all the information gathered previously, along with information about the risks and needs listed on page 140 that might not have been available during the initial screening. In many jails, the assessment of risks and needs does not rest with a single staff member. For example, security or custody staff may assess risk, and medical, mental health, and program staff may assess needs. When the assessment responsibilities are divided, the jail must have a system of sharing information to give all staff access to the information they need to manage inmate behavior. For example, security staff need certain types of medical information, such as whether an inmate needs special accommodations (e.g., a lower bunk or lower tier) or is appropriate for consideration as an inmate worker. Medical staff, on the other hand, need information on whether an inmate presents an escape risk and may require a higher level of security for medical appointments outside the jail.

The process for conducting the indepth assessment must be formal and documented. Policies and procedures must address not only the kind of information gathered, but who gathers it, when and where it is gathered, and the format in which it is gathered. Policies and procedures must also address who is given access to the information and the types of decisions that result from it regarding supervision, housing, services, and programs. The assessment must be documented on a standard form or instrument.

Reassessment

Each inmate's risks and needs should be reassessed when new information is obtained and at regularly scheduled intervals. Reassessment in response to new information ensures that staff are able to react to the changing circumstances affecting inmates. The following events would prompt reassessment outside of routine intervals:

- Improvement or deterioration of inmate behavior.
- A crisis in the inmate's life (e.g., court decisions, personal problems).
- A medical or mental health emergency.
- Court information (e.g., new charges and/or sentencing).
- An inmate's request for reclassification.
- An officer's request for reclassification of an inmate.

When staff supervise inmates through extensive interaction (see "Element 5: Supervising Inmates"), they are able to assess inmates' risks and needs continually. If housing unit staff or others who work with inmates detect behavior or know of circumstances that might warrant a change in an inmate's risk or need status, they should document this on a standard form. The jail should have a procedure for such documentation, its distribution, and its use in making decisions on how an inmate is managed. Formal reassessments at regular intervals—for example, 30, 60, or 90 days—help jail staff ensure that no inmate is overlooked and that staff have all the information they need to manage inmate behavior most effectively on an ongoing basis.

Reassessment cannot be conducted arbitrarily. Jail policies and procedures must ensure that every inmate is formally reassessed in response to new information and at regularly scheduled intervals. Policies and procedures must address both the process of gathering information (what

prompts the reassessment, who conducts it, and how it is conducted) and the response to the information gathered during the reassessment. A standard form or instrument must be used to document the reassessment.

Classification Process

To effectively assess inmate risks and needs and classify inmates, the jail must have a clearly delineated plan that includes the following elements:

- Established, defined classification criteria.
- A consistent process for gathering information.
- Comprehensive policies and procedures that address all the components of the classification process, including who, what, where, when, and how.
- Forms or instruments for documenting the assessment and classification.
- A system for evaluating the classification process to measure both how well the classification system is being implemented and whether it contributes to meeting behavior management goals.

Two instruments are commonly used for risk assessment:

1. **Point-additive instrument:** Assigns weights and numbers to various risk factors and leads to a specific assessment of the inmate based on a total score.
2. **Decision-tree instrument:** Leads the user through a series of yes and no questions concerning designated risk factors, resulting in a specific assessment of inmate risk based on the responses.

Whereas risk assessment instruments are designed to *predict* future behavior, needs assessment instruments are designed to *describe*

current needs. Although no needs assessment instrument has yet emerged as an industry standard, several such instruments are available. Jails typically use point-additive instruments or narrative surveys, or some combination of the two, to capture information on needs. Point-additive instruments rate the severity of need in particular domains (e.g., physical health, mental health, intellectual capacity, substance abuse) and the individual's overall level of need (low, moderate, or high) based on the combined scores of all the domains. Narrative surveys are used to capture details about specific needs.

Both types of needs assessment instrument yield critical information that assists jail officials in addressing inmates' basic needs. Each jail must determine the best method of assessing, documenting, and responding to inmate needs based on its own philosophy and operational capabilities.

The jail administrator must establish detailed policies and procedures regarding inmate classification, particularly with regard to staffing considerations. Staff must be assigned to complete each step of the assessment process. Some jails have designated classification staff; others train all staff or all booking room staff to conduct classifications. Some jails have continuous access to onsite medical staff; others must rely on periodic visits from community medical personnel to assist with needs assessments. All staff should receive general training in the classification system to enhance understanding and communication. Adequate supervision of classification staff is important to ensure that they implement the system according to policies and procedures.

Element 2: Assigning Inmates to Housing

The second element in the inmate behavior management plan, assigning inmates to appropriate housing according to a housing plan, enables staff to manage the inmates' behavior more effectively.



Housing Assignment Decision

The information gathered about an inmate during the risk and needs assessment serves as the basis for the housing assignment. Jail staff consider the following factors:

- The level of security risk the inmate presents.
- The inmate's ability to function with other inmates.
- The level of supervision the inmate requires.
- The types of services the inmate requires.
- The types of programs that should be made available to the inmate.
- Legal requirements for separating certain categories of inmates. These requirements vary from state to state.

Housing Plan

The housing plan, which describes how bedspace within the jail will be used, is based on an assessment of the following components:

- Existing bedspace, including the number of housing units and beds within each housing unit, the configuration of the housing units, and the level of physical security in the housing units.
- The level of supervision in each housing unit.
- Risks and needs in the inmate population and the resulting inmate classifications.
- The number of inmates within each classification.

For each housing unit, the housing plan should designate the following criteria:

- The types or classifications of inmates housed.
- How services are delivered.
- The level of staff supervision.
- The programs and activities available.

The housing plan must also designate space, as appropriate, for separating inmates for disciplinary, protective custody, or other special needs. You should revisit your jail's housing plan regularly to accommodate fluctuations in the number and types of inmates in the jail population.

Housing plans vary from jail to jail according to existing bedspace, the design of the physical plant, and operational philosophy. All jails, regardless of size or number of housing units, should have a housing plan. For example, jails with severely limited housing options, such as a 20-bed jail with a 15-bed housing unit and 5 single cells, must still have a housing plan. The plan may simply specify that, within the 15-bed unit, inmates are assigned to rooms or bunks according to the need for staff to observe them easily. Even in larger jails with more housing options, inmates within a given unit may be placed where they can best be managed, depending on the specific risks and needs of each inmate.

In some jails, the housing plan may also include a provision for housing inmates in another jurisdiction. For example, some jails are not able to meet the needs of the female population or do not have the space to ensure that they are separated from male inmates. Many jails are not equipped to separately house and manage juveniles. In still other cases, the jail may simply be so crowded that it must send some inmates to other jurisdictions' jails.

A carefully developed housing plan benefits the jail in the following ways:

- Inmates are placed where they can be best managed.
- Groups of inmates that must be separated by law are kept separate.
- Inmates that must be separated for safety and security reasons are kept separate.

The housing plan may also assist the jail administrator in making staff assignments with respect to matching staff capabilities to the needs of particular inmate groups.

Element 3: Meeting Inmates' Basic Needs

The third element in the behavior management plan is meeting inmates' basic needs, which are no different from those of all human beings:

- **Physical needs:** Things that sustain life and ensure a baseline of human comfort, such as adequate and nutritious food, protection against the elements, adequate warmth, physical exercise, medical care, and adequate personal and environmental sanitation. In the context of the jail, meeting inmates' physical needs involves food services, medical services, allowing inmates to maintain their personal hygiene, providing for physical exercise, maintaining adequate air flow and appropriate temperature, and ensuring that all areas of the jail are clean enough for a healthy environment.
- **Safety needs:** Protection from harm, including personal injuries resulting from assault or unsafe environmental conditions. In the context of the jail, this means ensuring that inmates do not victimize one another, eliminating hazardous environmental conditions, and developing plans to ensure inmates' well-being during emergencies.
- **Social needs:** Maintaining contact with family and friends and the opportunity to have positive interaction with others. In the context of the jail, this means providing for inmates to receive and send mail; have access to a telephone; visit with family, friends, and others who are significant in their lives; and interact positively with other inmates and staff.

This categorization of human needs is based on the work of Abraham Maslow, a psychologist who developed a hierarchy of needs that was first published in 1954.¹ Well-established case law requires jails to meet the basic needs listed above; failure to do so may result in costly litigation. However, behavior management is another compelling reason for the jail to meet basic inmate needs. All human beings seek ways to meet their basic needs. If the jail does not provide for these needs, the inmates will find ways to meet them on their own terms. A jail that allows this to happen will hand over a significant amount of control to the inmates. For example:

- If inmates do not have enough to eat, they may hoard or steal food.
- If inmates do not have adequate warmth, they may hoard blankets or clothing or cover air vents in their cells.
- If inmates do not have appropriate ways to interact socially with others, they may become depressed or interact inappropriately with other inmates.
- If inmates are not physically safe, they may make weapons, pay other inmates for protection, or form gangs.

If the jail does not meet the inmates' basic needs, it cannot be safe for either the inmates or the staff. Inmates who are angry, form gangs, and/or have weapons pose a direct and immediate threat to staff safety. Staff who work in an environment where their own basic need for safety is not met must devise ways to meet this need. They may resign, devise ways to avoid interacting with inmates, carry weapons, or physically abuse inmates as a way to establish authority, thereby exacerbating the already dangerous conditions in the jail—dangerous conditions that can quickly become deadly for staff and inmates.

¹ A.H. Maslow, R. Frager, and J. Fadiman, *Motivation and Personality*, 3d ed. (Boston: Addison-Wesley Educational Publishers, 1976).



Element 4: Defining and Conveying Expectations for Inmate Behavior

The staff's expectations for inmate behavior and the way those expectations are conveyed have a powerful influence on how inmates act. Historically, jail staff have expected inmates to be uncooperative, destructive, aggressive, violent, and manipulative. Staff have communicated these expectations by avoiding interaction with inmates, adopting a negative demeanor when they do interact with inmates, and accepting negative inmate behavior as "normal."

Over the past 25 years, it has been demonstrated that jail staff can influence inmates to behave positively within the jail; that destructive, manipulative, and aggressive inmate behavior will be the norm only if allowed to be; and that, with proper supervision, most inmates will meet high expectations for their behavior. Inmates can comply with jail rules, maintain high levels of sanitation within their living areas, treat the staff respectfully, and interact positively with each other. Jail staff should expect this and tolerate no less.

Defining Expectations

The expectations set for inmate behavior should support the goals of the overall inmate behavior management plan. In determining what the jail will consider acceptable inmate behavior, expectations should be high, but attainable. The jail not only should define what is expected of inmates, but also ensure that they have the means to comply. For example, if the expectation is that housing units are to be clean and orderly at all times, then the jail will need to supply sufficient cleaning supplies and equipment to facilitate this. If the expectation is that inmates are to address their complaints about jail operations without resorting to destructive behavior, then the jail will need to have a system through which inmates can report and receive timely responses to their complaints.

Conveying Expectations

Once the jail has defined what it considers acceptable inmate behavior and has established the means for inmates to comply with these expectations, it must convey the expectations to the inmates. Jails convey their expectations for inmate behavior both directly and indirectly. Most jails develop a handbook for inmates that gives information about schedules, procedures, and services; lists the rules for inmates; and describes the jail's disciplinary process and sanctions for breaking the rules. Some jails may simply post this information on a bulletin board in the dayroom.

A handbook effectively informs most inmates, but jails also need to provide this information for inmates who do not speak English and/or are illiterate. Jails should translate handbooks into the primary foreign languages used in the region. For those who cannot read, the jail should provide audio- or videotapes.

Information on behavioral expectations should be part of each inmate's orientation to the jail. The jail should give each new inmate a copy of the inmate handbook or access to an audio- or videotape when he or she is first admitted to housing. Staff should be available to answer the inmate's questions and verify that he or she understands the information. The jail should require inmates to sign a form to verify that they have been given the information and understand it. Inmates also must have ready access to this information throughout their stay in the jail.

The indirect or subtle messages the jail gives inmates about expectations for behavior are as important as its formal message. For example, the jail's physical plant itself conveys a powerful message about expected behavior. Most jails were built on the premise that inmates are violent, dangerous, and destructive and convey this expectation by using bars and steel mesh to contain inmates and by equipping inmate areas with

virtually indestructible fixtures and furnishings. In such jails, the message conveyed by the physical plant clearly contradicts the formal message that inmates are expected to behave positively. These jails need to devise strategies to counter the message conveyed by their physical plant. For example, staff can demonstrate that they expect inmates to behave well by interacting extensively with them, treating them with respect and consideration, and ensuring that inmate living areas are maintained in good order.

On the other hand, the jail's physical environment may convey a positive message about behavioral expectations that is aligned with the formal message, but staff behavior may contradict the official message if staff avoid interacting with inmates, treat them disrespectfully, or ignore their concerns. The jail administrator must be aware of these potential contradictions and devise strategies to resolve them. Otherwise, the contradictions will confuse and frustrate inmates and will undermine the success of the inmate behavior management plan.

Incentives To Meet Expectations

The jail administrator should ensure that the jail's environment reflects that it is in the inmates' self-interest to meet behavioral expectations. For example, housing units for inmates who behave well and do not present high-level security risks should provide inmates easy access to basic necessities, services, and programs. Staff should offer incentives for positive behavior ranging from a simple "thank you" to an inmate who has done a good job cleaning his cell to special rewards for accomplishing extra tasks within the housing unit. For example, some jails conduct weekly facility inspections and provide the cleanest housing unit with a small reward such as soda or popcorn.

On the other hand, negative behavior should be met with disincentives such as removal from the

housing area, lockdown within the housing unit, lockdown within a disciplinary unit, loss of permission to attend programs, and loss of commissary privileges. The jail should have a formal, clearly defined disciplinary process so that both staff and inmates are aware of the rules and consequences for violations.

Clearly stated behavioral expectations reinforced by incentives for positive behavior and disincentives for negative behavior enable staff to direct inmates to comply with the jail's goals. Inmates meet high behavioral standards when the jail expects them to and when staff are able to hold them accountable for their actions, both positive and negative. Inmate accountability is achieved through supervision, which is discussed in the following section.

Element 5: Supervising Inmates

The fifth element in the inmate behavior management plan is supervising inmates to hold them individually accountable for their behavior. To do this, the staff must interact with the inmates. Note that before staff can effectively and safely interact with inmates, the jail must fully implement elements 1–4 of the inmate behavior management plan.

Staff interaction with inmates has a clear purpose: to obtain positive inmate behavior, namely, compliance with jail rules to achieve the goals of the behavior management plan. In this interaction, jail staff are in the role of supervisor and require the following skills:

- Effective decisionmaking and problem-solving skills.
- The ability to communicate, listen, and provide direction.
- The ability to treat people fairly and motivate them to engage in positive behavior.

Staff must be able to detect and solve small problems before they become crises. They should



be able to devise strategies to ensure that the inmate housing unit is safe, clean, quiet, and orderly and then determine the effectiveness of these strategies through inspection and documentation. Each staff member must serve as a positive role model for inmate behavior and establish himself or herself as the person in charge of the housing unit by demonstrating knowledge of jail policies and applying supervisory skills. All staff should be respectful in their interaction with inmates and expect the same in return from them.

Several barriers can impede staff interaction with inmates and, therefore, supervision of inmates. These barriers include the following factors:

- The physical plant.
- Staffing levels.
- Staff placement.
- Staff behavior.
- The level of administrative commitment to staff interaction with inmates.

Because supervision is dependent on staff interaction with inmates, the jail must develop strategies to decrease barriers between staff and inmates. Doing so will assist staff in establishing control over all areas of the jail. For example, if the physical plant is a barrier to supervision and cannot be changed, the jail can increase supervision by changing expectations for the level and type of staff interaction with inmates. If the number of staff cannot be increased for political or budgetary reasons, rethinking the placement of staff can enable a jail to supervise its inmates more actively.

Physical Plant

Because many jails were built in the era when physical containment was emphasized to the virtual exclusion of inmate supervision, the jail's physical plant is a common barrier to inmate supervision. Security doors that offer limited or

no view into the housing units, long corridors that separate staff areas from housing units, and multiple security doors are some of the literal barriers that may separate staff and inmates. These barriers prevent staff from seeing, hearing, and sensing the mood and activities of the inmates. Where staff do not have a presence, they do not have control.

If the physical plant prevents staff from having direct contact with inmates, the jail administrator might consider modifying the plant to increase the staff's ability to interact with and supervise the inmates. Such modifications may include opening housing unit doors, removing glass that separates officer stations from inmate housing areas, or removing interior walls. Modifications, of course, must be carefully considered for their long-term impact as well as for what they are intended to achieve with specific types of inmates. Additionally, any decision to remove the physical barriers between staff and inmates must be tied to an evaluation of current staff behavior. Do staff currently interact with inmates positively, negatively, or not at all? What changes might be necessary in terms of policy and training to provide staff with the tools they need to interact with inmates safely if barriers are removed?

Staffing Levels

Staffing levels may require staff to be responsible for multiple housing units, preventing them from giving sufficient attention to any one group of inmates. Staff may also have additional duties that divert their attention from supervising inmates. To increase the amount of time staff have to interact with and supervise inmates, the jail administrator should consider whether some duties could be:

- Accomplished by staff who work an overnight shift, when inmates are sleeping and do not require extensive interaction with staff.

- Transferred to staff who do not directly supervise inmates.
- Accomplished more efficiently.

If, after considering duty assignments, you find that the number of staff is still insufficient to supervise inmates, you should develop a proposal for additional staff and include in the justification a description of the relationship of inmate supervision to the safety and security of the staff, inmates, and community. You may need to educate the agency's chief executive officer and funding authority about this issue.

Staff Placement

The location of staff duty stations varies from jail to jail, depending on the design of the jail and its operating philosophy. Generally speaking, there are three basic types of jail design: linear intermittent surveillance, podular remote surveillance, and podular direct supervision. (See chapter 4, "Jail Facilities.")

Linear Intermittent Surveillance

The cells in a linear housing unit are lined up in a row at a right angle to a staff corridor that is separated from the cells, usually by bars. The inmates' dayroom may be located behind or in front of the cells. Staff observation of inmates is intermittent. Staff walk through the corridor periodically to observe the inmates, then return to a duty station located outside the living unit. The duty station is usually some distance away from the housing area, and staff are not able to see or interact with the inmates from the duty station.

This type of jail design usually presents the most significant obstacles to staff supervision of inmates, but the obstacles are not insurmountable. Administrators of this type of jail might consider the following options for increasing staff interaction with inmates:

- **Establishing staff duty stations next to inmate housing areas.** This may involve something as simple as placing a desk in a hallway just outside the inmate housing area so that staff can more readily interact with, respond to, and supervise inmates. The duty station should have sufficient supplies and equipment so the officer does not need to leave the post to get frequently used items.
- **Requiring staff to spend a certain amount of time within each dayroom.** Staff should use this time to interact with, respond to, and supervise inmates.
- **Assigning one staff member to move through the housing units and interact with inmates while another remains at the nearby duty station.**

With any of these options, the jail administrator must ensure that the staff are fully prepared, through training and policy, to interact with inmates effectively and safely.

Podular Remote Surveillance

The cells in podular housing are clustered around a dayroom. The duty station is within the housing unit and is enclosed with security glass windows that allow staff to observe the inmates constantly. The term "remote" refers to the staff's separation from the inmates by the glass barrier. In this type of jail, staff can observe the inmates while they are in the dayroom and interact with them on a limited basis, usually through intercoms.

The podular remote surveillance jail offers an advantage over the linear intermittent surveillance jail in that the location of the duty station allows constant observation of inmates in the dayroom by staff. Staff interaction with inmates, however, is still limited, and observation is usually limited to dayroom activities. Also, staff are not able to hear the inmates and may not be aware of problems in the unit until they become



full-blown crises. Administrators of this type of jail might consider the following options for increasing staff interaction with inmates:

- Requiring staff to spend a certain amount of time within each dayroom, interacting with, responding to, and supervising inmates.
- Assigning one staff member to move through the housing units and interact with inmates while another remains at the duty station.

With either option, the jail administrator must ensure that the staff are fully prepared, through training and policy, to interact with the inmates effectively and safely within the housing unit.

Podular Direct Supervision

The cells in a podular direct supervision housing unit are clustered around a dayroom, and the staff's duty station is in the dayroom. The duty station may consist of a desk or a counter with a control panel that allows staff to lock and unlock individual cell doors and control housing unit lights. No physical barriers separate the staff's station from the inmates, and staff are encouraged to spend most of their time circulating through the housing unit and interacting extensively with inmates, with the purpose of managing their behavior.

Although these jails do not present physical barriers between staff and inmates, administrators might find that staff stay at their desks instead of circulating among the inmates, prohibit inmates from coming too close to their desks (again inhibiting interaction), and focus primarily on paperwork and phone calls. Reasons for this include the following:

- Staff have not been trained to focus on supervising inmates.
- Staff may have been given too many tasks that detract from supervising inmates.

- Shift supervisors do not coach staff in interacting with inmates, nor do they hold staff accountable when they avoid interaction with inmates.
- The jail administrator may not have clearly articulated or demonstrated the importance and purpose of staff interaction with inmates.

Variations in Jail Design and Staff Placement

Although most jails fall into one of the three categories discussed above, there are many variations. Some jails practice direct supervision in dormitory housing. Some jails contain housing units of all three types, usually as a result of additions to the original physical plant. Some jails have a podular remote surveillance design but are able to assign only one officer to observe several housing units, so that constant observation of any one unit is impossible. Some jails have a podular remote surveillance design that allows one officer to see into multiple housing units from one duty station while another officer is assigned to roam through the dayrooms of these units. In all cases, the jail administrator must consider whether the location of staff duty stations facilitates or obstructs inmate supervision.

Staff Behavior

It is not surprising that staff behavior may be a barrier to inmate supervision and achievement of inmate behavior management goals given the historical emphasis on physically containing inmates and the traditionally low expectations of inmate behavior. Staff may see themselves as "guards" or "enforcers" rather than as supervisors of inmates. Redirecting a jail's primary focus from physical containment to behavior management is likely to require a significant shift in staff attitudes and behavior. Exhibit 12 lists some examples.

The jail administrator is responsible for helping the staff make the transition to the role of supervising inmates. Administrators should keep in

mind that, traditionally, staff have been conditioned to believe their safety depends on keeping a distance from the inmates and that many are likely to resist the new focus. They may be fearful of working directly with inmates. Some staff might have particularly negative relationships with inmates. There might be staff who have deliberately mistreated inmates because they thought the inmates could not retaliate. Such staff might feel—and might be—particularly vulnerable and probably should not be assigned to work with inmates.

The jail administrator should take action to reduce staff apprehension. The following are some strategies to consider:

- Fully implement the first four components of the inmate behavior management plan.
- Help staff understand all components of the behavior management plan and how, together, these components enhance safety and security.
- Make sure staff understand the purpose of interacting with inmates, what their role is, and, specifically, how to carry it out in the housing unit.
- Ensure that operational policies are clear and documented.
- Train staff in supervision and interpersonal communication skills, problem solving, standards for inmate behavior, and operational policies.
- Give staff the tools necessary to supervise inmates successfully: for example, a range of productive activities for inmates, an effective inmate orientation plan, and an effective inmate disciplinary system.
- Assign adequate staff to provide backup for emergencies in any area of the jail.
- Require shift supervisors to spend time with staff in the housing units, coaching and

supporting them in their role as supervisors of inmates.

- Involve staff in planning for this transition so they will not feel that it is being unfairly imposed on them.
- Orient inmates to the new procedures.

Administrative Commitment

Administrative commitment, essential to the success of all components of the inmate behavior management plan, is especially important in the area of inmate supervision. Inmate supervision is likely to require a significant change in terms of how staff view their role and the purpose, frequency, and type of interaction they have with inmates. If the administrator does not communicate and demonstrate commitment clearly and consistently, staff are unlikely to make or maintain the necessary changes in their behavior.

The following are some actions jail administrators can take to demonstrate their ongoing commitment to inmate supervision:

- Ensure that policies and procedures support active inmate supervision.
- Give supervisors a mandate to encourage staff to meet these expectations, provide staff with needed support and coaching, and hold staff accountable for meeting these expectations.
- Train staff in how to communicate with and supervise inmates effectively to increase the staff's confidence in their ability to manage inmate behavior.
- Give staff the job tools necessary to actively and effectively supervise inmates, such as incentives for positive behavior and disincentives for negative behavior.
- Seek information from staff on what they need to be more effective in supervising inmates.



Exhibit 12. Redirecting Staff Focus From Physical Containment to Behavior Management

Physical Containment	Behavior Management
Staff perceive inmates as inherently violent, dangerous, and destructive.	Staff perceive inmates as capable of rational and positive behavior.
Staff consider inmate requests and grievances to be bothersome and not worth close or immediate attention.	Staff believe a timely response to inmate requests and grievances is critical to their role in inmate behavior management.
Staff avoid interaction with inmates.	Staff regularly initiate positive interaction with inmates.
Staff order inmates to follow their directives.	Staff clearly state the jail's expectations for inmate behavior and motivate inmates to meet them.
Staff provide no formal orientation to new inmates but might refer them to written rules that are posted in the housing unit or available in the inmate handbook.	Staff formally orient new inmates to behavior expectations, jail schedules, and jail services and ensure that inmates have ready access to this information throughout their stay.
Staff react primarily to negative inmate behavior.	Staff respond to both positive and negative inmate behavior, providing rewards for positive behavior and correcting negative behavior.
Staff are limited in their ability to hold individual inmates accountable for their behavior due to the limited interaction they have with the inmates.	Staff are able to hold inmates individually accountable for their behavior, both positive and negative, due to their extensive interaction with inmates.
Staff have little consideration for inmates' needs and concerns.	Staff interact with inmates in a respectful and considerate manner.
Staff-inmate relationships are often adversarial.	Staff-inmate relationships are primarily positive, with staff in the role of supervisor.
Staff observe inmates. They react to problems when the problems reach the point of gaining the staff's attention.	Staff supervise and manage inmates. They identify and address problems in their early stages, before they become crises.
Staff "write up" inmates when they see them breaking rules.	Staff encourage and reward positive inmate behavior and use a range of responses to manage negative inmate behavior.
Staff are not particularly respectful of inmates. Staff might return respect if it is shown to them.	Staff take the initiative to treat inmates respectfully. Staff set the standards for behavior and serve as role models for inmates.

- Give staff the authority and responsibility, within the guidelines of policy and procedure, to make decisions in the housing unit concerning inmate supervision.
- Make the skills needed for active inmate supervision part of the criteria for hiring, evaluation, and promotion.

Although the inmate supervision component of the behavior management plan may represent a significant change in current jail operations, it will also result in significant positive changes in inmate behavior. Staff will begin to feel safer, take a more positive attitude toward their work, and, as they hone their supervision skills, gain a greater sense of fulfillment from their job.

Element 6: Keeping Inmates Productively Occupied

The sixth and final element in the inmate behavior management plan is keeping inmates occupied with productive activities that focus behavior on the positive instead of the negative. Jail staff can keep inmates productively occupied in the following ways:

- Assigning each inmate work within the housing unit, such as keeping his or her individual cell clean and participating in cleaning the dayroom area.
- Allowing positive unstructured activities within the housing unit by providing reading materials (e.g., newspapers, magazines, books), writing materials, art supplies, and television.
- Facilitating structured activities within the housing unit, such as games, exercise, discussion groups, and tournaments.
- Encouraging inmates to attend organized programs and make use of services outside the housing unit, such as education classes, self-help and life skills programs, structured recreational programs, religious activities, and the library.

Many jails provide programs to improve inmates' ability to reintegrate into society or to decrease recidivism. At a more fundamental level, however, there are compelling behavior management reasons to provide inmates with productive activities. When the jail provides structured activities, it controls the nature of the activity and assures that it contributes to the overall goals of the behavior management plan. If the jail does not provide inmates with productive activities, they will find ways to fill their time, often through activities that are destructive and contrary to the jail's mission of providing a safe and secure environment. When the inmates direct activities, control of the jail shifts from the staff to the inmates.

Productive activities also provide a powerful incentive for inmates to maintain positive behavior. When the inmates have access to meaningful activities and continued access is based on the appropriateness of their behavior, they are strongly motivated to behave according to the expectations set by the jail. Providing access to activities gives staff a means of rewarding positive behavior and enforcing consequences for negative behavior, thereby enhancing the staff's ability to supervise and manage inmates. (For additional information on providing inmates with access to activities, see chapter 12, "Inmate Services and Programs.")

Summary

The fundamental goal of every jail is to ensure the security of the jail and the safety of the staff, inmates, and the community. To achieve this goal, jails have historically focused on the physical containment of inmates. Over the past 25 years, managing inmate behavior has been shown to be a more effective approach to jail safety and security. By implementing the six elements of the inmate behavior management plan discussed in this chapter, the jail administrator puts control of the jail in the staff's hands, thereby ensuring the security of the jail and the safety of staff, inmates, and the community.

Recommended Resources

2001 Directory of Direct Supervision Jails. B.G. Harding, National Institute of Corrections, 2001.

Interpersonal Communications in the Correctional Setting. (video, DVD, participant manual, instructor guide). National Institute of Corrections, 2004.

Jails in America: A Report on Podular Direct Supervision (video). National Institute of Corrections, 1996.

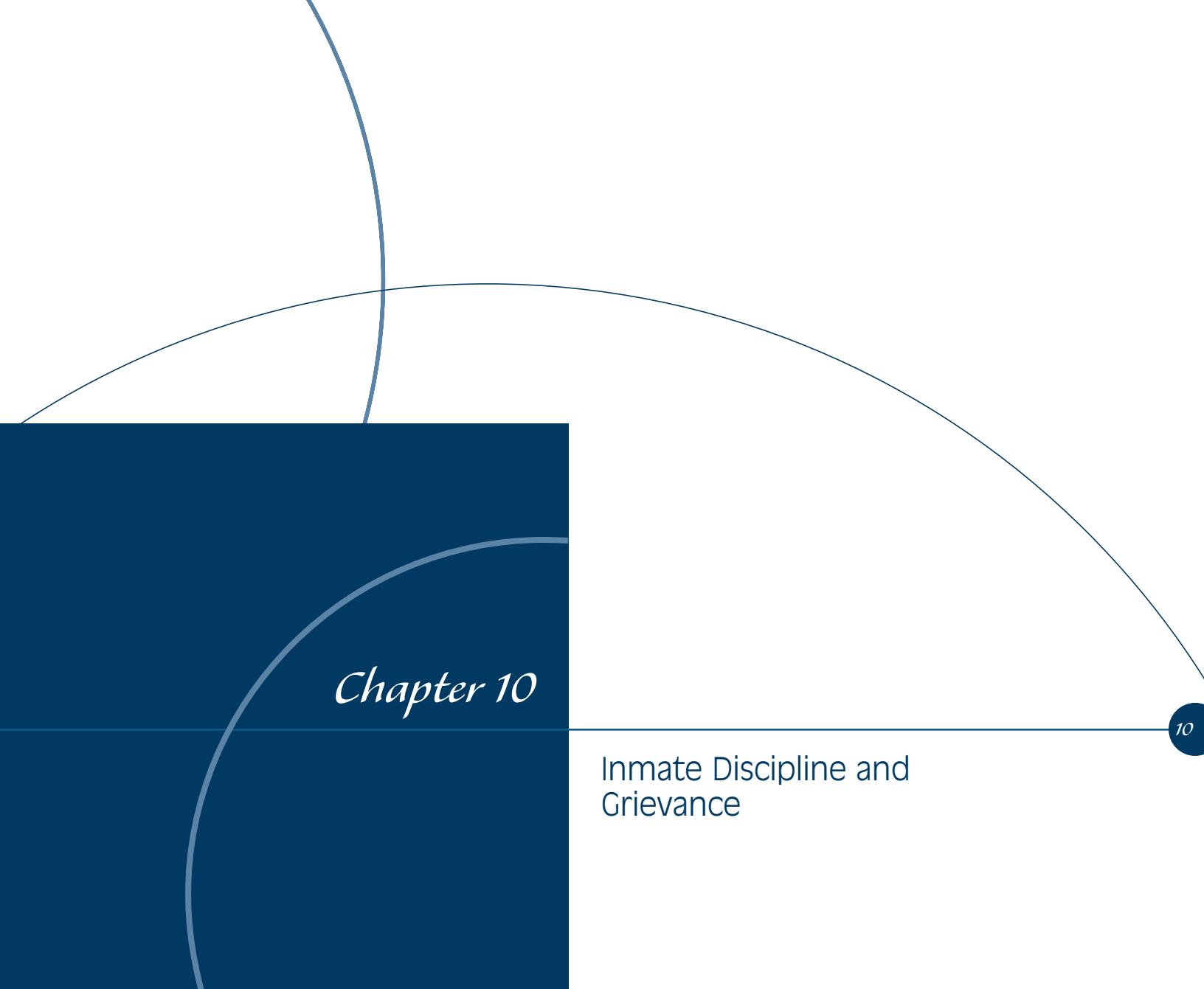


Objective Jail Classification Systems: A Guide for Jail Administrators. J. Austin, National Institute of Corrections, 1998.

Podular Direct Supervision Jails: Information Packet. National Institute of Corrections, 1993.

Self-Audit Instrument for Administrators of Direct Supervision Jails: Based on the Measurable Elements of Direct Supervision. M.A. O'Toole, W.R. Nelson, D.R. Liebert, and K.D. Keller, National Institute of Corrections, 2004.

Women in Jail: Classification Issues. T. Brennan and J. Austin, National Institute of Corrections, 1997.



Chapter 10

Inmate Discipline and
Grievance



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Inmate Discipline and Grievance

Overview

A formal, clearly defined inmate disciplinary process is an essential element of a jail's inmate behavior management plan. The disciplinary process provides a structured means for jail staff to hold inmates accountable for negative behavior. A formal process through which inmates may seek resolution of complaints and problems relating to their incarceration is equally important. This chapter describes the basic components and characteristics of legally defensible and fair inmate discipline and grievance systems for local jails.

Legal Requirements and Standards

1. The Constitution provides that inmates be afforded basic due process in disciplinary actions, including the opportunity to air grievances and have them addressed.
2. State and professional standards address inmate discipline and grievance processes in jails.
3. The federal Prison Litigation Reform Act requires that inmates attempt to resolve issues through the jail's grievance process before seeking relief in federal courts.

Inmate Discipline

Effective management of inmate behavior is key to safety and security in the jail. The primary

goal of an inmate behavior management plan should be to generate positive behavior, that is, behavior that conforms to the rules of the jail and to staff expectations. The goal is partly accomplished by clearly defining and conveying behavioral expectations to inmates and then offering positive incentives to encourage compliance. Appropriate consequences for negative behavior are equally important. The inmate disciplinary process is the formal system used to regulate inmate conduct and to administer consequences for behavior that violates established jail rules.

Discipline and Due Process

Much litigation has addressed inmate discipline. The Constitution provides that people may not be “deprived of life, liberty, or property without due process of law.”¹ Because imposition of sanctions for serious rule violations may result in loss of privileges, lockdown, or segregation, courts have ruled that due process provisions apply. Generally, courts define “due process” as a set of procedures that ensure fair disciplinary action appropriate for the circumstances.

*Wolff v. McDonnell*² is the leading case on inmate discipline. In ruling on this case, the Supreme Court set out the basic due process standards for inmate disciplinary cases. Each

¹ U.S. Constitution, amendments 5 and 14, sec. 1.

² *Wolff v. McDonnell*, 418 U.S. 539 (1974).

of these standards promotes some aspect of fairness in the process:

- Advance written notice to the inmate of the alleged violation.
- At least 24 hours between the written notice and the hearing so that the inmate has time to prepare for his or her appearance.
- Opportunity for the inmate to call witnesses and present documentary evidence.
- The right to assistance, if necessary, to prepare and present the inmate's case.
- A decision made by an impartial third party.
- A written statement of the considered evidence and the reasons for the decision.

Tip for Administrators

You should ask the jurisdiction's legal counsel to review your jail's disciplinary process to ensure that it conforms to applicable standards and legal requirements.

These standards provide a basic level of due process; they are not as extensive as standards associated with a trial in criminal court. In the *Wolff* case, the Supreme Court recognized the special nature of institutional disciplinary proceedings. The Court recognized that violation of an

institutional rule is not the same as violation of a law and that an institution's hearing officer does not have the same authority as a trial judge. Jail proceedings for inmate disciplinary matters are viewed as administrative rather than adversarial as in a court of law.

The Court considered the severity of the punishment that could be imposed. Generally, the more serious the consequences, the more procedural protections are necessary. Because jails are limited in the type and severity of imposable sanctions, basic due process provisions are deemed sufficient. The Court also recognized that jail and prison officials have a legitimate interest in regulating behavior and maintaining order.

Accordingly, inmates rights must be balanced against the jail's safety and security interests.

Consequently, inmates in disciplinary hearings are not afforded some of the due process rights available to defendants in criminal cases. Courts have ruled that inmates do not have a right to:

- Confront and cross-examine witnesses.
- Have retained or appointed counsel.
- Avoid self-incrimination. (Accused inmates may remain silent, but officials may draw an adverse inference from the silence.)

Court rulings have since narrowed the circumstances under which due process protections may be required in jail or prison disciplinary actions. In *Sandin v. Conner*,³ the Supreme Court determined that sanctions such as segregation, withdrawal of privileges, or other restrictions do not constitute a deprivation of liberty that would trigger the due process requirements described above (at least for sentenced inmates). Sanctions that put the inmate's release date at risk, on the other hand, can only be imposed after a due process hearing.

The *Sandin* decision gives jails the opportunity to limit the types of disciplinary cases for which due process hearings are required. As a matter of fairness, and because due process may still be required for pretrial detainees, some jails continue to require hearings for all serious inmate misconduct.

Basic Elements of Disciplinary Process

The following are basic requirements of a disciplinary program:

- A written set of rules and penalties for violations that is presented to all inmates during orientation.
- A written set of policies and procedures governing the disciplinary process.

³ *Sandin v. Conner*, 515 U.S. 472 (1995).



- Training of staff in the rules and procedures.
- Provision for resolving minor infractions.
- Notice to the inmate of the violation and certain due process protections.
- Procedures for due process hearings to handle serious rule violations.
- A record of the hearing, a review by a higher authority, and the right to appeal.

A primary component of the inmate disciplinary system is a written set of rules defining inmate behavior and the procedures for handling misconduct. Most jails have a misconduct code that lists the offenses that are subject to disciplinary action, categorized by severity (e.g., minor and major offenses). The code also includes the range of sanctions that may be imposed for each category of offense. These rules are presented and explained to inmates on admission to the jail to advise them of the jail's behavioral expectations and that they will be held accountable for misconduct. At this stage, you are obliged to make sure illiterate or non-English-speaking inmates also understand the rules.

The disciplinary program should be governed by written policies and procedures that clearly delineate the steps for notifying inmates of alleged misconduct, preparing disciplinary reports, conducting hearings, imposing sanctions, and providing avenues for appeal. Staff should receive training in the policies and procedures. To apply the process consistently and fairly, staff must understand the importance of the disciplinary system and how it works.

The disciplinary process must include procedures for handling serious rule violations in accordance with the basic due process considerations, including procedures for a fair hearing and the inmate's ability to receive staff assistance, make a statement, present documentary evidence, and request witnesses. Provisions should also be made for resolving minor rule violations

that allow staff who witness minor misconduct to handle the situation informally.

Complete documentation of all aspects of the disciplinary process is essential. Disciplinary records may include the following:

- Original misconduct report.
- Supplemental or corroborative reports or other evidence used at the hearing.
- Notice of the hearing.
- Written hearing summary prepared by the hearing officer.
- Tape recording of the hearing.
- Documentation of any appeals.

Summary

The disciplinary process is a key element of the jail's overall management plan. It provides a means by which to hold inmates accountable for negative behavior. Disciplinary policies and procedures must be carefully crafted to meet basic due process requirements and ensure fundamental fairness in the application of the disciplinary process. A clearly defined disciplinary process is a positive tool in regulating inmate behavior and can reduce the jail's exposure to potential liability for violations of due process.

Inmate Grievance Process

The inmate grievance process is a formal, structured system established and administered by the jail to give inmates a means to seek resolution for problems relating to their incarceration. The jail's grievance process plays an important role in helping to establish a fair and just environment and, as such, is an essential part of the jail's overall behavior management scheme. The grievance system should be governed by written policies and procedures that define the kinds of issues that are grievable and provide specific guidance in filing, investigating, responding to, and documenting grievances.

Benefits of a Grievance Procedure

A viable grievance system provides the following benefits for both inmates and the jail:

- **Tension relief through the provision of an official mechanism whereby inmates can seek resolution of real or perceived problems arising from their incarceration.** Having this process reduces the risk that inmates will resort to inappropriate measures to be heard.
- **Enhanced communication through a formal means of conveying information between inmates and the jail administration.** Many grievances arise from misunderstanding policies and procedures. The grievance process is a means for the jail administration to restate or clarify its policies and procedures for inmates who believe they are being treated unfairly.
- **Improved management through the highlighting of potential weaknesses in facilities or operations.** Grievances, individually and collectively, offer a wealth of information that may suggest a need for further review of particular areas to determine whether corrective measures are needed.
- **Effective monitoring of trends in overall operational performance and assessment of the jail climate.** Analysis and tracking of grievance data can help the jail administrator isolate the source of potential problem areas and whether they relate to particular activities, locations, or shifts. Information generated through grievances is an excellent tool for assessing the level of tension and morale of both the inmates and the staff in the facility. The administrator can then take preventive measures to diffuse potential problems.

Tip for Administrators

Use information from inmate grievances as a management tool to track trends and monitor jail conditions and operations.

- **Reduced potential for litigation through the provision of an alternative to filing lawsuits to resolve issues.** Many courts require inmates to try to resolve issues through the jail's grievance process before initiating a federal civil rights lawsuit. The resolution of problems in this manner avoids the expense, disruption, staff time, and potential liability associated with litigation. Even when issues cannot be resolved by the jail's grievance process, the agency often gains valuable information that is helpful in defending against the claim.

Defining Grievable Issues

To be meaningful, the inmate grievance process should apply to a wide range of issues relating to incarceration. These issues generally include problems or concerns arising from the following situations:

- Application of jail policies, rules, and procedures.
- Staff or inmate conduct.
- Access to programs or services.
- Conditions of confinement.
- Incidents occurring within the facility.

A clearly written description of issues that are or are not grievable is essential in establishing the jail's grievance system. Issues that are outside the jail's scope of authority are generally not considered grievable, for example, probation and parole decisions, judicial decisions, state and federal laws, and issues governed by the policies and procedures of other authorities (e.g., loss of property that is covered by tort claims laws or rules). Grievance procedures in some jails also exclude certain issues relating to health or security decisions. Others make a distinction between failure to follow the provisions of a policy and the decisions made pursuant to the policy. For example, the decision made by a disciplinary



committee may not be grievable, but the failure to provide proper notice of the hearing, as provided by policy, may be.

Basic Elements of a Grievance System

A functional and defensible inmate grievance process includes the following basic elements:

- Written procedures for the program.
- Access by all inmates without reprisals.
- Availability of grievance forms in housing units.
- Staff available to govern the program and assist inmates in articulating their grievances.
- Written responses to all grievances, including the reasons for the decision.
- Specified time limits for responses, with provision for responding to emergencies.
- Supervisory review of all grievances.
- Staff participation in establishment of the program.
- Periodic assessment of inmate satisfaction with and confidence in the process.
- An appeal process at a level above the usual approving authority.

Staff must have input into the development of the grievance process. Provisions should also be made for periodic assessment of the level of inmate satisfaction and confidence in the process once implemented. This assessment will enhance the credibility of the process and ensure that it is not perceived by inmates or others as a sham.

The grievance process should be governed by written policies and procedures that specify the steps for filing the grievance, the types of issues that are grievable, levels of review, timeframes for response, appeal process, and any specific limitations. This information should be included in the inmate handbook and given to inmates as

part of their orientation to the jail. Staff should receive information and training on their respective roles in implementing the process.

The policy should include clearly defined time limits for responding to grievances. It should provide for timely action on complaints and provisions for inmates to go to the next level if time limits are not met. Provisions should also be made to permit immediate action on grievances where adherence to the regular time limits might subject the inmate to serious or irreparable harm. Investigation and response for emergency situations should be expedited as appropriate.

Responses to grievances should be made in writing in a standardized format. A log should be maintained to track and monitor grievances. The jail should also maintain documentation of each grievance and its disposition (including the complaint, investigation, and response).

Summary

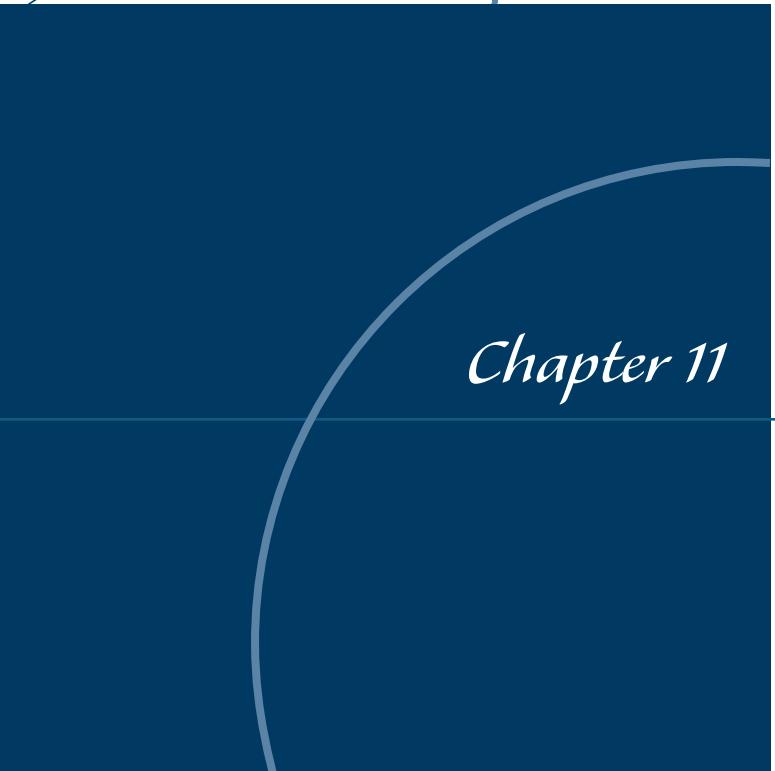
A grievance system is an essential component of a jail's inmate behavior management plan. It is also a valuable management tool for monitoring jail conditions and operations over time. If the process has credibility, inmates will use it to resolve complaints rather than act out inappropriately. By providing an administrative remedy, the grievance process may also reduce the level of litigation and potential liability for the jail.

Recommended Resources

Correctional Administration—Integrating Theory and Practice. R.P. Seiter, Prentice Hall, 2002.

Jail Design and Operation and the Constitution: An Overview. W.C. Collins, National Institute of Corrections, 1998.

Prison and Jail Administration: Practice and Theory. P.M. Carlson and J.S. Garrett, Jones and Bartlett Publishers, 1999.



Chapter 11

Special Management



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Special Management

Overview

The jail's inmate supervision plan should include provisions for the housing and management of inmates who need to be separated temporarily from the general population. This group typically includes inmates who have special needs, are a threat to the security of the jail, or pose a danger to themselves or others. By definition, these inmates need special attention, including closer supervision and, possibly, access to more specialized services than can be provided in general population housing. In addition, the decision to place inmates in special management and in separate housing involves several due process considerations. Accordingly, jail administrators should have clearly defined policies and procedures governing special management and should constantly monitor the operation and use of special management housing areas.

This chapter describes the various categories of special management, provides guidelines for placement in and use of special management, and outlines minimum confinement conditions for inmates classified as special management. It also highlights key elements of effective special management operations.

Legal Requirements and Standards

1. Inmates have a right to a level of due process when administrative or disciplinary actions are taken that result in their segregation from the general population.

2. Professional and state standards address many aspects of special management, including placement and review, supervision, conditions of confinement, and access to programs and services.

Special Management Categories

Special management generally includes three categories:

- Disciplinary detention.
- Administrative segregation.
- Protective custody.

Disciplinary Detention

Disciplinary detention is used to segregate inmates who are detained for or found guilty of serious violations of the inmate rules and regulations. Inmates are typically placed in disciplinary detention for short periods (usually not more than 30 days per incident).

Inmates accused of committing serious rule violations and who are disruptive or a threat to the safety and security of the jail may also be temporarily segregated pending a hearing before the jail's disciplinary officer or committee. Because the purpose of segregation in the latter cases is security rather than punishment, the hearing should be held promptly (preferably within 3 working days after placement in detention).

Administrative Segregation

Administrative segregation is used for inmates who must be separated from the general population for reasons other than discipline, including inmates who:

- Present a clear danger to other inmates, staff, self, or the security of the jail through their threats or actions.
- Have communicable diseases or need to be isolated for other medical reasons.
- Cannot function appropriately and safely in the general population because of mental health problems or developmental disabilities.

Placement in administrative segregation should be based on recent conduct, a medical or mental condition, pending charges, or an inmate's overall record. The basis of this classification decision is fundamentally different from that of disciplinary detention, in which an inmate is placed in restrictive confinement as punishment for violating a jail rule. Placement in administrative segregation may be long term, depending on the individual circumstances.

Protective Custody

Protective custody is used for inmates requesting or requiring protection from other inmates in the general population. Candidates may include those who are resented by the other inmates because of the nature of their criminal charges, codefendants who may testify against other inmates, and inmates who are unable to adjust to living with others and may be the target of assaults. Protective custody is a nonpunitive classification.

Guidelines for Placement and Review

Inmates may not be placed in special management arbitrarily. Because of the loss of liberty and other restrictions inherent in segregation, inmates must be afforded basic due process

when placement in special management is being considered. *Due process* means that the things one has a right to, including possessions, privacy, and liberty, cannot be taken away by the government unless the procedures designed to ensure fairness have been followed. With this in mind, the jail administrator should ensure that written policies and procedures are established for making special management placement decisions and that the process is implemented through the jail's classification or disciplinary system. Policies and procedures for making placement decisions should adhere to the following guidelines:

- Inmates should be placed in disciplinary detention only after an impartial disciplinary officer or committee has established that the inmate committed a rule violation and has determined that no alternative dispositions are available that will adequately regulate the inmate's behavior. (See chapter 10, "Inmate Discipline and Grievance," for more details.)
- Placement in administrative segregation or protective custody should be based on well-documented evidence supporting the need for segregation. Inmates placed in administrative segregation or protective custody should have the opportunity to contest the decision. Although placement in protective custody is often an action initiated or supported by the inmate, it should be documented with a consent form signed by the inmate.
- Supervisory staff may order immediate segregation of an inmate in special management when necessary for the protection of the inmate or others. In such cases, the decision should be reviewed within a reasonable time (ideally 3 days) by the facility administrator or designated authority.
- Provisions should be made for periodic review of the status of inmates in special



management by the classification or disciplinary committee or another designated authority. Professional standards require a review at least every 7 days for the first 30 days of segregation and every 30 days thereafter. The purpose of the review is to assess the need for continued segregation. At the review meeting, the reviewing authority should also consider assistance or resources to be provided that would facilitate the inmate's return to the general population. Inmates housed in special management for medical or mental health reasons, however, may not be subject to the same type of periodic review. In these cases, the appropriate health authorities should make the decisions regarding the need for segregation. When the medical need for segregation no longer exists, decisions regarding placement fall back to the classification committee or designated authority.

Guidelines for placement of inmates in special management should also address release. The jail administrator should decide the level of authority required to grant release. In some facilities, release from special management must be authorized by the jail administrator. In other jurisdictions, the releasing authority may be the committee or person authorizing placement in special management, the disciplinary committee (if the placement was related to a disciplinary action), or the classification committee. Releases are generally authorized when the conditions requiring placement in special management no longer exist, new information indicates the inmate is no longer a threat to self or others, or the inmate has completed the sentence imposed by the disciplinary committee for a rule violation.

Conditions of Confinement in Special Management

The various categories of special management inmates may be handled differently. Discipline

and segregation cases can be housed in the same area, but their privileges may vary greatly. Because placement in either administrative segregation or protective custody is not intended to be punitive, programs and services provided to inmates in these categories should approximate those available to the general population to the extent possible. The programs and services provided to inmates in disciplinary detention, on the other hand, may be much more limited, although they should still fulfill basic personal needs. In general, inmates in special management should be afforded the following amenities and privileges:

- **Housing.** Special management housing, like the rest of the jail, should be safe, clean, and well maintained, with adequate lighting, climate control, and ventilation. The cells should be properly equipped, and all furnishings and fixtures should be in good repair. Inmates in special management are more likely to be housed in single-occupancy cells or rooms because of the particular risks and needs they present. Protective custody inmates may even need further separation from other inmates within the special management housing area.
- **Food.** The quality and quantity of food given to inmates in special management should be the same as that given to inmates in the general population.
- **Personal property.** Excess property should be placed in inmate property storage; however, long-term inmates in special management should be permitted access to the same types and amount of personal property permitted in the general population.
- **Personal hygiene.** Inmates should be able to maintain acceptable levels of personal hygiene, including showering and shaving at least three times per week, and basic toilet articles (e.g., toilet paper, soap, toothbrush, toothpaste) should be provided. For safety

- and security, access to certain toiletries may be given on a scheduled basis. Laundry services should be on the same schedule as the rest of the jail.
- **Clothing and bedding.** Inmates should wear the same type of clothing as worn by the general population. A mattress and bedding should be provided. These items should be restricted only when prescribed by the medical authority for medical or psychiatric reasons.
 - **Medical care.** Medical staff should see each special management inmate at least three times weekly and document the results of the visit. Where medical staff are not regularly available in the jail, visits should be conducted by jail staff who have received health-care training, who would then convey any concerns to health authorities for followup.
 - **Exercise.** Inmates in special management should have at least 1 hour of exercise per day, 5 days per week, outside their cells, unless safety and security concerns dictate otherwise. Inmates should be able to exercise in areas designated for that purpose, both indoors and outdoors, weather permitting.
 - **Correspondence, telephone use, and visitation.** Inmates in special management should be able to send and receive mail on the same basis as inmates in the general population. Visitation and telephone privileges should also be similar to those for the general population, as much as feasible. However, telephone privileges for inmates in disciplinary detention may be restricted to legal matters that cannot be handled through correspondence. Any other restrictions imposed in these areas should be supported by compelling safety and security concerns.
- **Access to courts and legal materials.** Inmates should have access to personal legal materials and available reference materials. The courts and legal system should be accessible through correspondence, telephone calls, and visits.
- **Programs and services.** Although the scope of services and the manner in which they are offered may not be identical to conditions in the general population, inmates in administrative segregation or protective custody should have access to the same types of programs and services as the general population, including education, commissary, library, counseling, religious guidance, social services, and recreation. Programs and services other than those essential to basic health and safety may be restricted as part of the associated sanctions for inmates held in disciplinary detention.

Key Elements of Effective Special Management Operations

In reviewing the jail's handling of special management inmates, consider the following key elements of effective operations:

- **Classification.** The placement of inmates into special management and decisions regarding their care and supervision must be based on sound classification data. Failure to do so may compromise security and expose the jail to potential liability.
- **Written policies and procedures.** Special management operations should be governed by written policies and procedures. You must give clear direction to staff because of the high-risk population typically housed in segregation. Staff should be thoroughly trained in the policies and procedures to ensure consistent implementation.



- **Staffing.** Staff assigned to work in special management housing areas should be selected according to their experience, personality, and ability to work with difficult inmates. They should be trained in the operation of the special management unit and in dealing with the types of inmates typically held in segregation. Supervision of special management staff should be a high priority for the jail administrator.
- **Supervision.** Staff should actively supervise inmates in special management with the skills and techniques described in chapter 9, “Inmate Behavior Management.” Inmates and staff should interact regularly so that issues may be resolved before they escalate into crises. Policy should provide that staff personally observe inmates at least every 30 minutes on an irregular schedule. Because of the high-risk potential of the special management population, supervision of this unit may also include enhanced security precautions such as the following:
 - Controlling access into and out of the special management unit.
 - Requiring inmates to be in restraints during movement out of the cell.
 - Requiring additional staff members to be present while moving certain inmates.
 - Reducing the need to move inmates out of the special management area by bringing services and programs to the unit.
 - Enhancing property and contraband control procedures.
 - Enhancing security inspections.
 - Strip-searching all inmates entering or leaving the unit.
- **Documentation.** A permanent log should be maintained to record information pertinent to special management. The log should document the reason inmates were placed in this

custody classification, their behavior and condition while in special management, and how they were managed. The log is also a means to communicate essential information across shifts and with professionals working with the inmates. Documentation should include the following:

- Special management admissions and releases.
- Information about each inmate (i.e., name, location, date admitted, reason for admission, tentative release date, and special problems or needs).
- A record of all visits to the special management unit, including those by staff to inspect the unit, assess the status and well-being of inmates, or counsel inmates.
- Notations of unusual behavior by individual inmates and the unit as a whole.
- Pass-on information (for future shifts).
- Individual records for each inmate of daily activities (e.g., meals, showers, exercise, visits, administration of medications, program participation) and behavior, to be completed by staff during each shift.

- **Monitoring and oversight.** Given the issues presented by inmates placed in special management and the restrictive nature of the setting, special management should be monitored regularly by supervisory and professional staff. Staff should observe conditions and operations and give inmates an opportunity to voice problems or concerns to staff not responsible for their direct supervision. The shift supervisor should visit special management areas once per shift, and the jail administrator or a designee should visit the unit at least weekly. Other program staff should visit all inmates in special management as often as necessary, but at least weekly, to meet inmate needs.

Summary

The ability to temporarily separate from the general population inmates who are a threat to security or a danger to themselves or others or who have other special needs is essential to the safe and secure operation of the jail. The three categories of special management are disciplinary detention, administrative segregation, and protective custody. Many jails have designated special management housing for these categories of inmates. The jail administration should make the management and oversight of special management housing operations a priority for the following reasons:

- The high-risk nature and/or special needs of the population.
- Conditions of confinement associated with segregation.
- Due process implications of placement and review decisions.

The safe and effective operation of special management housing areas within the jail includes the following key elements:

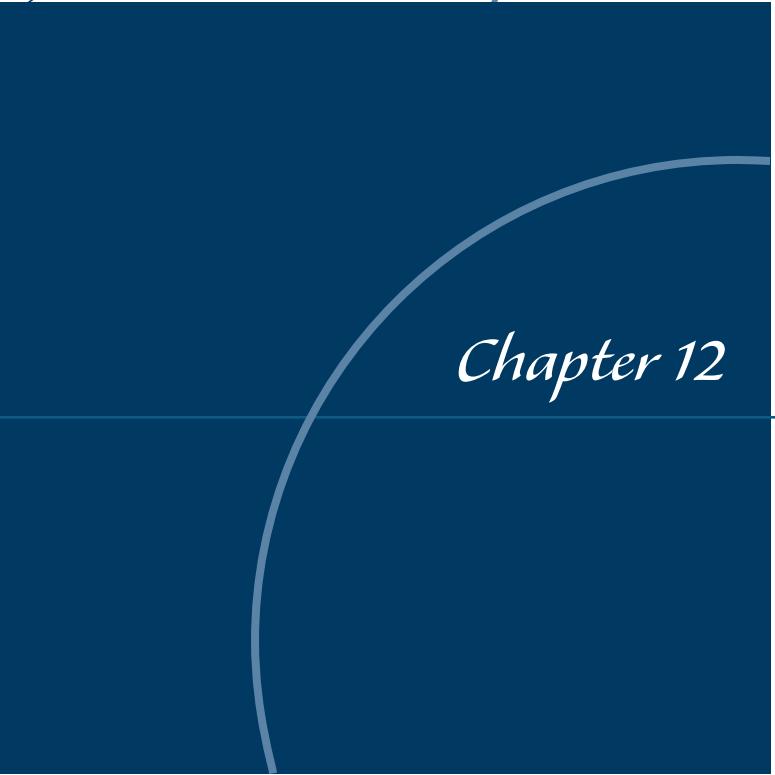
- Effective behavior-based classification systems.
- Written policies and procedures.
- Appropriate staffing.
- Effective inmate supervision.
- Thorough documentation.
- Appropriate monitoring and oversight by management.

Attention to these key elements will enhance the overall safety and security of the jail and ensure the fair treatment of inmates segregated from the general population.

Recommended Resources

Guidelines for the Development of a Security Program, 2d ed. J.D. Henderson, W.H. Rauch, and R.L. Phillips, American Correctional Association, 1997.

Performance-Based Standards for Adult Local Detention Facilities, 4th ed. American Correctional Association, 2004.



Chapter 12

Inmate Services and
Programs



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Inmate Services and Programs

Overview

Jails must provide certain basic services to maintain the health and well-being of inmates. These services include the essentials of daily living such as food, health care, clean clothing and linens, personal hygiene needs, exercise, and communication with the outside world. Beyond the basics, many jails offer various programs to help inmates make constructive use of their time and for self-improvement. This chapter describes the following:

- Legal requirements.
- The range of services and programs that jails typically provide.
- What constitutes good correctional practice.
- Alternative methods of providing services and programs.
- Use of community resources.

Legal Requirements and Standards

1. Jail officials are responsible for providing basic services for inmates to maintain their health and well-being while in custody. The courts may consider any harm caused an inmate by the failure to provide these services as “deliberate indifference.”
2. Jails must give inmates reasonable opportunity to communicate with the outside world while in custody. Inmates are entitled to confidential communication with the courts, attorneys, and other select parties.

3. Professional and state standards address many aspects of inmate programs and services. Standards relating to inmate health and safety are generally detailed and prescriptive, reflective of the case law for these issues. Standards relating to programs generally offer jails some leeway in the types of programs offered and the manner in which they are delivered.

Inmate Services

Inmates have a fundamental right to basic services essential to their health and well-being. The most significant of these services are food, medical and mental health care, clothing and linens,

Distinction Between Services and Programs

Inmate **services** generally contribute to the basic health and well-being of inmates and include basic services such as food, health care, clothing and linens, laundry, commissary, visitation, exercise, and mail. Inmate **programs** are activities offered to inmates as self-help opportunities for problems such as substance abuse, anger, illiteracy, unemployment, and victimization and to assist the inmate in reintegrating into the community. Inmate programs may also help reduce recidivism and reincarceration.

Tip for Administrators

Assess the quality and scope of services currently available to the inmate population in your jail. Are services being provided efficiently and meeting the basic needs of inmates? Develop an action plan to make necessary improvements.

laundry, personal hygiene and grooming, visitation, mail and telephone, exercise and recreation, library access, and commissary. Each of these services is discussed below.

Food

The goal of food services should be to provide nutritionally adequate meals daily that are prepared and served under sanitary conditions at reasonable cost. Special issues related to food services include the following:

- Food procurement, preparation, and storage should be supervised by qualified and trained food services personnel. Assigning this function to a jail officer is not appropriate.
- Dietary professionals should be solicited to help with menu preparation or at least to review menus regularly to ensure that they meet the dietary allowances for basic nutrition.
- Special meals should be available to meet religious and medical dietary requirements.
- All food services personnel, whether paid staff, volunteers, or inmate workers, should receive health examinations before being assigned to kitchen duties.
- Sanitation levels of all storage, production, and related areas should be monitored regularly.
- Inmates should be given a reasonable amount of time within which to eat. In addition, many standards specify a maximum amount of time between dinner and breakfast (commonly 14 hours).
- Where inmate labor is used in food services operations, strict procedures should be in place regarding selection, health screening,

training, and supervision of the inmate labor force. There must be close coordination and cooperation between food services staff and jail security personnel to avoid security breaches, abuse of privileges, and related problems.

- Accurate records of served meals should be maintained.

The importance of food services in the overall operation of the jail should not be underestimated. Not only is food services an ongoing function essential to the health and well-being of inmates, but the quality of the jail's food services has a significant impact on its overall climate. Food takes on exaggerated importance in the daily lives of inmates. You can assess overall satisfaction with food services through interviews with staff and inmates, through review of inmate grievances relating to food services, and by periodically sampling meals to assess quality and taste.

The food services function in jails is handled in various ways. Meals are generally prepared in the facility by food services personnel, other jail staff, or inmates under staff supervision. Some jurisdictions contract with qualified vendors for food services. Under the terms of a typical contract, the jail makes its kitchen facilities and equipment available to the vendor. The vendor then assigns food services staff to the jail. A well-written contract details performance requirements for the vendor to ensure compliance with applicable health and sanitation standards, compliance with nutritional requirements, and overall quality of meals.

Another approach is to have some or all meals prepared offsite and brought to the jail. This approach may be more cost effective in small jails or where the jail's kitchen facilities are inadequate. In small facilities, meals are sometimes simply purchased from local food services



establishments, but this does not negate the need to have a nutritionally balanced and approved diet. Where a higher volume of meals is required, more formal arrangements may be made with food services vendors or other local institutions (hospitals, nursing homes, etc.) to prepare meals according to an established menu for delivery to the jail.

The size of the jail, its location, availability and adequacy of kitchen facilities, and costs are just a few of the factors that guide decisions as to the best approach for each jurisdiction. Regardless of the method used, you must ensure that a nutritionally balanced diet, reviewed and approved by qualified dietary professionals, is provided.

Medical and Mental Health Care

Adequate health-care services are essential to the well-being of inmates and should be viewed as a basic human right and responsibility of the jail. Health-care services not only meet the individual's needs, they also prevent the spread of disease within the facility.

Every jail should have a written inmate health-care plan that provides for the identification, treatment, and/or referral of both emergency and nonemergency medical and mental health problems. The most effective method for provision of medical and mental health services in a jail depends on factors such as the size of the jail population, physical space in the facility, availability of onsite health-care personnel, proximity of the jail to local hospitals and emergency rooms, and transportation services. You must weigh all of these factors when selecting the best option. You should work with local health-care authorities to evaluate alternatives and reach consensus on the method to use for health-care services.

Methods used to provide health care in jails vary considerably; that is, some jails provide health care at the facility, whereas others take inmates

to a clinic or emergency room. Historically, jails have suffered from an absence of proper examination or treatment space and special cells in which to house inmates who have infectious diseases, are intoxicated, or are suspected of having mental health problems.

Larger jails will probably have health-care staff as employees or under contract. Some larger jails contract the entire health-care function. In smaller jails, staff members with health-care training may work with local health authorities to coordinate health-care services in the jail.

These staff are typically jail officers or other jail personnel who, with specific training and appropriate supervision, may carry out specific health-related duties. Recent advances in the field of telemedicine present new opportunities to increase access to health-care services in jails, particularly in rural and medically underserved areas. Physicians and other medical professionals, working from remote locations, can consult with jail medical staff in regard to the diagnosis and treatment of inmates.

The role of nurses in the jail's health-care program should be clearly defined. Jail nurses should not be considered gatekeepers to medical care. Nurses should be working under the direct supervision of a licensed physician or pursuant to standing orders established by the physician.

Regardless of the size of the jail or method of delivery, special attention should be given to the following health-care functions:

- **Intake screening.** Medical, mental health, and suicide screening should be performed for every new inmate by trained jail staff or health-care professionals.

Tip for Administrators

Consult with health department and emergency service providers regarding medical practices. Review the credentials of medical staff, and research the limits of their licenses. Determine whether the medical staff are competent to provide the level of service and decision-making needed in the jail.

- **Access to health care.** All inmates should receive information on access to health-care services at intake, and jail staff should be oriented to policies and procedures concerning inmate access to health care.
 - **Sick call.** A system should be in place through which each inmate may confidentially request and receive appropriate medical/mental health services for nonemergency illness or injury on a daily basis.
 - **Administration of medications.** A written plan should assign responsibility for prescription medications, how they are to be labeled and stored, and when and by whom they are to be administered. The plan should also address the management of medications in the possession of inmates on their admission to the jail. Administration of these medications should first be reviewed by health-care professionals. Only health-care professionals or staff who have received specific training in this area should administer any medications.
 - **Monitoring drug- and alcohol-intoxicated inmates and safety cells.** Either jail staff who have health-care training or health-care professionals should directly observe inmates in detox or safety cells frequently. Detoxification in the jail should only take place under close medical supervision.
 - **Proper emergency medical aid.** Every jail should have a written emergency medical response plan that provides for access to professional health care 24 hours per day. Jail staff should be trained in first aid and cardiopulmonary resuscitation.
 - **Treatment and control of vermin-infected inmates.** Provisions should be made for treatment of vermin-infected inmates to prevent contamination of other inmates and staff.
 - **Management of communicable diseases.** Provisions should be made for screening, housing, and special management of inmates with communicable diseases.
 - **Dental services.** Provisions should be made to provide inmates with emergency and non-emergency dental care.
 - **Mental health services.** The right of inmates to appropriate medical care extends to mental health services, including crisis intervention, mental health assessments, and treatment.
 - **Medical records.** Rendered health-care services should be properly documented; however, provisions should be made to protect the confidentiality of medical records. Review record management procedures with health-care authorities to ensure compliance with state and federal confidentiality requirements, including those established under the Health Information Portability and Accountability Act.
 - **Referrals on release.** Provisions should be made to link inmates with necessary community medical and mental health services on release.
- Review state standards that establish minimum requirements for health-care services in jails closely. Both the National Commission on Correctional Health Care and the American Correctional Association have an extensive list of operational and physical plant standards relative to the delivery of health-care services in local jails (see “Recommended Resources,” page 188).



Clothing and Linens

The jail is responsible for providing adequate clothing and linens for inmates. Many jails issue facility-owned clothing for inmates held beyond initial intake. Issuance of facility-owned clothing serves the following purposes:¹

- Helps prevent introduction of unsanitary clothing, vermin, and contraband into the housing areas.
- Affords easy differentiation of inmates from visitors and staff.
- Eliminates problems of stealing clothes among inmates.
- When color-coded uniforms are used, distinguishes inmates according to housing unit, classification, or work assignment.

When facility-owned clothing is provided, the inmate's personal clothing should be cleaned as necessary and stored until release. Clothing given to inmates should be in good repair, clean, and properly sized. Inmates assigned to work details should be given protective clothing and gear appropriate to the assignment.

Individuals not released at intake must also be provided with appropriate bedding and linen. A typical issue includes a mattress that is constructed of fire-retardant material and easily sanitized, sheets, one or more blankets appropriate to the season, pillow, towel, and washcloth.

Special issues relating to the provision of clothing and linens include the following:

- Durability, fire retardancy, ease of maintenance, and security should be considered when selecting clothing and linens for use in the jail.

- The jail should maintain an inventory of clothing and linens to accommodate at least three or four times the average population to allow for laundry exchange, repair, and periods of higher demand. The clothing inventory may need to be larger for jails that use color-coded clothing for classification or housing assignment level.
- Provision should be made for mending clothing and linens to keep them in good repair. Items that are not repairable should be removed from the inventory and replaced. Items that have been defaced by inmates should be removed from the inventory and repaired or discarded.

You should visually inspect the condition and sufficiency of the clothing and linen inventory. When observing inmate housing areas, note whether clothing and linens are being used appropriately and whether inmates possess only those items issued to them. Provisions should be made to hold inmates accountable for inappropriate use (e.g., tenting bunks, covering vents) or destruction of jail-issued clothing and linens.

Laundry

To maintain adequate levels of sanitation and prevent the spread of disease, the jail must provide laundry services. Clothing, linens, and bedding of all inmates must be laundered when tendered at inmate release and before being reissued. Clothing and linens must also be exchanged for laundering on a regular schedule.

The following are options for providing laundry service:

- Contract with a local vendor who regularly picks up soiled items for laundering offsite.

¹ F.O. Jansen and R. Johns, *Management and Supervision of Small Jails* (Springfield, IL: Charles C Thomas, 1978), p. 93.

- Arrange for laundry services to be provided by another institution within the community (e.g., other jail, hospital, nursing home).
- Provide equipment and facilities for staff and/or inmate workers to launder clothing and linens within the facility.
- Provide laundry machines in the housing units for inmates to launder their own clothing and linens.

Special issues relating to the provision of laundry services include the following:

- A regular schedule should be maintained for exchange of clothing and linens to be laundered. Most jails exchange clothing and towels twice per week and bedding once per week. Inmates assigned to work details may need more frequent clothing exchanges.
- Separate distribution systems are needed for clean and soiled clothing and linens to prevent contamination of clean items.
- Personal clothing that is not allowed in the housing area should be laundered and sanitized as necessary before being placed in property storage.
- Laundry operations should be supervised by a laundry technician or a trained jail officer.
- The laundry area should be inspected regularly for safety and sanitation to ensure that it is kept clean and free of safety hazards.

Personal Hygiene and Grooming

The jail has a responsibility to provide inmates with the resources necessary to maintain personal hygiene. Proper hygiene not only promotes the health and well-being of individual inmates but helps prevent the spread of disease to other inmates and staff. Additionally, good grooming

enhances morale and the overall attitude of both staff and inmates.

A personal hygiene program should include daily care of skin, hair, and teeth. Equipment and supplies for personal grooming and hygiene should be available on a scheduled basis. Special issues to consider in this area include the following:

- Expectations for maintaining appropriate levels of personal hygiene, along with schedules and procedures for accessing hygiene and grooming supplies, should be explained in the inmate handbook and at orientation.
- Medical screening conducted at intake should identify personal hygiene issues requiring attention for inmates who are not immediately released.
- Hygiene kits containing the essentials (toothpaste, toothbrush, deodorant, comb, etc.) should be issued to inmates at intake and replaced as necessary. Feminine hygiene products and sanitary disposal receptacles should be provided for women.
- Other personal hygiene and grooming items should be available for purchase by inmates through the jail's commissary.
- Bathing or showering facilities should be available to the general population daily and special management populations at least three times per week, with hot and cold water, soap, and towels furnished.²
- Provisions should be made for hair-care services. Arrangements may be made with local barbers to come to the jail on a scheduled basis to give haircuts. As an alternative, jails may allow inmates to check out haircutting scissors and clippers for use under staff supervision.

² The logistics involved in the use of bathing and showering facilities and the higher supervision requirements for special management inmates often result in more restricted access for this population.



- Inmates may need coaching and advice from staff to meet the jail's expectations for personal hygiene.
- Shaving equipment and supplies should be maintained by jail staff and issued on a scheduled basis. Razors should not be shared by inmates for health reasons. Staff should carefully supervise the issuance and return of these items to prevent conversion to weapons or other contraband.

Visitation

Inmates must be given the opportunity to maintain contact with people outside the jail. One way to maintain this contact is through visits. Two types of visits must be accommodated: professional and personal.

Professional Visits

Professional visits typically include interviews or consultations that inmates have with professionals such as attorneys, bondsmen, investigators, probation and parole officers, examiners, clergy, and the news media. Generally, these types of visits are considered a right; therefore, substantial justification should exist before placing restrictions on them. Special issues to consider in regard to professional visits include the following:

- The interview/consultation area should offer the visitor and inmate privacy for confidential exchange of information.
- The space should allow for visual observation by jail staff to maintain security of the area but should not allow for monitoring of confidential conversations.
- Attorneys and other professionals should be permitted to visit inmates at reasonable times beyond the regularly scheduled visiting hours, particularly within the first 24 hours of an inmate's arrest.

Personal Visits

Personal visits are those with family and friends. Although the courts have generally held that inmates should be allowed to visit with family and friends within a reasonable jail schedule, jail officials generally have more latitude in placing restrictions on personal visits for security and disciplinary reasons. Special issues to consider in regard to personal visits include the following:

- The jail should have an established visiting schedule with enough hours set aside to provide visiting opportunities for all inmates in the facility.
- Visiting areas should offer a reasonable amount of comfort and privacy for both the visitor and the inmate.
- Personal visits are generally of the noncontact type; however, some facilities allow contact visits for low-security inmates such as inmate workers or for others on special occasions, at the discretion of jail officials.
- Provisions should be made for staff to supervise and manage the visiting process.
- Written rules governing visitor conduct and responsibilities should be developed and conspicuously posted for visitors to see. Some jails give prospective visitors a brochure detailing the visiting rules and schedule.
- Many jails require inmates to submit a list of prospective visitors at intake. This serves to limit visitors to those closest to the inmate and gives the jail an opportunity to check for visitors who may be undesirable for safety and security reasons.
- Accommodations should be made to receive and register visitors in the public lobby area. Seating should be provided for people waiting to visit, and lockers should be provided for personal belongings not allowed in the visiting area.

- The visiting area should be arranged so that visitors do not enter within the inner security perimeter of the jail.
- Accommodations must be made for visitors with disabilities.

Facilities for visits can be arranged in a number of ways:

- **Interview rooms:** Used primarily for professional visits and when limited individual contact visits are permitted.
- **Noncontact visiting areas:** Used when complete physical separation of inmates and visitors is indicated to maintain security and control contraband.
- **Contact visiting areas (other than interview rooms):** Used when more direct contact between inmates and visitors is permitted.
- **Areas for video visiting:** An alternative to noncontact visits that does not require inmates and visitors to be face to face in a noncontact visitation area.

Several factors affect the method and scope of inmate visitation, including the type, quality, and size of the jail's visiting area; the number of visits that must be accommodated; the availability of staff to supervise visits; the visiting schedule; standards or jail rules relating to visitation; and the administration's philosophy.

Mail and Telephone

Mail and telephone services are two other means provided by the jail for inmates to maintain contact with people in the community. Jail administrators must distinguish between privileged and nonprivileged communication. Privileged communication, whether by telephone or mail, is communication between inmates and their attorneys, the courts, probation officers, the media, and certain public officials. Nonprivileged communication is communication between inmates

and their families and friends. Inmates generally have a right to confidentiality in privileged communications. Special issues to consider in regard to mail and telephone services include the following:

Mail

- The jail should have procedures to prevent contraband from entering the jail through the mail service:
 - Nonprivileged mail may be inspected for contraband before delivery to the inmate. Courts have generally authorized the reading or scanning of nonprivileged mail by jail staff for security reasons, although some jail standards are more restrictive in this regard (check with local rulings).
 - Privileged mail that is inspected for contraband should be opened in front of the inmate but should not be read by staff.
 - Money received by inmates through the mail should be removed and credited to the inmate's account. Other items received in the mail that are not allowed in the jail should be returned to the sender, placed with the inmate's personal property, or handled as contraband. The disposition of these items should be documented.
- Mail should be processed without undue delay on the day it is mailed by the inmate or received at the jail.
- A reasonable amount of writing supplies and postage should be provided to indigent inmates. Related policies and procedures should include the agency's definition of what qualifies an inmate as indigent.

Telephone

- Inmates, except those restricted for disciplinary reasons, should have reasonable access to telephone services.



- Courts generally authorize monitoring of nonprivileged telephone calls, but this information should be posted if the jail elects to monitor calls.
- Privileged calls to attorneys and other public officials should not be monitored or revoked as a disciplinary measure.
- The costs of telephone calls may be borne by the inmate or the party called (if they choose to accept the charges), but these charges should not be excessive.

Many jails have established contracts with private vendors for inmate telephone services. These arrangements typically provide for the installation of vandal-resistant reverse-charge telephones directly within inmate housing areas. Charges are generally paid by the party receiving the call. These systems come with many features that enable jail staff to control phone availability, record or monitor calls, block inmates from calling certain parties, and enable free calls to certain parties as determined by the jail administration (e.g., the public defender's office). Most jurisdictions receive a percentage of the revenue generated by the telephone system. Check local ordinances to see whether use of these funds is regulated.

Inmate Exercise and Recreation

Active indoor and outdoor exercise is important for the physical and mental well-being of inmates and for facility security. Outdoor exercise is especially beneficial because of exposure to fresh air and sunlight and because it provides a temporary (supervised) release from confinement within the building. In addition to the health benefits, jail administrators report that the availability of indoor and outdoor exercise results in fewer operational problems such as inmate assaults on other inmates, inmate assaults on staff, damage to jail property, and lawsuits. Provision of indoor and outdoor exercise in jails is generally required by case law and standards.

Special issues to consider in regard to inmate exercise services include the following:

- Space within the jail's security perimeter should be available for indoor and outdoor exercise. The size of the space depends on the type of exercise activities accommodated and the size of the inmate groups participating in exercise at any given time.
- Sufficient time should be allotted in the daily schedule for the number of inmate groups that must exercise at separate times because of the number of inmates and/or classification. The number of exercise areas available, frequency (days per week), duration (length of exercise periods), and hours of operation are all factors to consider in scheduling exercise.
- Staff should be available to observe inmates in exercise areas.
- Sufficient amounts of equipment, in good condition, should be available for the types of exercise and recreational activities permitted. Provisions should be made for the storage, issuance, and return of equipment used during exercise activities. Provisions should also be made for instruction in the use of the equipment and supervision of its use. Malfunctioning or broken equipment should be repaired or replaced.
- Attention should be given to controlling contraband passage, escape attempts, and visual and voice contact between inmates and the public from the exercise areas.
- Clothing appropriate for outdoor exercise should be provided during cold weather.

Most jails also offer passive recreational activities to reduce boredom and idleness, including unstructured dayroom activities such as table games, reading (library services are discussed separately), radio, and television. Organized activities, which can take place in the dayroom

or other multipurpose space, include arts and crafts, educational classes, and movies or other entertainment. If the jail offers cable television, the cable company can block some channels. Movies may be rented from the local video store, but copyright law requires a license for showing them to large groups. Select movies with content appropriate for the jail's inmate population.

Funding authorities are sometimes hesitant to authorize expenditures for recreational programs, despite their value in managing inmate behavior. However, the jail's exercise and recreation services can still be established and maintained via alternative funding sources and community resources:

- Equipment and supplies can be purchased through commissary profits or inmate telephone revenue.
- Local civic groups can be encouraged to donate equipment, supplies, or funding.
- Local colleges are a good source of interns who can assist with organizing and leading exercise and recreational activities.

You may also be able to successfully solicit supplies and equipment from excess inventory of local businesses.

Library

Reading materials available to inmates are generally provided through the jail's library services. Offering the inmates a range of reading materials has the following benefits for both the inmates and the jail:

- Combats idleness and boredom.
- Provides a positive leisure activity.
- Provides information for self-help and reentry.

- Eases the stress of incarceration and overcrowding.
- Is a healthy outlet for frustrations.

Library services may be operated directly by the jail or through an arrangement with an outside entity. Many jails arrange for a local library to stock and service the jail's library. Community organizations with volunteer services may fill this role in some jurisdictions. Sources for reading materials, other than community libraries, include donations from individuals, community groups, businesses, and publishers. Professional assistance in organizing the jail's library may be obtained from the local community library, local schools, or volunteers with library experience (e.g., librarians, teachers).

Various methods are used to give inmates access to reading materials. Factors to consider when deciding which method would be best include available space, amount of inmate movement needed, and staff availability. The most prevalent methods include the following:

- **Book cart.** Carts are stocked with various reading materials and taken to housing units at scheduled times. Inmates make selections from the cart and return previously issued selections. The issuance and return of materials are recorded by the inmate worker or staff person operating the cart.
- **Housing unit collections.** Various reading materials are maintained in each housing unit. Materials in the housing unit are returned to the central library on a periodic basis and exchanged for new titles.
- **Library visits.** Inmates in each housing area go to the jail library on a scheduled basis to return books and select new ones. A library worker checks the books in and out.



Special issues to consider in regard to library services include the following:

- Procedures are needed to maintain accountability for library materials. A system similar to that used by public libraries should be used both to catalog materials and to check them in and out.
- Safeguards should be in place to prevent the transfer of contraband through reading materials brought into the jail.
- Library materials should be responsive to the interests and educational needs of the inmates.
- General library services should be available to inmates on a regularly scheduled basis. Care should be taken to prevent inmates from hoarding books.
- Library services should include access to legal reference materials. Many jails make arrangements with local or state law libraries to provide reference materials by individual request for materials not available at the facility. Legal reference materials may also be provided through online services such as Westlaw or may be available on CD-ROM. (Any inmate access to the Internet should be strictly controlled.)
- The jail should establish guidelines concerning the types of books and materials allowed in the jail. Materials that are illegal or threaten the security or order of the jail should be prohibited.
- Provisions should be made for repair of materials.

Commissary

Although not generally obligated to do so, many jails provide commissary services. The purpose of the jail's commissary is to give inmates the opportunity to purchase various items or amenities that are not provided by the jail. These items help to break the monotony of the jail diet and routine and give access to a few extras that

contribute to a more normalized environment. A commissary may also reduce jail costs in that it gives inmates an opportunity to purchase items that the jail might otherwise have to provide for free. Items that are typically available through the commissary include personal hygiene products, over-the-counter (OTC) medications, stationery and postage, playing cards, and snacks.

Generally, when inmates are booked into jail, trust accounts are established into which money in the inmate's possession is deposited. While in jail, as provided by jail policy, inmates may receive additional money into their trust account from family or friends. When an inmate makes a commissary purchase, the amount of the purchase is deducted from that account. The transaction is documented by a written request for the items, which the inmate signs, and the jail provides a receipt when the items are delivered. Some jails (generally minimum-custody facilities) allow inmates to keep some money in their possession to make purchases. Recent innovations include the issuance to inmates of debit cards that automatically record transactions when purchases are made.

Commissary operations are either managed by the jail directly or contracted to a private vendor. In very small jails, staff may simply take orders according to an established schedule and secure the items from local retail stores. Larger jails may maintain an inventory of commissary items, purchased from a wholesale vendor, at the jail or in offsite warehouses. Bulk items are purchased periodically to replenish the inventory. Also, contract vendors may use space within the jail to maintain the commissary or provide vending machines from which inmates can purchase items.

Tip for Administrators

Review the jail's commissary account. Request an audit to ensure proper accounting of all funds. If permitted, use commissary profits to purchase items for inmate benefit in the area of services and programs.

The jail commissary is a source of revenue for many jails. Often, commissary items are purchased at wholesale rates and sold to inmates at retail. Profits generated from commissary sales, if permitted by local regulations or ordinances, may be used to purchase items for the benefit of the inmates, such as exercise equipment, library books or subscriptions, program supplies, or resources for indigents.

Special issues to consider in regard to operation of the commissary include the following:

- Proper accounting of inmate trust accounts must be maintained. Effective methods must be in place to ensure accurate posting of all transactions.
- When commissary items are purchased in bulk and maintained in the jail, procedures for proper inventory control must be in place to prevent pilfering or mismanagement.
- Consideration should be given to inmates' tastes and preferences when selecting items to be available through the commissary.
- Prices charged for commissary items should not be excessive and should be similar to those charged in local retail outlets.
- Inmates should have the opportunity to make commissary purchases according to a schedule that is established as part of the jail routine.
- When possible, commissary profits should be used to purchase items that benefit the inmate population (which may be required in some jurisdictions).
- Items offered should be evaluated for potential impact on security.
- Access to OTC medications through the commissary can reduce the frequency of sick-call requests for minor issues and decrease related medication costs to the jail. Provisions should be made to prevent hoarding and misuse. Health-care authorities

should be consulted to determine the types of OTC medications to be offered and to establish parameters on their availability and use.

Commissary funds and services should be audited periodically. The audit will help identify any problems requiring immediate attention and separate a new jail administrator from possible prior mismanagement.

Inmate Programs

Programs are important to inmates, the overall management of jails, and the community. Programs keep inmates busy, establish expectations, provide goals for inmates to work toward, and help them recognize their potential for growth. Programs can teach inmates useful skills, provide continuing education, help them overcome substance abuse problems, improve their mental health, give spiritual guidance, improve parenting, help with anger and stress management, and ultimately teach them to change antisocial and criminal behaviors.

Programs reduce vandalism, violence, and other misbehavior by involving inmates in productive activities. The community benefits by having the offender leave the jail setting more prepared to live and work as a contributing member of society.

The type and scope of programs offered by a jail are driven by factors such as the jail's mission, the philosophy of the jail administration and the community, the relationship between the jail and community service providers, standards, characteristics of the inmate population, and availability of resources. Several types of jail programs are described below.

Education and Personal Development

These programs focus on competency development in various areas of basic life functioning. The assumption is that offenders, if given the



proper tools and skills, are more likely to be productive members of the community. Programs of this type strive to break what is often an inter-generational cycle of poverty, neglect, and addiction that may be factors in continuing criminal behavior. Education-oriented programs offered in jails address many areas, including the following:

- Adult basic education, including general equivalency diploma (GED) tutoring and testing.
- Literacy.
- English as a second language.
- Computer literacy.
- Health and nutrition.
- Employment services such as job seeking, career counseling, and interviewing skills.
- Parenting.
- Avoiding domestic violence.
- Life skills.
- Behavior change such as enhanced self-esteem, anger management, decisionmaking, and stress management.
- Education requirements for juveniles.

Resources necessary for education and personal development programs include teachers or group leaders, program materials, equipment, and space. Needs assessments conducted as part of the inmate classification process are a means of identifying individual needs and an indication of overall needs for the inmate population.

Many jails collaborate with the local school system or community college to provide educational programming. Local workforce development programs often have funding and resources to assist with employment-related programming. Health and social services agencies, church groups, and other local organizations may be good sources for other types of personal development programs.

Counseling

These programs help inmates deal with identified emotional and behavioral problems. Programs may include group and/or individual counseling by volunteer organizations or professional service providers. Counseling programs may focus on one or more of the following:

- Mental health issues.
- Chemical dependencies.
- Family problems.
- Spiritual needs.

Resources for counseling programs include private space for individual counseling or larger space for group sessions, professional counselors, volunteer counselors, and related program materials. Counseling needs may be identified at intake, during classification, or later during an inmate's time in custody.

Local mental health agencies are generally responsible for assessment, crisis intervention, and counseling services. These services may be provided at the jail, at the local mental health center, or both. The jail administrator should collaborate with local mental health authorities to offer these services to the inmate population. You should also look to volunteer organizations, such as Alcoholics Anonymous (AA), Narcotics Anonymous (NA), and faith-based groups, as counseling resources for the jail.

Tip for Administrators

Review the facility schedule to determine extended periods of inmate idleness. Establish and schedule programs during these times to productively occupy inmates.

Religion and Spirituality

The primary objective of religious programs in jails is to give inmates an opportunity to practice their religious beliefs. Inmates have the right to worship and have access to religious materials unless these activities are a justified threat to the security and order of the facility. Effective religious programs in jails often address many of

the spiritual, social, and personal needs of inmates beyond these basic rights.

Religious programming may include the following:

- Group worship.
- Religious instruction.
- Distribution of religious literature.
- Individual and group spiritual counseling.
- Social help to inmates and their families.

Worship services, religious instruction, and related activities held on a regular basis should be included in the jail's weekly activity schedule. Inmates should also have access to clergy, on request, for individual counseling and assistance at reasonable times.

Beyond meeting inmates' spiritual needs, religious programs can play a major role in meeting social needs for inmates and their families while the inmate is in jail and after release. Assistance may be in the form of clothing, transportation, rental assistance, child care, or similar efforts that help keep the inmate's family intact or facilitate successful reentry into the community.

Resources needed for effective religious programming include leadership, volunteers, program materials (e.g., literature, videos), funding and supplies for social assistance, and adequate space and equipment for group worship and instruction.

Leadership may be a designated chaplain or religious coordinator who plans, directs, and supervises the religious programming. A key responsibility of leadership is to recruit and train clergy and volunteers from the various faiths represented by the inmate population. A goal of religious programming in the jail is to accommodate many faiths without showing a particular preference.

Materials used in religious programming are often donated by churches and other faith-based groups in the community. Funding to purchase materials or pay for social assistance is often received from individuals, churches, and community organizations. Some jails may have a chapel or other designated space for religious programs. Where such space is not available, multiuse space, general program areas, and interview rooms may be used.

A local ministerial association or chaplaincy programs in other jails are good sources of assistance for jail administrators who want to establish or improve religious programming. National organizations such as Prison Fellowship and the Good News Jail and Prison Ministry have local offices throughout the country that partner with churches to support religious programming in jails.

Work

Work programs are a productive outlet for inmates. Inmates can learn new job skills and establish positive work habits. Compensation for some jobs can provide victim restitution or help support the inmate's family. Inmate labor can also reduce staffing needs for specific support services and may be a source of revenue for the jail. The following are types of jail work programs:

- **Work release.** Many jails offer work-release programs whereby inmates may leave the jail at scheduled times to work or seek employment. In most jurisdictions, work release is authorized for individuals by the sentencing court; however, jail officials often have a say in whether work release is granted or revoked.
- **Institutional support services.** Perhaps the most common form of work program in jails is the use of inmate labor for various jobs in and about the jail facility. Inmate workers are most commonly used to assist in food



service operations, laundry, janitorial services, and grounds maintenance.

- **Public works.** Jurisdictions may use inmates to work on projects for government or non-profit agencies. Usually, work crews leave the jail during the day to work on public projects such as construction, conservation, and renewal and return at night. Compensation generally takes the form of a reduced sentence or extra privileges.
- **Industry programs.** Jail industry programs are characterized by the production of goods or delivery of services for public or private customers. Traditional jail industry involves the production of goods or provision of services for use by the jail or other government agencies. Farming, livestock production, construction, maintenance, landscaping, conservation work, and recycling are traditional jail industries. Private-sector jail industry typically involves a partnership with a business that employs inmates to produce goods or provide services for private customers. Inmates are generally paid the prevailing wage for the work, a portion of which comes back to the jail to offset incarceration costs or to supplement victim assistance funds.

Work programs operated by the jail require various resources, including space, equipment and furnishings, tools, work clothing, protective gear, staff to coordinate and supervise inmate workers, training, and expertise. Fortunately, many low- or no-cost approaches are available to secure needed resources that make work programs feasible. Work programs can be accommodated in existing space in the jail by sharing multiuse areas or converting underused space for industrial uses. Work programs can also use space adjacent to the jail or even offsite. Equipment and materials for work programs that cannot be provided by the jail may be secured through donations, surplus property, salvage, or loan.

Businesses, professional associations, and local organizations are usually willing to lend their expertise and support.

Program Resources

The following are means of securing needed resources to organize and deliver programs in jails:

- **Jail staff.** The staffing plan may include positions for coordinating and/or delivering program services to inmates—for example, program coordinator, counselor, teacher, chaplain, or caseworker.
- **Professional service providers.** The jail may engage professional provider organizations (e.g., community mental health agencies, schools, community colleges, employment service agencies) or individuals to provide program services.
- **Volunteer organizations.** Many volunteer organizations within the community serve people with special needs (e.g., AA, NA, faith-based groups, civic groups).
- **Individual volunteers.** Volunteers can include student interns, retired professionals, business people, and others with a commitment to serve.
- **Private business and public works staff.** Private-sector or public works employees may lead the various jail industry programs.
- **Inmates.** Inmates are a great source of labor for jail programs, either directly or by doing work that enables other jail staff to have more time to lead program activities.

Tip for Administrators

Survey the community to identify resources that could be used to enhance jail services and programs. Develop cooperative agreements with other local government agencies and community service providers (e.g., health care, mental health, employment, substance abuse) to provide services in the jail.

Working relationships with provider organizations are typically established through contracts, cooperative agreements, or similar means.

Chapter 3, “Jail Administration,” describes various approaches for establishing community partnerships. Many jails have formalized methods of recruiting, screening, selecting, training, and managing volunteers for a host of duties within the jail.

The following are special issues to consider in the provision of inmate programs in the jail:

- Establishing a plan for inmate programs that conforms to the jail’s mission and philosophy and appropriately addresses inmate needs.
- Establishing community partnerships to augment jail programming and provide a link to the community for inmates after release.
- Treating all religions equitably in the provision of religious programs.
- Making accommodations for inmates with disabilities to participate in inmate programs.
- Applying workplace safety laws and regulations to inmate work programs.
- Having clear policies and procedures governing the selection, training, and supervision of volunteers and contract staff working in the jail.
- Scheduling programs.
- Determining who will deliver the programs.
- Determining who can participate.

The availability of an array of services and programs that respond to the interests and needs of inmates is a critical element of effective jail operations. Attention to this area can lead to improved behavior and a more relaxed environment for both inmates and staff.

Recommended Resources

Budget Guide for Jail Administrators. Part 3: Beyond Budget Allocation—Sources of Funding and Services. M.D. Martin, National Institute of Corrections, 2002.

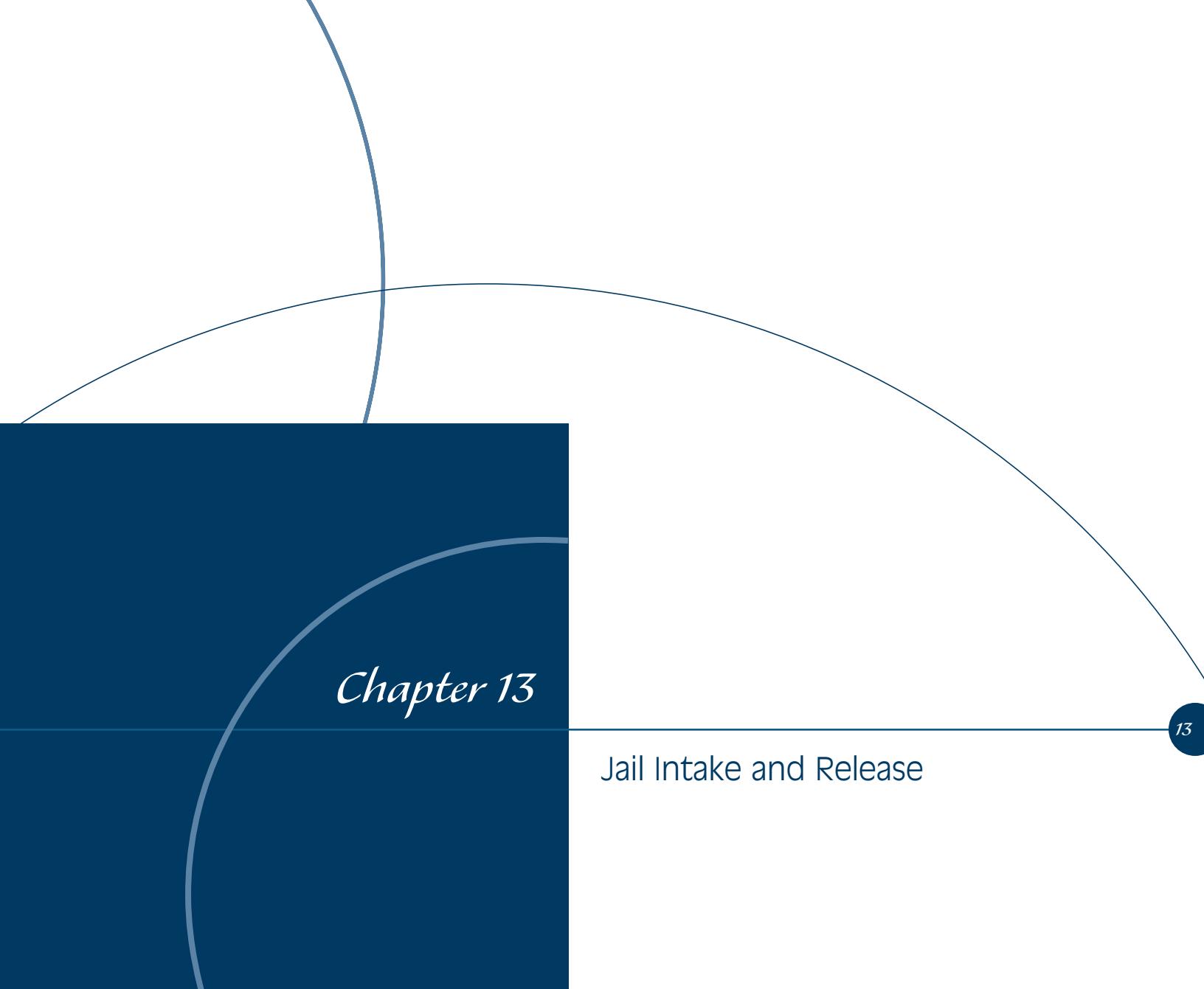
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Management and Supervision of Small Jails. F.O. Jansen and R. Johns, Charles C Thomas Publishers, 1978.

Performance-Based Standards for Adult Local Detention Facilities, 4th ed. American Correctional Association, 2004.

Standards for Health Services in Jails. National Commission on Correctional Health Care, 1996.



Chapter 13

Jail Intake and Release



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Jail Intake and Release

Overview

The intake and release processes are critical to the safe operation of the jail. Intake and release are functions that clearly distinguish jails from prisons or other correctional settings. They are characterized by the volume of admissions and releases, the physical and mental condition of arrestees at the time of admission, their behavior, the time of day they are admitted, their length of stay, and their legal status.

Although prison intake units are typically busiest during normal business hours, receiving sentenced inmates of one gender with known backgrounds who are in reasonably good condition, the jail intake unit operates 24 hours a day, 7 days a week, and handles an extremely diverse population. Arrestees presented for jail intake may be under the influence of drugs or alcohol, be mentally ill, or have infectious diseases, and their behavior may range from violent to subdued and withdrawn. Most are being admitted prior to trial for charges ranging from minor misdemeanors to serious felonies. Although some arrestees end up being detained in jail for lengthy periods, most are released within 1 or 2 days.

The multitude of factors surrounding intake present unique management challenges that may sometimes require the use of force and restraints or placement into special holding (e.g., behavior, potential for suicide, spread of disease, withdrawal). Legal issues such as access to the

courts, access to health care, and strip searches also affect the intake process. In addition, several steps, such as identification, securing property, classification, and medical screening, are involved in preparing arrestees for placement in the general jail population.

The release process is typically less intense but no less important than the intake process. The release process should include positive identification of the inmate, a check for holds or detainees, victim notification, medical referrals for inmates with special needs or conditions, and return of property.

This chapter outlines the key steps of intake and release, including the design of facility intake and release areas and the use of technology. It also covers special issues related to intake, such as suicide, infectious disease control, intoxication and withdrawal, use of force, and access to health care.

Legal Requirements and Standards

1. Constitutional law requires that inmates:

- Be legally committed to the jail.
- Be provided a safe environment and protected against excessive use of force.
- Be free from unwarranted searches.
- Have access to health care.

2. Professional standards, such as those of the National Commission on Correctional Health Care (NCCHC)¹ and American Correctional Association (ACA),² are relevant to policies and procedures for intake and release.
3. Most state jail standards address intake and release, as do the standards of the Bureau of Indian Affairs for Indian country jails.
4. Jail staff must be trained in all legal requirements and enforce the requirements.
5. State laws require notification of victims when certain inmates are released. State laws also require reporting of inmates with certain illnesses or diseases to public health authorities.

Facility Design and Technology

Many older jails are not designed to accommodate the intake and release functions. As problems relating to intake and the importance of the process have become more fully understood, much attention has been given to the design of intake and release areas in newer jails. Intake areas in newer facilities generally include a self-contained intake unit with open seating areas for cooperative arrestees and holding cells where staff can separate potentially dangerous or special-needs arrestees from others. These units also typically include functionally designed workspaces and related technologies for the various processes associated with intake, such as medical screening, identification, searches, property control, showers, pretrial release assessment, classification, and release. (See chapter 4, “Jail Facilities,” for details on design elements of intake and release areas.)

Advances in technology have also had a significant impact on the intake and release processes. Equipment for electronic fingerprinting (providing almost instantaneous identification), video imaging (to produce booking photos, identification cards, and wristbands containing barcodes and photos), and screening (for evidence of drug or alcohol use) are becoming commonplace in jail intake areas. Automated booking systems streamline the collection of data and provide access to historical information that assists officers in identifying potential risks. Many automated systems also include objective screening tools that aid in assessing inmate risk and need. Newer generation restraint equipment and suits that protect against body fluids are often used at intake to increase safety for both inmates and staff.

Intake Process

Jail administrators should establish clearly defined policies and procedures to guide the intake process. The key elements of the intake process are described below in their usual sequence.

Receiving Inmates

The intake area should have an entrance sallyport, separate from the public entrance, where the arresting officer and arrestee enter the jail. Most new jails have a drive-through sallyport, where the officer drives through a locked gate, and parks. The officer is required to secure his or her weapons either in a gun locker or the trunk of the squad car, if there is no gun locker, before removing the arrestee from the squad car. Weapons are firearms (including backups), chemical sprays, pocketknives, and anything else that could be used as a weapon. The intake

¹ National Commission on Correctional Health Care, *Standards for Health Services in Jails* (Chicago, IL: National Commission on Correctional Health Care, 1996).

² American Correctional Association, *Performance-Based Standards for Adult Local Detention Facilities*, 4th ed. (Lanham, MD: American Correctional Association, 2004, including supplement).



officer should confirm that weapons have been secured. The arresting officer can then remove the arrestee from the vehicle and bring him or her into the jail.

Ideally, the entrance to the intake area from the sallyport should include a safety vestibule where the arresting officer and the intake officer can perform a frisk search and transfer restraints before bringing the arrestee into the intake area. If the jail does not have a drive-through sallyport, jail and law enforcement officials should develop and agree on procedures to be used for safe and secure transfer of the arrestee from the squad car into the intake area of the jail.

If the arrestee is combative, the arresting officer should notify jail officers before arriving at the jail to give them a chance to prepare for the possible need to use force and for immediate placement in a holding cell or appropriate restraints.

Legal Commitment

The intake process should include procedures for verification of arrest and identification of the arrestee. The arresting officer should present a confinement order containing a legal charge when bringing an arrestee to the jail. The intake officer should be able to identify valid charges, have a list of codes and statutes that apply in the jurisdiction, and know how to read the statute book. Failure to verify a legal charge may result in an illegal admission, leaving the jail potentially liable for wrongful confinement.

Each state has laws defining who may be detained in the jail. In some states, juveniles are not allowed to be confined. In others, intoxicated individuals may be confined temporarily for protective custody. Admissions criteria established in intake policies and procedures should be consistent with applicable state laws and standards.

The arresting officer normally brings the arrestee to the jail, but sometimes a different person

serves as the transporting officer. In the latter case, the transporting officer should have a citation signed by the arresting officer. Parole or probation violators brought to the jail should normally be accompanied by a hold order signed by the parole or probation officer or a commitment order from the court.

Some individuals are sentenced to the jail and brought directly from court. They should be accompanied by proper sentencing documents. Some may be given deferred sentences, and yet others may turn themselves in at some time in the future. To accommodate these situations, the intake officer must have access to the proper charging documents.

Finally, the intake officer must ensure that the officer bringing the arrestee to the jail is a bona fide law enforcement officer by requiring the officer to produce proper identification. Failure to do so could result in an illegal commitment or leave the jail open to an attempt to breach security (e.g., an escape attempt).

Medical Clearance To Accept

Arrestees brought to the jail should be assessed by jail medical personnel or trained intake officers to identify any obvious injuries or medical conditions that may need care or treatment before the jail accepts custody. Most jails, even those with full medical programs, are not equipped to treat serious medical conditions. Arrestees should not be accepted for admission if they are unconscious, undergoing severe withdrawal, excessively intoxicated (many jails do not accept arrestees with a blood alcohol level of 0.25 or higher), or reacting to existing acute conditions or if they have head injuries, obvious

Tip for Administrators

Review policies and procedures for intake and release to determine if they meet the requirements of the standards. Consult with legal counsel and risk managers to assure that essential life, health, safety, and constitutional issues are adequately addressed in policies and procedures.

broken bones, or open and gaping wounds. Policy should require that these arrestees be taken by the arresting officer to a hospital for treatment. Subsequent admission of the arrestee to the jail should be only on written medical clearance from a qualified medical authority that indicates the arrestee is fit for confinement.

When arrestees are brought to the jail with less serious medical conditions and jail medical personnel are available, the intake officer should ask the medical personnel to determine whether immediate medical treatment is needed. Based on the assessment, jail medical personnel may provide treatment, defer treatment to scheduled sick call, or recommend that the arrestee be taken to the hospital.

Initial Searches

Before arrestees are admitted to the intake area, the intake officer should pat- or frisk-search them either in the sallyport or in a security vestibule. Intake officers periodically find weapons and other contraband missed by arresting officers during their field search.

Medical Screening

Medical screening at intake is an important function intended to give arrestees access to health care. Many jails defer intake medical screening to a later point in the process. If the screening is deferred, it is important to conduct an initial medical clearance before accepting the arrestee into the jail.

Many arrestees come to the jail with infectious diseases, mental illness, and other chronic or nonemergent medical conditions or injuries. The receiving screening process should identify these problems so that conditions or injuries may be treated and those who cannot be placed in the general population can be properly housed and supervised.

Most professional and state standards permit either qualified medical personnel or trained officers to perform medical screening by the following methods:

- Observation of the arrestee.
- Dialog with the arrestee.

The medical screening should be documented on forms that are specific and adequate to identify injuries, medical conditions, or signs of drug use. Deferment of a complete medical screening is accepted practice when the arrestee is non-communicative. However, the observation part of the form should be filled out, and the arrestee should be placed on heightened observation until he or she can answer questions.

In jails without medical staff, officers should be trained to recognize potential medical problems. Any unusual conditions noted during screening should immediately be referred to the supervising officer for possible heightened observation or to transport the arrestee for emergency treatment. Information from the screening form should be used by medical staff, classification officers, and booking officers in the temporary or permanent housing of inmates.

An essential part of the medical screening process is an assessment for suicidal indicators. Suicide is a leading cause of jail deaths, can happen in a very short time, and often occurs shortly after intake begins. When assessing suicide, the officer should (1) ask questions regarding the arrestee's current suicide ideation or plans, history of suicide, and mental health status (depression and medications), and (2) observe behavior such as crying or hopelessness and signs of past attempts. Many medical screening forms in general use are inadequate to assess suicide potential. The NCCHC standards manual includes several suicide screening forms appropriate for



use in the jail. (See chapter 11, “Special Management,” for more information on the care, housing, and supervision of inmates with special needs.)

An emerging area of scrutiny by the courts is the screening for mental illness. Assessing the degree of serious mental illness and deciding how to house and supervise these inmates present a dilemma for intake officers and medical providers, in that most jails do not have qualified mental health personnel on duty at all times. Often, inmates with mental illness have compounded their condition with drugs or alcohol. In some cases, the mental health condition of an arrestee may necessitate emergency hospitalization and treatment. In others, the arrestee may need to be isolated, observed closely, and referred to a mental health provider as soon as possible.

Inmate Property and Money

All personal property should be collected from the arrestee, along with any property the arresting officer previously confiscated that was not retained as evidence. Complete the procedures for the inventory and disposition of the arrestee’s property in the arrestee’s presence, identifying items that are accepted and those that are to be released to the arrestee’s family. Accepted property should be processed as follows:

- Identification on a form.
- Identification by item (including a description, e.g., a yellow ring, a red stone, using brand names for items such as watches).
- Description of condition.
- Listing of items in wallet and amount of money (counted in the presence of the inmate).
- Packaged in tamperproof bags/envelopes and stored in a secure storage area.

The intake officer and arrestee should both sign a receipt for all confiscated property and money. The jail should keep a copy of the receipt and give one to the arrestee.

The jail should have a secure storage area for inmate property and procedures for limited and recorded access to the area. Neither inmates nor officers should have access to the area without legitimate reason. The storage area should be well ventilated. A washer and dryer should be available to clean soiled inmate clothing.

A careful and thorough inventory of property, a secure property room, and signed receipts are the best means to ensure that property has been properly identified and preserved. A clear chain of custody protects the jail from false claims regarding stolen, switched, or missing property.

Booking Form

The identity of the arrestee and essential information regarding personal data and pending legal matters must be documented. Most jails use computer-generated forms that are quite thorough. However, when using such forms, you must ensure that the data requirements for the software program meet the jail’s information needs and the requirements of the jurisdiction. If not, you must capture the information in another manner and on a separate form.

The following are the types of information usually recorded:

- **General data:** e.g., date, time, case number, and booking number.
- **Arrestee information:** e.g., name; date of birth; social security number; driver’s license state and number; Federal Bureau of Investigation number; address; telephone numbers; employer, if known; occupation; height, weight, ethnicity, hair and eye colors, scars,

- marks, and tattoos; next of kin; and emergency contact.
- **Court information:** e.g., charged crime, arresting officer, agency name, bail type and amount, court of jurisdiction, warrants, detainers, and special instructions of the court.

Identification: Photos and Fingerprints

All arrestees should be photographed and fingerprinted to establish and confirm their identity. Photographs are normally taken on intake to record the identity associated with the booking name and the physical condition of the arrestee's face at the time of booking. Many jails also photograph distinguishing marks, scars, and tattoos of arrestees. Photos are placed in the inmate's main file and classification and medical files and on identification badges or wristbands. Many jails place photos on housing unit "status boards" and other locations where an inmate's file is kept.

Many jails now have automated fingerprinting systems with a direct link to their state's criminal justice information system (CJIS). Some states provide the equipment at no cost. The benefit of such a system is almost instantaneous verification of identity, aliases, and other information, including criminal record.

Checking for Warrants

Once an arrestee is identified and fingerprinted, intake officers should check for wanted notices or warrants from other jurisdictions to hold the arrestee on other charges should they exist. These checks are usually done by submitting names and/or aliases to the state CJIS or law enforcement data system (LEDS), which is a repository of state wanted notices and warrants. Most state information systems are tied to the National Crime Information Center (NCIC), and a single inquiry is all that is necessary. If your state is not connected to NCIC, a separate inquiry may be needed.

If warrants or wanted notices exist, the agency or court issuing them must be identified. The jail should have procedures for contacting the appropriate agency for notification and requesting official written authorization to hold the arrestee. Procedures should also dictate time limits for a response by the requesting agency and extradition and/or transport requirements.

Telephone Calls

The intake area should have telephones available for arrestees who need to contact family or friends to notify them of their whereabouts and to possibly assist in their release. Additionally, arrestees may need to contact bail bondsmen or attorneys.

Telephones may be viewed as a convenience, but they are related to an arrestee's right of access to an attorney or the court for purposes of bail. Telephones that allow only collect calls are used in many jails; however, some jurisdictions give arrestees access to free telephone calls at intake to facilitate their efforts to secure bond. Telephones may be located in a reception area of the jail or in holding cells, and their use should be controlled by policies and procedures. Officers should supervise the telephones and their use, especially if the telephones are in holding cells, to ensure that all arrestees have equal access to them and that they are not vandalized or used as weapons.

Pretrial Release Eligibility

In most cases, arrestees will be eligible for release through bond or on their own recognizance. Bond or recognizance procedures vary greatly among states. Some states mandate bond schedules set by law, others have bond schedules approved by the local court, and yet others have a magistrate system in which bond is set by a court official on a case-by-case basis.



Many states and counties have established pretrial release programs where court officials establish criteria for release on one's own recognizance or under some type of community supervision. In some jurisdictions, release can be automatic or immediate if certain criteria are met. In others, an intake profile is developed and presented to the court the next business day, and release on recognizance is either granted or denied by a judge.

Followup Search, Dress-Out, and Issue

When arrestees are not going to be released shortly after the booking process is completed, jails normally dress out the arrestee in jail clothing. This process should be controlled by policy, including instructions as to what property the inmate is permitted to take into the general population area. The process generally includes a thorough followup search of the inmate, a shower, exchange of civilian clothing for inmate uniform, and issuance of a hygiene kit and jail property including bedding, linens, and a mattress. The inmate should sign a receipt acknowledging acceptance of jail property and the responsibility to reimburse the jail for the cost of any items that are not returned. If inmates will be strip searched or observed in the nude during the shower and clothing exchange process, the jail administrator should ensure that procedures adhere to the "reasonable suspicion" standard described in the section on inmate searches in chapter 8, "Jail Security, Safety, and Emergency Preparedness."

Most jails delouse inmates only when it is obvious that the inmate is infested. Procedures should address delousing, noting which materials and what quantities are to be used for effectiveness. If an inmate has evidence of infestation, medical staff should assess the situation and be involved in the delousing process.

Classification and Orientation

Classification and orientation are key elements of inmate behavior management and are initiated at intake for arrestees unable to secure release during or at the completion of the intake process. These elements are described in further detail in chapter 9, "Inmate Behavior Management."

Management of Inmate Behavior

Effective supervision and management of inmates at intake are critical because this period of incarceration presents the greatest potential for injury or harm to staff and arrestees due to the instability or uncertainty of the conditions or the circumstances in which arrestees find themselves. The intake period is extremely stressful for arrestees and is often compounded by their physical and mental conditions when they arrive at the jail. Typically, officers should anticipate arrestees to come into the jail with one or more of the following conditions:

- Drug or alcohol intoxication.
- Withdrawal symptoms.
- Injuries resulting from arrest, accidents, or fights.
- Malnutrition.
- Mental illness or suicidal tendencies.
- Infectious diseases.

Arrestees, fearful of their situation and the immediate future, may be uncooperative, angry, and violent. These issues and conditions must be effectively managed during the intake process. A well-planned intake process provides for the following:

- An adequately staffed intake area.
- Appropriate equipment to perform intake functions and handle issues that arise.
- Adequate staff training regarding the intake process.

- Adequate staff training in interpersonal communications to deal with police officers and arrestees in stressful situations.
- Adequate staff training in universal precautions for infectious diseases and use of force.
- Functional spaces for booking, searches, property receipt and storage, identification, classification, medical screening, and orientation.
- Enough holding cells to separate violent arrestees.
- Cells or waiting areas for nonviolent and cooperative arrestees.
- Observation cells for suicidal arrestees and those under the influence of drugs or alcohol.
- Access to negative-pressure cells to house arrestees with airborne infectious diseases.

Use the intake process to set the tone for the inmate's stay in the facility. The expectations established during the process, how they are conveyed, the level of professionalism displayed by officers, and the overall environment can positively influence arrestees' behavior during intake and for the duration of their stay in the facility.

People typically respond to their environment. Calm and professional staff create an environment that has a calming effect on most arrestees. Such demeanor conveys an impression that staff are in charge and fully capable of successfully responding to any circumstance.

Summary

Intake is a critical area of jail operations where numerous factors converge, presenting staff and inmate safety issues that can lead to injuries, sickness, and death if mishandled. State, ACA, and NCCHC standards, and the checklists in the appendix of this guide, are primary resources that jail policymakers can use to conduct self-audits to identify areas of deficiency related to

policy, operations, and training. Self-audits result in improved safety for both staff and arrestees and may reduce the likelihood of liability from negative outcomes when serious incidents arise.

Release From Jail

Whereas the intake process must address life, health, safety, and legal issues, the release process is typically less intense, although not less critical. The release process may occur shortly after the intake process if an arrestee secures pretrial release, or it may occur much later, at the end of a sentence or on disposition of the arrestee's case. Inmates are released from jail for various reasons, including bail, sentence completion, dismissal of charges, a finding of not guilty, transfer to prison, release to another agency, and transfer to a hospital.

For arrestees, the release process is routine, reversing the intake process by identifying the inmate, verifying that no holds or detainers exist, returning property, and securing the jail-issued property that was given to the arrestee at intake. For inmates who have spent more than a short time in the jail, the process may be more complicated because medical and mental health issues and certain legal issues that require attention may be involved. Regardless of the length of time an inmate spends in jail, however, the following issues need to be addressed:

- Legal discharge documents and verification of identity.
- Checking for holds or detainers.
- Return of property and money.
- Medical issues.
- Victim notification.
- Prerelease requirements.
- Transportation for the released inmate.
- Release document.

These issues are discussed in the following sections.



Legal Discharge Documents and Verification of Identity

Some form of official approval must be secured before any inmate can be released. The jail officer must be certain of three circumstances:

1. **The release is official and properly executed.** That is, the document is legal and signed by an authorized person. Sample documents should be available in the release area so that officers can check the legality and thoroughness of documents. The availability of sample signatures of judges and clerks is also advisable. When in doubt, officers should ask a supervisor to check the release document for correctness.
2. **The identity of the person to be released is confirmed.** Properly identifying an arrestee or inmate is an important part of the release process. Although release of the wrong person is rare, failure to properly identify the person may result in tragic consequences at the worst and embarrassment at the least. In every case, the inmate should be identified by photo and by asking the inmate questions regarding personal information such as date of birth and social security number.
3. **The identity of the person to whom the inmate is to be released is confirmed.** Verification of officials should include examination of credentials. Instruct staff to ask a supervisor to verify the credentials if they are in doubt.

Checking for Holds or Detainers

The file of any person to be released from jail should be checked for active holds or detainers. Although a person may not have had any holds when arrested and initially detained, holds may subsequently have been placed. The jail should develop a system to identify these holds and see that releases are not made without checking for them.

Return of Property and Money

Return of an inmate's property and money can be costly for the jail if either has been lost, damaged, or improperly identified at intake. The importance of clear procedures for receipt, storage, and return of inmate property, including the inmate's acknowledgment of the return of the property, is discussed above. Procedures for lost property should be established in conjunction with the county's risk management section, and methods for filing claims should be explained to, and acknowledged by, the inmate before release.

Tip for Administrators

Verify that release procedures address issues related to medical notification, victim notification, inmate identification, review for holds, and receipt, storage, and return of property.

The jail's funding authority should develop and approve procedures for the handling of inmates' money, including the establishment of trust accounts to track receipt and disbursement of funds while the inmate is in custody. Procedures should also be established for inmate return of jail property and for charging inmates for missing or damaged property.

Medical Issues

If an inmate received medical or mental health care and treatment at the jail, the law may require specific reporting—especially when infectious diseases are involved. In most states, the jail is required to report infectious diseases to the local health department, both when the disease is identified and when the inmate is released.

NCCHC standards recommend even broader communication regarding released inmates, consistent with privacy requirements—specifically, that inmates identified as having long-term or serious conditions such as psychiatric illness, hypertension, diabetes, epilepsy, communicable

Tip for Administrators

Develop a checklist of all critical areas in intake and release, and assess the level of compliance with your jail's policies and procedures.

diseases, urinary tract infection, serious trauma, pregnancy, or terminal illness be referred to clinics or community health resources. For some of these inmates, special arrangements may be warranted, including case-management referral or provisions such

as mental health appointments and followup. NCCHC standards also recommend that only a physician should be authorized to determine the need for a medical discharge plan to facilitate the inmate's transition to the community and subsequent treatment.

Another consideration is providing a released inmate with medications for illnesses or mental health conditions that have been treated in the jail. In the absence of legal requirements, best practice for the jail may be to provide medications for a short period until the person can access medical care in the community. The jail administrator should check jurisdiction requirements to determine whether this is a practice that is supported by the jail's medical provider.

Victim Notification

Another essential part of the release process is victim notification. Most states now require the jail to notify victims when certain individuals are released from jail. The jail should have a "tickle" or "red flag" system for identifying victims and procedures for notifying them. Automated systems can facilitate this notification in some jurisdictions. In the absence of such systems, the jail must develop procedures for victim notification and a system of documentation to verify that notification has been made. The system should also provide for alternative methods of notification when the victim cannot be reached directly.

Prerelease Requirements

Releasing officers should make a final administrative check of the inmate's file to ensure that all requirements of sentencing have been met. They should also confirm that any administrative charges levied on the inmate, such as copays for medicine, costs of booking, daily charges for work release, and transport fees, have been paid.

Transportation for the Released Inmate

If the jail is in a residential neighborhood or an isolated rural area with no public transportation, procedures should be developed for safe transport to urban areas.

Release Document

A release document or checklist should be completed and placed in the inmate's file. The release document verifies the following information:

- Inmate name and number.
- Personal and legal data collected at booking.
- Case number.
- Release time and date.
- Method of release.
- Person to whom the inmate is released (if applicable).
- Check number and amount for returned money.
- Released property.
- Medical release.
- Medications and medical appointments.
- Time and method of victim notification.
- Time and method of verification of holds and detainers.

Summary

A well-planned release process provides for the safe, legal return of inmates to the community. Discharge planning, referral to community



resources, and victim notification are becoming increasingly important elements of the release process. Attention to these aspects of the release process and those that are more routine will enhance the safety of the community, improve prospects for the inmate, and reduce the jail's exposure to liability.

Special Considerations at Intake

The last section of this chapter addresses several issues that should be given special consideration at intake. The potential for problems in these areas is much greater during the initial period of custody. The intake process must provide for adequate management of these risks and appropriate responses when incidents occur.

Suicide

Suicide is a leading cause of death in jails, which is at least partially explained by the high percentage of arrestees who are mentally ill and depressed, often compounded by intoxication. Most jail suicides occur shortly after arrest, the first 72 hours being the most critical.

The jail should have a suicide identification and management plan to detect potentially suicidal arrestees and supervise them while they are in crisis and until mental health providers establish a treatment and supervision plan for them. The suicide identification and management plan should include the following elements:

- The arresting officer should be required to fill out a form regarding any injuries from suicide attempts or statements about suicide.
- Any inmate identified as suicidal should be placed on documented **constant observation** (with staff positioned where they can continuously monitor the suicidal inmate) until he or she is seen by a mental health authority.

Subsequent observation routines and decisions to remove the arrestee from suicide watch are determined by the mental health authority.

- A suicide observation cell, free of protrusions, should be used and inspected for any items with which the arrestee may harm himself or herself.
- The arrestee should be given a commercially available suicide gown or blanket that cannot be destroyed or torn. This type of garment offers dignity while denying any clothing with which the arrestee can inflict harm.
- Mental health providers should be under contract to assist with suicide identification and prevention.
- A plan should be in place to deal with suicides in progress. Training in cardiopulmonary resuscitation and first aid is essential for first responders. Implements should be on hand to cut down inmates who hang themselves. Staff should never preserve the crime scene rather than try to save an arrestee attempting suicide.
- Each case of suicide and attempted suicide should be documented and investigated to determine whether policies were followed and whether they need to be revised.

Officers must be trained to identify suicidal signs and symptoms. Local medical or mental health providers can often give such training. Additionally, a complete training curriculum in suicide prevention³ is available through the National Institute of Corrections Information Center. All training should be documented.

Intoxication and Withdrawal

Many arrestees come to the jail under the influence of drugs, alcohol, or both, with varying

³ J.R. Rowan and L.M. Hayes, *Training Curriculum on Suicide Detection and Prevention in Jails and Lockups*, 2d ed. (Baltimore, MD: National Center on Institutions and Alternatives, 1995).

degrees of intoxication. These arrestees are unpredictable and need close observation. In many cases, the intoxication may mask other medical problems such as head injury or diabetic shock. Letting the person “sleep it off” with little supervision and observation may result in death or serious injury.

The jail administrator should consult with medical providers to develop policies and procedures for identification, housing, observation, and treatment of arrestees under the influence of drugs or alcohol. The procedures should address the following issues:

- **Rejecting excessively intoxicated individuals.** The policy of many jails is now to refuse to accept arrestees whose blood alcohol level is 0.25 or higher, unless the arrestee has received medical clearance, because such individuals are subject to withdrawal. Staff must be aware that severe alcohol withdrawal is the abstinence syndrome with the highest incidence of death and that most jails are inadequately equipped to treat withdrawal. Management of severe withdrawal should only be carried out in a licensed medical facility. The jail should have portable breath detectors to test arrestees.
- **Prohibiting the “medicating” of arrestees in withdrawal by giving them alcohol.** This procedure is illegal.
- **Developing protocols for observing and caring for moderately intoxicated arrestees or those undergoing moderate withdrawal.** If symptoms worsen, the arrestee should be transported to a hospital.
- **Establishing procedures for observation.** Individuals under the influence of drugs or alcohol should be under heightened and documented observation. Checks should be made at least every 15 minutes, preferably by available medical staff. Individuals under heightened supervision should never be placed in an upper bunk.

Infectious Diseases

Arrestees with infectious diseases present a challenge to staff in preventing the spread of disease and maintaining a healthful environment. Many types of infectious diseases are caused by illicit use of drugs and risky behavior.

Any program dealing with infectious diseases should be coordinated through the local health department or other appropriate medical authority. At minimum, the following issues should be addressed through policy:

- Arrestees with infectious diseases must be housed separately from the general population.
- Negative-pressure cells (i.e., cells where the air is not recirculated but vented to the outside) should be available. Older jails, and even some new jails, do not have negative-pressure cells. In facilities without these cells, arrestees with communicable diseases such as active tuberculosis should be treated in a hospital or other facility where negative-pressure rooms are available. Tuberculosis can be fatal to staff and arrestees with autoimmune deficiency syndrome or other diseases that can deplete the immune system.
- Staff and inmate workers must be trained in universal precautions.
- Blood and body fluids must be cleaned with bleach solutions.
- Hand-washing facilities must be readily available.
- Plastic gloves must be discarded after each use.

Use of Force and Restraint Equipment

The potential for use of force, including use of restraint equipment, during intake is greater than at any other time during custody. The principles outlined in chapter 8, “Jail Security, Safety, and Emergency Preparedness,” should govern the use



of force and restraints at intake. Booking officers must be thoroughly trained in policies and procedures and be competent in using approved methods and techniques. Approved restraint equipment should be pre-positioned and readily accessible in the intake area of the jail.

Medical Services

The provision of medical services at intake is important because many arrestees come to the jail with medical problems. Medical judgment should never be countermanded by security concerns or decisions. Although this principle is longstanding, medical and security staff still must collaborate in their shared concerns. For example, only qualified mental health or trained medical personnel may remove an arrestee from suicide watch. Jail officers, however, should give medical staff any information they have gathered from observing the arrestee.

A problem, especially with small jails, is that most do not have medical personnel on staff. An arrestee with a medical problem may have to be taken to an emergency room or a doctor's office. Although this is accepted practice, the decision as to whether to access medical care in the middle of the night places a considerable responsibility on an officer who may be on duty alone. Nonetheless, the officer cannot be a gatekeeper when serious medical needs present themselves. A solution may be to contract with a hospital or on-call physician with medical staff who can be available to answer the officer's questions around the clock.

Recommended Resources

“Jail Intake: Managing a Critical Function. Part One: Resources.” T.A. Rosazza and W.F. Cook, *American Jails* 13 (1): 35–37, 1999.

“Jail Intake: Managing a Critical Function. Part Two: Intake Task Analysis.” T.A. Rosazza and W.F. Cook, *American Jails* 13 (2): 35–41, 1999.

Jail Officer’s Training Manual. National Sheriffs’ Association, 1990.

“Jails and Lockups: Don’t Be Caught Off Guard.” T.A. Rosazza, *Public Risk* 5 (7): 8–10, 1991.

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“A New Strip Search Paradigm.” R. Sabbatine and D. Leach, *American Jails* 10 (5): 39–42, 1996.

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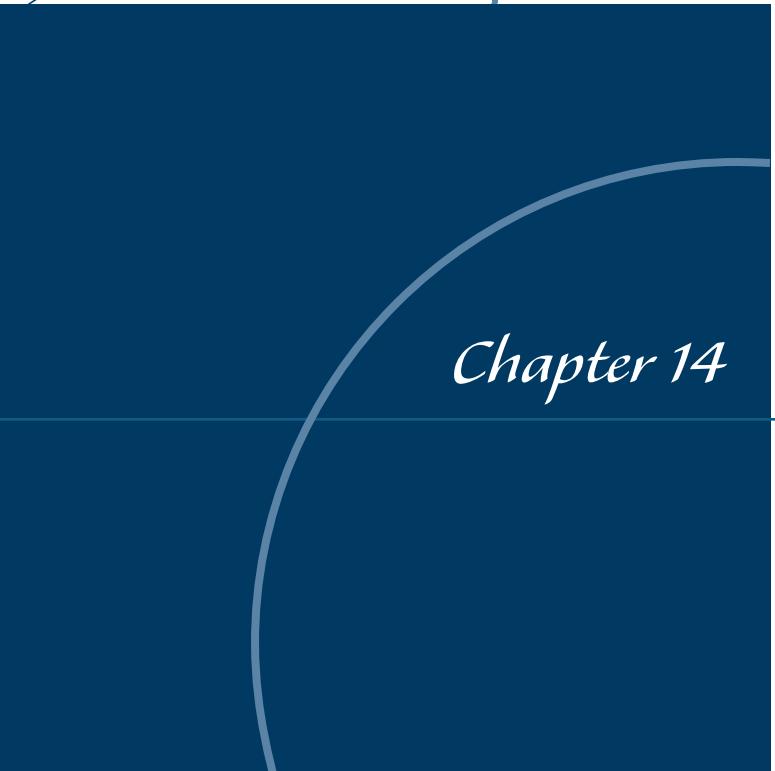
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Chapter 14

Getting Started on the Job



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Overview

This final chapter is oriented toward the new jail administrator, although many of the concepts may be of interest to veteran administrators who want to improve the effectiveness of their jail's operations. It includes steps that new administrators can take to get to know their jail, understand how it operates, and identify any potential problem areas. This chapter also describes how to develop an action plan to ensure that priority issues are addressed in the first few months. Lastly, the chapter includes advice from veteran jail administrators on how to get a positive start on the job.

Newly appointed jail administrators should find the information and assessment tools in this document particularly useful in getting established in their new position. These materials, and the checklists in particular, will create a structure for the listening and learning that new administrators must do during the first few months on the job to get the “lay of the land” and make an accurate assessment of priority issues.

Learning About the Jail

Newly appointed jail administrators learn many aspects of the job in the first few months. Issues that may require immediate attention include the budget, contracts, pending litigation, pending personnel actions, and equipment breakdowns. During this learning period, you should determine what requires immediate attention and who can provide the answers. Some steps

administrators can take to identify the major issues are listed below:

■ General administration:

- Meet with the sheriff or chief executive officer of the agency to determine what he or she views as major issues and priorities. Use these meetings as a means to clarify your role and scope of authority within the organization in making decisions related to the jail.
- Meet with the jail’s legal counsel to discuss current issues and any pending litigation, court orders, or consent decrees. Find out if there is a history of litigation in any particular areas.
- Determine the availability and current status of written directives (e.g., policies and procedures, post orders) and other types of documentation. Determine whether the jail’s legal counsel has kept these written directives current and whether staff have received training on them and are following them.
- Review all contracts or interagency agreements to determine what services are offered, the cost, and their current status. Obtain contact information for each contract or agreement.
- Identify key criminal justice officials whose decisions affect the use of the jail. Meet with them as a group to discuss their issues and concerns.

- Identify key local media representatives and get their contact information. Review their record of past coverage of the jail. Meet with them as necessary to set a positive tone for the future.
- Budget development and management:**
Identify the jail's budget analyst within the jurisdiction's budget office. Set up a meeting to go over the current budget and discuss any outstanding budget issues that require immediate attention. Note the key dates for budget preparation, submission, and reporting.
- Human resources management:**
 - Review the current organizational structure and reporting relationships, staffing plan, staffing levels, and staff turnover.
 - Meet with the jail's human resources representative to go over collective bargaining agreements and other pending personnel issues.
 - Meet with key jail personnel to determine what they see as issues and priorities.
 - Talk to staff on a regular basis.
- Inmate services and programs:**
 - Review data on jail population characteristics and trends to get a good understanding of what types of inmates are in the jail and how the local justice system is using the jail.
 - Request an audit of inmate financial and commissary accounts.
- Facility:**
 - Review the most recent inspection reports of outside agencies such as the fire and health departments and jail inspection agencies. Identify any outstanding deficiencies and determine what steps have been taken to correct them. Give priority to deficiencies affecting the life, health, and safety of inmates and staff.
 - Meet with key staff responsible for the maintenance and upkeep of the jail to discuss the current condition of the facility and identify any facility-related problems that require immediate attention.
 - Review documentation of past internal inspections (e.g., security, safety, sanitation, maintenance). Determine whether appropriate corrective action has been taken to resolve any deficiencies identified in these inspections.

■ Security, safety, and emergency preparedness:

- Review emergency procedures and assess the jail's current level of readiness to respond to emergencies.
- Review documentation of past incidents (e.g., suicides, suicide attempts, fires, use of force, disturbances) to identify potential problem areas and trends.

Veteran jail administrators suggest that new administrators take the time to walk around the jail and just listen. Keep a pad and pen handy to take notes during this time. If no major issues are apparent, postpone making major changes until you have a better overall perspective of facility operations and how things came to be as they are. Your focus during the initial period should be to pinpoint issues to be addressed and gather the information necessary to evaluate options. Once the issues are known, you can develop a plan to address them.

Developing an Action Plan

Each new administrator brings strengths and a certain level of experience to the position. The politics and circumstances that lead to the selection of a particular administrator vary significantly from one jurisdiction to another. The key to getting a good start on the job regardless of the circumstances is to have a plan that brings you up to speed quickly so that you can focus



on the important issues. The following guidelines will help you develop an effective action plan:

- **Compile a list of issues requiring immediate attention.** The previous section listed steps for identifying the most critical issues. You can also use the assessment checklists provided in the appendix of this guide to conduct an overall assessment of the jail.
- **Analyze the issues.** For each issue, write out all of the aspects of the problem. Identify how the problem is negatively affecting the jail and anything positive in the organization or the community that can assist in solving the problem.
- **Define the issues.** Define each issue in concrete terms and find evidence of the problem. For example: Contraband is a problem in the jail as evidenced by three knives that were found in a shakedown and the fact that inmates were recently injured by weapons used in a fight. The evidence clarifies the problem for both the administrator and the staff.
- **Prioritize the issues.** At first, the list of issues may seem overwhelming. However, by prioritizing the issues, you can focus on those that are most critical to the success of the jail. Less urgent or important issues can often be delayed or delegated.
- **Analyze options.** Gather information on the options available to address each issue and select the most appropriate course of action.
- **Establish a timeline for addressing priority issues.** Be realistic in establishing a timeline. Not all changes can or should be made at once.
- **Assign staff.** Select staff members and others to assist in addressing the issues and assign responsibilities to designated staff according to their skills and abilities.

- **Get approval for the plan.** Present the plan to the sheriff or chief executive officer (CEO) for approval. This will reassure the CEO that a plan for addressing major issues is in place, a timeline has been established, and responsibilities fixed. The plan not only provides a roadmap for the jail administrator but offers an opportunity for the administrator and CEO to establish joint expectations.
- **Work the plan.** Implement the action plans established for each issue.
- **Revisit the plan periodically.** Intervening variables may require adjustments to the plan. By reviewing the plan periodically, you may find that some tasks need more time whereas others can be accomplished in a shorter period.

Advice From Veteran Jail Administrators

Several experienced jail administrators were asked what advice they would give to new jail administrators about how to approach their first months on the job. Their responses are summarized below.

When asked what information they would advise a new jail administrator to seek out right away, the veteran administrators replied as follows:

- Identify the problems that need immediate attention.
- Identify the layout of the jail and what equipment is available and in usable condition.
- Review current policies and procedures and determine whether they are constitutionally and operationally sound.
- Determine the extent to which staff are following current policies and procedures.
- Get to know the staff and assess their performance.
- Learn about the needs and ambitions of staff.

- Get a copy of the jail's current budget and review it.
- Find out what the jurisdiction's procedures are for purchasing goods and services.
- Find out who controls the purse strings and what his or her view of the jail is.
- Find out what your superiors expect of you.
- Get an understanding of the power structure of the agency and jurisdiction and determine where you fit in.
- Assess the cleanliness of the jail.
- Identify the legal advisor for your office.
- Learn about the sources of training available to you and take advantage of them where possible.
- Learn about the sources of training for jail staff.

When questioned about the types of training they would like to have had before beginning their jobs, the surveyed jail administrators cited the need for more training in the following areas:

- Jail management.
- Human resources management.
- Leadership.
- Budgeting.
- Public speaking.
- Personnel law.
- Staffing analysis.
- Time management.
- Organizing effective meetings.
- Dealing with vendors.

Their top recommendations to new jail administrators included the following:

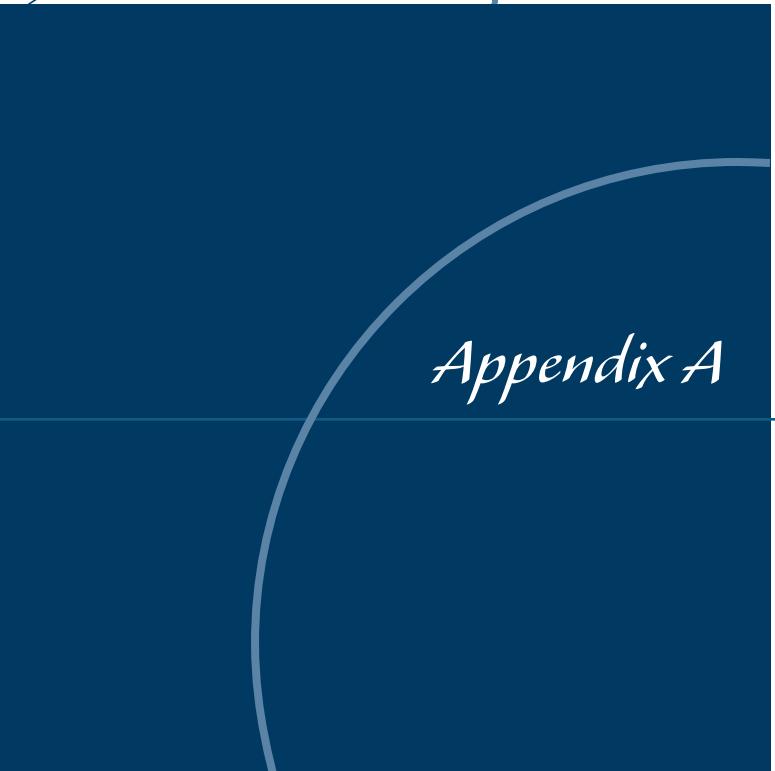
- Know what you are required to do and believe in what you are doing. This attitude should motivate you to move your philosophy forward.

- You are ultimately responsible for the actions of staff and inmates, so be prepared to spend many hours in thought, investigation, and documentation to resolve the issues that confront you.
- When angered or frustrated, do not take immediate action unless absolutely necessary. Wait 24 hours to clear your head and let the anger or frustration dissipate. This will help you avoid bad decisions.
- Know what you want your jail to be like. Picture it in your mind, believe in your vision, and make sure you can explain it and sell it.
- Genuinely care about your inmates. Most of them go back to your community.
- Never give up on talking to the public.
- Regardless of who comes up with a great idea, letting staff or the public think they had the idea will generally benefit the plan.
- Stay calm. Don't lose your temper, particularly with the media.

Being selected as a jail administrator offers you an exciting career opportunity. The steps you take in the first few months on the job are critical to your future success and to the success of the jail. Careful preparation will help you make the most of this initial transition period. The information and tools provided in this guide are offered as resources to help new jail administrators get a good start and to serve as an ongoing guide for effective jail administration.

Recommended Resources

Resource Guide for Newly Appointed Wardens.
S.W. McCampbell, M.E. Hall, and E.P. Layman,
National Institute of Corrections, 2002.



Appendix A

Recommended Resources

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Publications and Videos 214

Recommended Resources

A

Electronic Sources

American Correctional Association, www.aca.org

This Web site links to several resources of interest to jail administrators, including an online corrections training academy for self-paced learning, instructional videos, and more than 300 publications, including self-instructional courses in operations and management, standards manuals, and publications that describe facility design and security management.

American Jail Association, www.corrections.com/aja

This Web site links to several resources for jail administrators, including a training calendar, resolutions addressing political and management concerns (direct supervision, juveniles, standards, etc.), publications (in a training format) in all areas of jail operations, jail operations videos, and jail management certification.

Corrections.com, www.corrections.com

Corrections.com is a master Web site that addresses current affairs in corrections as well as issues of immediate interest to jail administrators. Its directory links to topics such as security, health, food services, juveniles, privatization, and technology, and to information from vendors of items and services used in jails.

National Commission on Correctional Health Care, www.ncchc.org

This Web site is a source of information about health care in jails, prisons and juvenile confinement facilities that can assist and guide administrators in matters of correctional health care,

ethics, and legal requirements. The site offers medical publications, standards for health care, position statements on emerging issues not yet covered in the standards, and clinical guidelines to help health care providers manage care for patients with critical chronic diseases. The site also provides information on research studies and conferences and access to technical assistance.

National Criminal Justice Reference Service, www.ncjrs.org

NCJRS is a federally funded resource offering extensive reference and referral services on crime- and justice-related research, policy, and practice. NCJRS maintains one of the largest criminal and juvenile justice libraries and databases in the world. Its holdings include statistics, research findings, program descriptions, congressional hearing transcripts, and training materials. The NCJRS sponsoring agencies, which include the National Institute of Corrections, publish hundreds of reports and other information products each year, most of which can be downloaded or ordered through www.ncjrs.org. Via the Web site's electronic question-and-answer service or by phone, NCJRS staff can provide statistics and referrals, discuss publications, compile information packages, search for additional resources, and offer other technical assistance tailored to a specific request. NCJRS publishes a bimonthly newsletter, the NCJRS Catalog, and a biweekly electronic newsletter, JUSTINFO, and provides e-mail notifications of new publications and resources matching one's interests.

National Institute of Corrections, www.nicic.org

The National Institute of Corrections (NIC) offers several direct technical assistance services and training resources for jail administrators. The NIC Web site includes links to training programs, videoconferences, resources, special topics for jail administrators, and links to valuable resources such as the National Academy of Corrections, the NIC Jails Division, and the NIC Information Center (www.nicic.org/services/info_center). The Information Center provides jail administrators (as well as policymakers and elected officials in all areas of correctional administration) with free research assistance and document delivery. In addition to providing access to all NIC publications, the Information Center's publications database provides access to materials from other sources about issues such as crowding, health care, training, and management.

Publications and Videos

2001 Directory of Direct Supervision Jails. Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2001. Available from the NIC Information Center.

The National Institute of Corrections developed this resource to help local officials, jail administrators, and others interested in direct supervision design and management to locate direct supervision facilities in a state or other geographic region.

Alternative Shift Schedules Survey Results. Portland, OR: Multnomah County Sheriff's Office, Planning and Research Unit, 1996. Available from the NIC Information Center.

This publication presents survey results, mostly from large jails, about alternative shift schedules, specifically the types of schedules being used; the advantages and disadvantages of each type;

the effect of the schedule on sick and personal leave, overtime, staff morale, and consistency of supervision and operations; collective bargaining issues; shift rotations; and training.

Beyond the Myths: The Jail in Your Community. Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2003. VHS tape (23 min.). Available from the NIC Information Center.

This videotape provides a foundation for the efforts of sheriffs and jail administrators to inform the public about jails in general and in particular and the need for community interest in and discussion about local jails. It can also be used to educate prospective jail employees about local detention.

Budget Guide for Jail Administrators. Part 1: Developing the Budget. Mark D. Martin. Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2002. Available from the NIC Information Center.

This manual, the first of three budget guides for jail administrators, discusses the elements of an effective process for budgeting both capital and operational jail expenses. It outlines the roles of key participants and methods for assessing needs, estimating costs, and documenting the budget request. Sample forms and worksheets are included.

Budget Guide for Jail Administrators. Part 2: Managing the Budget. Mark D. Martin. Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2002. Available from the NIC Information Center.

This manual, the second of three budget guides for jail administrators, provides an overview of jail budget management, including key aspects of management, the jail administrator's responsibilities, and useful strategies.



Budget Guide for Jail Administrators. Part 3: Beyond Budget Allocation—Sources of Funding and Services. Mark D. Martin. Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2002. Available from the NIC Information Center.

This manual, the third of three budget guides for jail administrators, describes strategies for identifying, securing, and coordinating jail resources from multiple sources, both internally and externally. It emphasizes nontraditional funding approaches outside the local tax-funded budget.

Community Corrections in America: New Directions and Sounder Investments for Persons With Mental Disorders and Codisorders. National Coalition for Mental and Substance Abuse Health Care in the Criminal Justice System. Arthur J. Lurigio, ed. Washington, DC: U.S. Department of Justice, National Institute of Corrections, 1996. Available from the NIC Information Center.

This monograph consists of several articles about the mentally ill and their supervision in the community and is intended to help jail administrators learn about problems arising from the presence of the mentally ill in the criminal justice system. Chapter 10, “Effective Strategies for Providing Mental Health,” describes models and examples of how to build a coalition or community collaboration in addressing the mental health problem.

Critical Analysis of Emergency Preparedness: Self-Audit Materials. Jeffrey A. Schwartz and Cynthia Barry. Washington, DC: U.S. Department of Justice, National Institute of Corrections, 1996. Available from the NIC Information Center.

This hands-on manual is intended to help jail administrators prepare for emergencies. It consists of several checklists for responding to emergencies, such as those stemming from fire, weather, and riots, and addresses training and

coordination with other agencies that assist during emergencies. The manual includes case studies on which jail administrators can base emergency plans.

Developing and Revising Detention Facility Policies and Procedures. Mark D. Martin. Washington, DC: U.S. Department of Justice, National Institute of Corrections, 1996, rev. 2002. Available from the NIC Information Center.

This basic “how-to” manual for developing policies and procedures is applicable to agencies that either do not have a policies and procedures manual or want to restart the process by revising existing policies and procedures. In addition, the manual describes how to identify areas for policies and procedures, develop and implement strategies, develop and maintain a policies and procedures manual, implement policy, and monitor staff compliance.

Fees Paid by Jail Inmates: Findings From the Nation’s Largest Jails. Washington, DC: U.S. Department of Justice, National Institute of Corrections, 1997. Available from the NIC Information Center.

Derived from a national study, this report describes the extent to which jails are charging fees for services and programs, the amounts of money actually collected, the prevalent types of fees collected, and the legal authority and mechanisms for collecting fees. This report is written for jail administrators interested in instituting fee programs. The fees surveyed include booking, release, transport, drug testing, per diem, medical care, phone calls, haircuts, work release, weekenders, and home detention.

Guidelines for Developing a Criminal Justice Coordinating Committee. Robert C. Cushman. Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2002. Available from the NIC Information Center.

A Criminal Justice Coordinating Committee (CJCC) is a vehicle through which local criminal justice officials, elected officials, and citizens can increase collaboration and coordination within the criminal justice system and thereby improve it. This manual may be most appropriate for county criminal justice planners, but it may also be a tool for jail administrators who want to initiate collaboration among the various actors in the criminal justice system. Although establishing a CJCC may not be high on the agenda of new jail administrators, they may eventually find a CJCC helpful in developing policies to address crowding and jail use and in otherwise providing a forum for discussion of criminal justice problems, large and small, that affect the county.

Guidelines for the Development of a Security Program, 2d ed. James D. Henderson, W. Hardy Rauch, and Richard L. Phillips. Lanham, MD: American Correctional Association, 1997.

Available from ACA.

This manual describes how to establish security in a jail. The authors point out that there is more than one way to design and implement a jail security program and suggest that the manual be a guide toward that end. Although the manual addresses security programs in larger jails and prisons, the principles and practices apply to all jails. The manual is helpful in implementing security program standards as set forth by the American Correctional Association.

How To Collect and Analyze Data: A Manual for Sheriffs and Jail Administrators, 2d ed.

Gail Elias. Washington, DC: U.S. Department of Justice, National Institute of Corrections, 1999. Available from the NIC Information Center.

This manual provides a basic explanation of common statistics, written in understandable language, to help jail administrators use statistics. It explains why data should be collected, “demystifies” statistics and data collection procedures,

and provides tips on how to collect basic data to allow policymakers to draw valid conclusions, an opportunity to practice analytical skills, and guidelines for presenting the information understandably to others.

The Intermediate Sanctions Handbook: Experiences and Tools for Policymakers. Center for Effective Public Policy. Peggy McGarry and Madeline M. Carter, eds. Washington, DC: U.S. Department of Justice, National Institute of Corrections, 1993. Available from the NIC Information Center.

This “how-to” monograph identifies the process for implementing intermediate sanctions, or sanctions/punishment that falls on a scale between probation and incarceration. Appropriate for jail administrators struggling with a crowded jail, this monograph addresses the need to establish consensus among all stakeholders in the criminal justice system (judges, police, victims, jail administrators, district attorneys, probation officers, etc.) and involve them in creating both the policy and support to implement intermediate sanctions. An intermediate sanctions program can make sentencing more just and effective, enhance public safety, increase local correctional capacity, contain growth in jail populations, and reduce costs.

Jail Crowding: Understanding Jail Population Dynamics. Mark A. Cunniff. Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2002. Available from the NIC Information Center.

An important resource for the jail administrator who is faced with a crowded jail, this publication identifies factors contributing to jail crowding, clarifies how jail bedspace evolves, examines trends that drive jail population growth, discusses forecasting to meet future jail space needs, identifies the analysis needed to project future jail space needs, and describes



criminal justice system roles. The publication presents a series of questions that county officials can ask to obtain a basic understanding of their own jail population dynamics and the factors behind jail crowding. The answers to these questions can provide a foundation for effectively responding to jail crowding and forecasting jail bed requirements.

Jail Design and Operation and the Constitution: An Overview. William C. Collins. Washington, DC: U.S. Department of Justice, National Institute of Corrections, 1998. Available from the NIC Information Center.

This publication presents information about liability, constitutional jail conditions and requirements, and how and where modern correctional administration evolved and discusses issues such as the Constitution and the physical plant, how courts evaluate claims, amendments to the Constitution, and conditions of confinement. This publication is a must read not only for jail administrators but also for correctional trainers and the attorneys who defend them.

Jail Design Guide: A Resource for Small and Medium-Sized Jails. Dennis A. Kimme. Washington, DC: U.S. Department of Justice, National Institute of Corrections, 1998. Available from the NIC Information Center.

This document, an expanded and revised version of the *Small Jail Design Guide* published in 1988, is an important reference for jail administrators and county facility managers charged with designing a small- or medium-sized jail because it provides information about basic concepts and issues in jail design. This guide can help local officials assume and retain control of the important design process and direct it toward the most beneficial solution for their community.

Jail Design Review Handbook. Mark Goldman. Washington, DC: U.S. Department of Justice,

National Institute of Corrections, 2003. Available from the NIC Information Center.

This handbook can assist sheriffs, jailers, county administrators, and other decisionmakers in reviewing and critiquing jail design documents to ensure that their new facilities work for them and their communities, are safe and secure, and fully support intended operations and inmate populations. To aid project team members with design reviews from planning through schematic design, the handbook provides checklists with suggested questions about virtually every space within a jail.

Jail Diversion for the Mentally Ill: Breaking Through the Barriers. National Coalition for the Mentally Ill in the Criminal Justice System. Henry J. Steadman, ed. Washington, DC: U.S. Department of Justice, National Institute of Corrections, 1990. Available from the NIC Information Center.

This monograph brings together the research and program reviews of a conference on the mentally ill person who comes in contact with the local jail. Chapters 3–5 address issues important to the jail administrator. Chapter 3 examines the admissions and screening of mentally ill inmates, especially in the context of overcrowding, high turnover rates of inmates, and the availability of local mental health services. Suicide and legal issues are discussed in addition to applicable standards pertaining to admission and screening. Chapter 4 addresses jail-based mental health services and programs as well as the legal requirements for in-jail mental health services. Chapter 5 addresses linkages between the jail and the newly released inmate, noting the relatively short stay for most jail inmates (generally 72 hours or less). Case studies are presented, noting the importance of referrals being an articulated goal of the jail mental health program, the need for close collaboration between the jail and community mental health services, the need for

release planning, encouragement to seek after-care, and “continuity agents” to facilitate the continuation of services.

Jail Planning and Expansion: Local Officials and Their Roles. James R. Robertson. Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2003. Available from the NIC Information Center.

This manual describes 16 steps to help elected officials and policymakers develop jail facilities. The development process is contained within the five overlapping phases of prearchitectural planning, site selection and planning, architectural and engineering design, construction, and occupancy. It includes tables, a bibliography, and exhibits.

Jail Population Reduction Strategies. American Jail Association. Washington, DC: U.S. Department of Justice, National Institute of Corrections, 1994. Available from the NIC Information Center.

This brief document profiles five counties that effectively reduced their jail populations: Volusia County, Florida; Multnomah County, Oregon; Fairfax County, Virginia; Pinellas County, Florida; and King County, Washington. Factors identified as integral to successful population efforts are explained, including the establishment of a justice system advisory group; availability of data; judicial leadership; use of consultants; presenting overcrowding as a community issue; and lawsuits.

Jail Resource Issues: What Every Funding Authority Needs To Know. Gary M. Bowker. Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2002. Available from the NIC Information Center.

This basic, easy-to-read manual is intended to educate and enlighten persons who provide resources to the jail, such as county commissioners, county administration staff, and even

sheriff’s office administrators who are unfamiliar with the basics of jail operations. It addresses issues such as the jail in the community, legal aspects and correctional standards, key elements of jail operations, and the funding authority’s role and responsibility in supporting the jail and its role in monitoring and oversight.

Jails in America: A Report on Podular Direct Supervision. Washington, DC: U.S. Department of Justice, National Institute of Corrections, 1996. Videotape (35 min.). Available from the NIC Information Center.

This video identifies the three types of jail designs and the supervision modes therein; the problems with linear jails and podular remote jails, where officers are separated from inmates and therefore have less interpersonal contact with them and less control over their behavior; and the benefits of direct supervision in terms of inmate supervision and its effect on the design and construction of the direct supervision jail. Jail managers and officers give compelling testimony that when facilities are well planned and officers are well trained and supported by managers, direct supervision provides a safer, fairer, and more just jail environment. This video is appropriate for jail staff, public officials, and others who may be planning a new facility or for those training officers who may be involved in direct supervision.

Objective Jail Classification Systems: A Guide for Jail Administrators. James Austin. Washington, DC: U.S. Department of Justice, National Institute of Corrections, 1998. Available from the NIC Information Center.

Classification is the process by which the duty to protect is implemented and custody levels are established. This manual addresses the key components of an objective classification system, which ranks among the most important new strategies for inmate management. The manual includes discussions of how to implement,



monitor, and evaluate objective classification. Included are sample forms for screening, custody assessment and reassessment, and scales for severity of offense and discipline.

Performance-Based Standards for Adult Local Detention Facilities, 4th ed. Lanham, MD: American Correctional Association, 2004. Available from the American Correctional Association. This manual, a must for any correctional administrator's library, spells out in more than 400 standards the best correctional practices for jails. Although many of the standards address what administrators may consider secondary issues, the standards also address the basic life, health, safety, and constitutional issues necessary to protect staff and inmates, including inmates' rights. ACA publishes changes or additions to the standards annually in its ***Standards Supplement***, which also should be part of every administrator's library.

Pretrial Services Programs: Responsibilities and Potential. Barry Mahoney, Bruce Beaudin, John Carver III, Daniel Ryan, and Richard Hoffman. Washington, DC: U.S. Department of Justice, Office of Justice Programs, National Institute of Justice, 2001. Available from the NIC Information Center.

Pretrial services programs offer courts alternatives to bail by improving the quality and breadth of information about defendants, including information about housing, employment, and family relationships. This report reviews issues and practices in the pretrial services field, describes how pretrial programs operate, discusses key policy issues, and outlines future issues and challenges, paying particular attention to how pretrial programs obtain and convey information relevant to the pretrial release/detention decision. It also describes how the various criminal justice agencies can work together to minimize non-appearances and pretrial crime.

Preventing Jail Crowding: A Practical Guide, 2d ed. Robert Cushman. Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2002. Available from the NIC Information Center.

This guide can help jail administrators and other elected and criminal justice officials understand problems caused by jail crowding. Jail administrators can send copies to elected officials or use the guide in developing presentations on the subject. The guide shows how crowding is affected by increases in either length of stay or number of admissions; discusses the need for data and how to set up a data collection system; addresses how to reduce the inmate population; and presents keys to preventing crowding.

Prison Health Care: Guidelines for the Management of an Adequate Delivery System. Jaye Anno. Washington, DC: U.S. Department of Justice, National Institute of Corrections, 1991.

Although directed at prisons, this companion manual to the National Commission on Correctional Health Care's ***Standards for Health Services in Jails*** is also a useful resource for medical issues relating to jail intake.

Recruitment, Hiring, and Retention: Current Practices in U.S. Jails. Connie Clem, Barbara Krauth, and Paula Wegner. Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2000. Available from the NIC Information Center.

This publication identifies multiple strategies for recruiting, hiring, and retaining staff. Recommended methods include the use of materials (fliers, Web sites, etc.) and people (staff, administrators, and community members) as well as policies, programs, and procedures. Although no agency can eliminate the challenge of retaining a qualified workforce, jails that undertake a strategy that incorporates some of these suggestions may find that staffing issues become significantly more manageable.

A Second Look at Alleviating Jail Crowding: A Systems Perspective. Pretrial Services Resource Center. Washington, DC: U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Assistance, 2000. Available from the NIC Information Center.

Today's jail administrator faces challenges posed by a changing inmate population that includes mentally ill persons, drug users, drunk drivers, and perpetrators of domestic violence. Addressing the needs of these populations has required creativity and collaboration with other systems and actors. Other developments such as mandatory sentencing laws, victim rights, the prosecution of juveniles as adults, and the emphasis on community safety have forced officials to make the most efficient use of limited jail space. This monograph describes how officials have responded to these challenges. The role of criminal justice officials, including law enforcement, jail administration, prosecution, judiciary, and pretrial services, is described. The final chapter describes how these actors can work together to alleviate jail crowding. This monograph is a follow-on to a 1985 publication.

Small Jail Special Issues. Kimme Planning and Architecture. Washington, DC: U.S. Department of Justice, National Institute of Corrections, 1986. Available from the NIC Information Center.

This document describes several planning issues identified by small jails across the nation: pre-design considerations, lawsuits and liability, multijurisdictional jails, bed capacity for a small jail, supervision in small jails, operating costs, transition planning, maintenance, and the role of architects. Although this guide is somewhat dated, it can provide invaluable assistance in the planning of a small jail and also to new administrators of small jails.

Staff Safety: New Approaches to Staff Safety, 2d ed. Robert L. Thornton. Washington, DC:

U.S. Department of Justice, National Institute of Corrections, 2003. Available from the NIC Information Center.

This manual can assist community corrections practitioners in evaluating their officer safety training needs by presenting current concepts and standards. It enables agencies to determine their respective needs, evaluate the most current information in various safety training areas, and explore a variety of information and resources on officer safety training.

Staffing Analysis for Jails: NIC e-Learning Program. Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2002. Available from the NIC Information Center.

This publication is an excellent companion to the *Staffing Analysis Workbook for Jails* described below. It discusses interactive and self-paced training to help readers learn the concepts involved in a staffing analysis. All required forms are included.

Staffing Analysis Workbook for Jails, 2d ed. Dennis R. Liebert and Rod Miller. Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2001. Available from the NIC Information Center.

This workbook is appropriate for jail administrators who have questions about excessive overtime or having sufficient numbers and types of jail staff or who may not be getting the staff support from the funding authority to adequately meet all the requirements of the jail operation. It may be used for creating a staffing plan for a new or existing facility or for reviewing or revising an existing staffing plan. The workbook provides an overview of common staffing problems, describes overtime use and causes, identifies unique characteristics related to the staffing of jails, and identifies who should be involved in developing a staffing analysis. The 10-step process is clearly explained, and blank forms are provided.



Standards for Health Services in Jails. Chicago, IL: National Commission on Correctional Health Care, 2003. Available from the National Commission on Correctional Health Care.

This manual describes standards that address the length and breadth of jail health services. Although many of the standards are not applicable to health services in small jails, the manual addresses medical and mental health issues common to jails of all sizes in the critical areas of intake/receiving/screening, suicide, alcohol and drug withdrawal, infectious diseases, emergencies, and so forth. In addition to identifying state-of-the-art medical standards, the manual contains several practical and helpful appendixes, including sample forms for receiving, screening, and mental health assessment; suicide prevention screening guidelines; protocols for supervising critically and noncritically suicidal prisoners; universal precautions and infection control techniques; and guidelines on blood-borne pathogens. The standards differ from the ACA standards in that they are prescriptive; moreover, they address not only what should be done but also how.

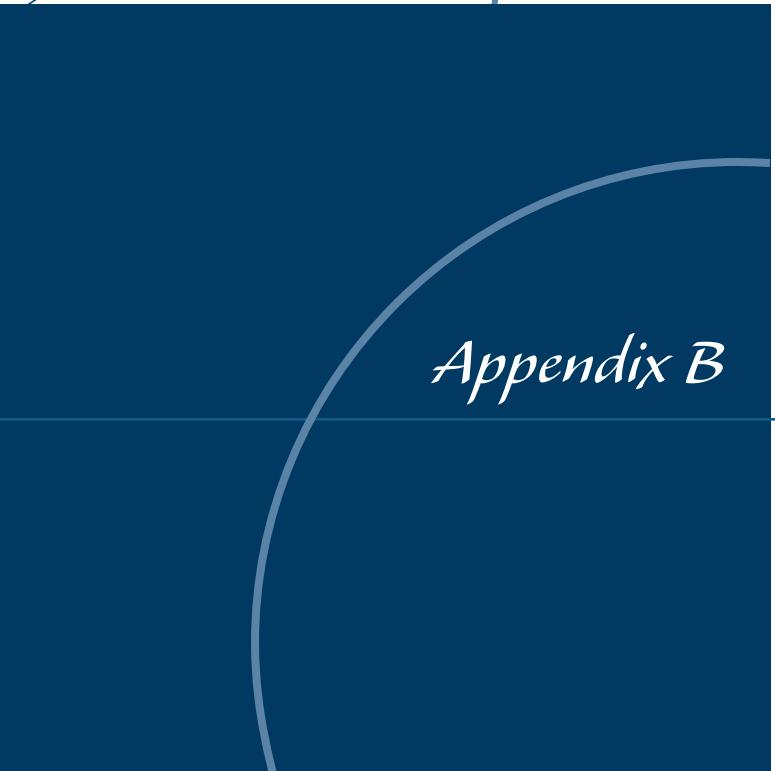
Training Curriculum on Suicide Detection and Prevention in Jails and Lockups, 2d ed. Joseph Rowan and Lindsey Hayes. Baltimore, MD: National Center on Institutions and Alternatives, 1995. Available from the NIC Information Center.

This complete lesson plan consists of a 12-hour curriculum for training jail staff in the detection and prevention of suicide. It includes research on

jail suicide, predisposing factors, high-risk periods, signs and symptoms of suicidal behavior, situational risk factors, assessment of suicide risk, management of suicidal inmates, intervention in active suicides, jail design and suicide prevention, and suicide litigation. In addition to being an excellent resource for training jail staff, the curriculum is a good primer for jail administrators because it outlines the depth and breadth of the problem and provides useful information about the management and prevention of this real and ever-present problem. The manual includes suggested suicide screening forms and a review of case law.

Women in Jail: Legal Issues. William Collins and Andrew Collins. Washington, DC: U.S. Department of Justice, National Institute of Corrections, 1996. Available from the NIC Information Center.

This practical guide for jail administrators addresses the legal issues commonly faced when housing female inmates. Ignoring these issues to focus on the relatively larger male inmate population increases exposure to litigation and liability. The guide reviews the major issues regarding female inmates and asks jail administrators to explain and justify the differences that commonly exist in housing, privileges, and programming for females. Other legal concerns for female inmates pertain to health care, sexual harassment, and sexual misconduct.



Appendix B

Bibliography

B

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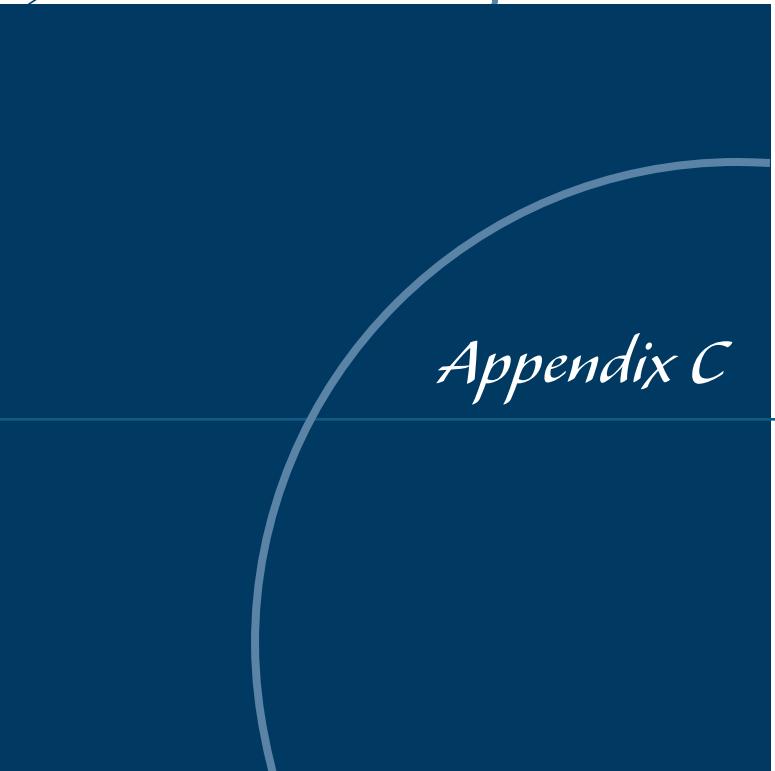
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Appendix C

Assessment Checklists



*In This
Appendix*

The checklists in this appendix may help newly appointed jail administrators learn about their jail and the overall status of its operation. Veteran jail administrators and others may also find the checklists useful in assessing the performance and effectiveness of jail operations. The following checklists are included:

Checklist 1

Statutes, Standards, and Case Law 231

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Special Management 299

Checklist 16

Intake and Release 301



Checklist 1. Statutes, Standards, and Case Law

Assessment Questions	Y	N	Comments
State Statutes			
<p>1. Are there specific statutes that outline the specific responsibilities of the sheriff, jail administrator, and funding authority with regard to the jail?</p> <p>Review these statutes to find out how the responsibilities and authority of each party are defined.</p>			
<p>2. Is the role of the jail within the local criminal justice system defined within the statutes?</p> <p>Find out if there are any statutory parameters regarding the types of inmates the jail may hold, and for what purposes and for how long.</p>			
<p>3. Is the jail in compliance with all statutory provisions relating to the establishment, operation, and maintenance of the jail?</p> <p>Make a list of the statutes not being followed and the ramifications for any noncompliance with the law.</p> <p>Note: You may discover some archaic laws that are no longer relevant or followed. Bring these to the attention of your legal counsel. Failure to follow state statutes, even those that are outdated, is a basis for liability. Where possible, such laws should be repealed or amended to make them more relevant to contemporary practices.</p>			
Standards			
<p>4. Are there agencies that inspect and regulate various aspects of the jail?</p> <p>Identify each agency, along with pertinent contact information. Find out how recently the jail has been inspected by each agency and put the tentative date of the next inspection on your calendar.</p>			
<p>5. Are current copies of each agency's standards available in the jail?</p> <p>If not, request copies from the inspection agencies.</p>			
<p>6. Is the jail out of compliance with any required standards?</p> <p>Cite the standard and the nature of any noncompliance.</p>			

Continued on next page.

Checklist 1. Statutes, Standards, and Case Law (continued)

Assessment Questions	Y	N	Comments
Standards (continued)			
7. If you answered yes to #6, has a corrective action plan been developed to correct the deficiency? Affirm that appropriate steps are being taken to resolve any non-compliance as required by each inspection agency.			
8. Based on a review of past inspection reports, is the jail consistently out of compliance with required standards in certain areas? Find out the reason for the ongoing noncompliance and determine what steps need to be taken to correct the problem.			
9. Are the jail's policies and procedures consistent with the standards?			
10. Are standards incorporated into staff training?			
11. Does the jail comply with professional standards (e.g., American Correctional Association, National Commission on Correctional Health Care) where possible?			
Case Law			
12. Does the jail have any pending litigation, court orders, or consent decrees? Get copies and review the status of any lawsuits, court orders, or consent decrees.			
13. Is there a history of litigation in any particular area of the jail (e.g., medical, use-of-force, suicide)? Determine whether any areas require your immediate attention.			

Continued on next page.



Checklist 1. Statutes, Standards, and Case Law (continued)

Assessment Questions	Y	N	Comments
Case Law (<i>continued</i>)			
14. Does the jail have a designated legal advisor? List name and contact information.			
15. Is the jail adequately insured? Find out who handles insurance issues for the jurisdiction. Determine the type and extent of coverage. Ask for copies of records showing loss history and insurance payouts relating to the jail. Find out if any risk management services are available.			
16. Is a system in place for keeping the jail administrator current with case law and best practices?			
Additional Comments			



Checklist 2. Planning, Budgeting, and Human Resources Management

Assessment Questions	Y	N	Comments
Mission			
<p>1. Does the jail have a written mission statement? When was it written and is it current?</p>			
<p>2. Are staff aware of the jail's stated mission and do they support it?</p>			
<p>3. Are the actual use and operation of the jail consistent with its stated mission?</p>			
<p>4. Is the current mission statement compatible with the vision, values, and philosophy of the following parties?</p> <p>Jail Administrator</p> <p>Sheriff or CEO</p> <p>Funding authority</p> <p>Key criminal justice system officials</p> <p>Community</p>			
<p>5. Is the jail meeting the needs of the local criminal justice system and the community?</p> <p>If not, describe what criminal justice or societal needs are not being adequately met by the jail.</p>			
Planning			
<p>6. Does the jail currently have a written strategic plan?</p> <p>If so, review the plan and assess the extent to which it is being followed.</p>			

Continued on next page.

Checklist 2. Planning, Budgeting, and Human Resources Management (continued)

Assessment Questions	Y	N	Comments
Planning (continued)			
7. Have goals and objectives been established for the jail? If so, review them to see whether they are consistent with the jail's mission, are realistic, and are consistent with your vision for the jail. Also, assess the extent to which stated goals and objectives are being achieved.			
8. Have goals, strategies, and action plans developed for the jail been incorporated into the jail's operational plan and budget?			
9. Are resources (staff, facilities, equipment, training, etc.) adequate to realistically achieve the goals and objectives?			
Budgeting			
10. Does the jail administrator have access to the following? Approved facility budget for current fiscal year Expenditure plans Monthly expenditure reports Agency/jurisdiction rules governing budget development/management Agency/jurisdiction rules governing purchasing Budget history information Listing of identified equipment and infrastructure needs Listing of current issues/priorities affecting budget Personnel information (authorized FTE, vacant positions, turnover rate, etc.) Report from the last fiscal audit Current contracts, leases, maintenance agreements with vendors Interagency agreements for services provided to the jail Information on revenue sources (grants, fees, contracts, aid, sales, etc.)			

Continued on next page.



Checklist 2. Planning, Budgeting, and Human Resources Management (continued)

Assessment Questions	Y	N	Comments
Budgeting (continued)			
<p>11. Are designated staff within the agency responsible for the various aspects of budget management?</p> <p>Identify names, titles, and contact information for key budget personnel. Determine the roles and responsibilities of each person.</p>			
<p>12. Does the jurisdiction's budget office have a designated budget officer for the jail?</p> <p>List name and contact information.</p>			
<p>13. Are there key dates for budget preparation, submission, and reporting?</p> <p>Note the dates on your calendar.</p>			
<p>14. Has a fiscal audit of the jail been conducted recently?</p> <p>Find out when the last audit occurred, the results of the audit, and when the next audit is scheduled. Determine what action has been taken, if any, to correct exceptions noted in the audit.</p>			
<p>15. Do any outstanding budget issues require your immediate attention?</p>			
Human Resources Management			
<p>16. Do you have access to the following?</p> <p>Agency/jurisdiction personnel policies and procedures</p> <p>Employee handbook</p> <p>Copies of written job descriptions for each job class</p> <p>Employee personnel files</p>			
<p>17. Does a process exist for conducting employee performance appraisals?</p>			

Continued on next page.

Checklist 2. Planning, Budgeting, and Human Resources Management (continued)

Assessment Questions	Y	N	Comments
Human Resources Management (<i>continued</i>)			
18. Have past personnel actions been properly documented?			
19. Does the agency have a key contact for personnel matters? List name and contact information.			
20. Does the jurisdiction's personnel office have a designated personnel officer for the jail? List name and contact information.			
21. Do any outstanding personnel actions require your immediate attention?			
Additional Comments			



Checklist 3. Community Partnerships and Media Relations

Assessment Questions	Y	N	Comments
Community Partnerships			
1. Is the jail involved in or supported by any of the following types of community partnerships? If so, describe the partnership, its purpose, the members, and key contact information.			
Task forces			
Advisory boards			
Coordinating bodies			
Networks			
Coalitions			
2. Has the jail entered into any contracts or interagency agreements for services?			
Describe all agreements and contracts, indicating the types of services provided, cost, and contact information.			
3. Have services provided under these contracts or agreements been effective?			
4. Have any individuals or stakeholders in the community demonstrated an interest in the effective operation of the jail or improved services for offenders?			
List and describe the nature of their interest.			
5. Are any groups within the community strong advocates and supporters of the jail?			
6. Are any individuals or groups within the community critical of the jail or the way in which it is operated?			
Describe the nature of their criticism.			

Continued on next page.

Checklist 3. Community Partnerships and Media Relations (continued)

Assessment Questions	Y	N	Comments
Media			
7. Does the jail (or parent agency) have policies and procedures for dealing with the media?			
8. Is a staff person within the jail or the agency designated to coordinate media communications and serve as a spokesperson for the jail?			
9. Is there a record of past media contacts and coverage of the jail?			
10. Are key media representatives currently assigned to cover the jail? List key media representatives and contact information. What has been the tone of their coverage in the past?			
11. Does the jail have a communications plan for working with the media and doing outreach to the community?			
Additional Comments			



Checklist 4. Policies and Procedures, Post Orders, and Documentation

Assessment Questions	Y	N	Comments
Policies and Procedures			
1. Does the jail have a current policies and procedures manual developed specifically for the facility?			
2. Is the policies and procedures manual comprehensive—i.e., does it cover all aspects of the jail's operation?			
3. Is the manual reviewed and updated at least annually?			
4. Is there a log or some other record of all reviews and updates to the manual?			
5. Has the jail's legal counsel reviewed the policies and procedures?			
6. Have staff been trained in the policies and procedures? How is the manual made available to jail staff?			
7. Is a process in place to verify that policies and procedures are being followed on all shifts?			

Continued on next page.

Checklist 4. Policies and Procedures, Post Orders, and Documentation (continued)

Assessment Questions	Y	N	Comments
Policies and Procedures (<i>continued</i>)			
8. Does the policies and procedures manual comply with applicable jail standards?			
Post Orders			
9. Does the jail have written post orders for key posts and positions within the facility?			
10. Are staff trained in the post orders for the posts to which they are assigned?			
11. Are post orders reviewed and updated as applicable policies and procedures, schedules, or other aspects of the jail's operations are changed?			
Documentation			
12. Does the jail have written policies and procedures governing records management?			
13. Does the jail maintain a master log of all forms and records used in the facility?			
14. Does the jail have a system that provides for regular supervisory review of completed records and forms for quality assurance?			

Continued on next page.



Checklist 4. Policies and Procedures, Post Orders, and Documentation (continued)

Assessment Questions	Y	N	Comments
Documentation (<i>continued</i>)			
15. Does the jail have an organized filing system that permits efficient retrieval of needed information?			
16. Is the jail following records retention laws/regulations in the archiving or destruction of inactive records?			
17. Is someone on staff delegated the responsibility of managing the jail's records system?			
18. Are some or all parts of the records system automated? If so, list names and contact information for staff responsible for jail management software (and other software applications), hardware, and network administration.			
Additional Comments			



Checklist 5. Monitoring and Assessment

Assessment Questions	Y	N	Comments
Internal Inspections and Reviews			
1. Does the jail have a formal system of internal inspections and reviews to monitor critical operations?			
Security			
Fire and safety			
Health			
Sanitation			
2. If you answered yes to #1, respond to the following:			
Is a staff person designated to coordinate the internal monitoring process?			
Are staff trained in conducting assigned inspections and reviews?			
Is there a process in place to review inspection findings and correct any identified deficiencies?			
3. Is documentation of past inspections (along with corrective measures taken) maintained and available for review?			
External Inspections			
4. Do any outside agencies or organizations currently conduct audits or inspections of the jail?			
List the name of each inspecting entity, the purpose and authority for inspections, the enforcement authority, and frequency of inspections.			
5. Are copies of the most recent inspection reports available?			
6. Has the jail documented corrective measures taken to resolve any deficiencies identified in these inspections?			

Continued on next page.

Checklist 5. Monitoring and Assessment (continued)

Assessment Questions	Y	N	Comments
External Inspections (<i>continued</i>)			
7. Is technical assistance and/or financial support available from any of the external inspection agencies to assist the jail in complying with regulatory requirements?			
Monitoring Data			
8. Does the jail regularly collect accurate data to monitor the jail population to assure appropriate use of the facility?			
9. Are data reviewed and analyzed on a regular basis to profile characteristics, track trends, or identify issues?			
10. Does the jail regularly provide reports describing jail population characteristics and trends to funding authorities and other key decisionmakers? Review the following: Characteristics of the jail population..... Risks and needs of the inmate population..... Trends in the average daily population and average length of stay for the jail.....			
11. Given your assessment of the jail population, do any deficits or needs require your immediate attention?			
Additional Comments			



Checklist 6. Jail Facilities

Assessment Questions	Y	N	Comments
General			
1. Does the jail have a reliable security perimeter that forms a barrier between the secure area of the jail and the outside world?			
2. Are there means to manage the movement of staff, inmates, visitors, and service providers in and out of the secure area of the jail?			
3. Does the jail have a secure control center for monitoring and coordinating communications, life safety, and security systems?			
4. Are the following types of security equipment and/or systems available and in operable condition in the jail? Emergency generator Walk-through metal detectors Detection/alarm systems Closed-circuit television Public address systems Two-way radio systems Telephone systems Intercom systems Locking systems			
5. Rate the following environmental conditions in the jail: Light levels <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good Noise levels <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good Temperature <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good Air quality <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good Plumbing <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			

Continued on next page.

Checklist 6. Jail Facilities (continued)

Assessment Questions	Y	N	Comments
General (continued)			
6. What is the overall level of sanitation in the facility? <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
7. Does the jail have a preventative maintenance plan?			
8. Are there malfunctioning or broken facilities, equipment, or furnishings in need of repair?			
Intake and Release Area			
9. Is there a secure sallyport available to receive arrestees into the intake area?			
10. Is the intake and release area located within the security perimeter, but apart from inmate housing?			

Continued on next page.



Checklist 6. Jail Facilities (continued)

Assessment Questions Y N Comments

Intake and Release Area (continued)

11. Does the intake and release area adequately accommodate the following functions?

- Temporary holding/detoxification
- Alcohol testing
- Booking
- Telephoning (arrestees)
- Fingerprinting/photographing
- Searching
- Showering
- Property storage
- Clothing issue/dress out
- Medical screening/examination
- Confidential interviewing
- Intake storage
- Intake housekeeping (janitor's closet)
- Intake operations (office area)

12. What is the condition of the following building elements in the intake and release area?

Exterior walls	<input type="checkbox"/> Poor	<input type="checkbox"/> Fair	<input type="checkbox"/> Good
Interior partitions	<input type="checkbox"/> Poor	<input type="checkbox"/> Fair	<input type="checkbox"/> Good
Doors/locks	<input type="checkbox"/> Poor	<input type="checkbox"/> Fair	<input type="checkbox"/> Good
Ceilings	<input type="checkbox"/> Poor	<input type="checkbox"/> Fair	<input type="checkbox"/> Good
Floors	<input type="checkbox"/> Poor	<input type="checkbox"/> Fair	<input type="checkbox"/> Good
Electrical/lighting	<input type="checkbox"/> Poor	<input type="checkbox"/> Fair	<input type="checkbox"/> Good
Plumbing	<input type="checkbox"/> Poor	<input type="checkbox"/> Fair	<input type="checkbox"/> Good
Security equipment	<input type="checkbox"/> Poor	<input type="checkbox"/> Fair	<input type="checkbox"/> Good
Cabinets/furniture	<input type="checkbox"/> Poor	<input type="checkbox"/> Fair	<input type="checkbox"/> Good

Visiting Area

13. Is adequate secure space available for inmate visiting?

Continued on next page.

Checklist 6. Jail Facilities (continued)

Assessment Questions	Y	N	Comments
Visiting Area (continued)			
14. If visiting is noncontact, are sufficient visiting stations available for the expected number of visitors at each scheduled visiting time?			
15. Do the visiting areas provide sufficient acoustic privacy, visibility, and seating?			
16. Are visiting areas designed and arranged to prevent the passage of contraband?			
17. Does the facility include the following spaces or features to accommodate inmate visiting? Visitor check-in and waiting area Visitor access to seating, toilets, and drinking fountains Lockers for visitors' personal belongings Equipment/designated areas for searching of visitors/inmates Appropriate signage to inform visitors about visitation rules.			
18. What is the condition of the following building elements in the inmate visiting areas? Exterior walls <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good Interior partitions <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good Windows/view panels <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good Intercom systems <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good Doors/locks <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good Ceilings <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good Floors <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good Electrical/lighting <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good Plumbing <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good Security equipment <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good Furniture <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			

Continued on next page.



Checklist 6. Jail Facilities (continued)

Assessment Questions	Y	N	Comments
Inmate Housing Areas			
19. Does the arrangement of the jail's living units allow adequate visual surveillance?			
20. Does the jail have sufficient separate living areas to provide separate housing for various classifications of inmates according to the facility's housing plan?			
21. Are single occupancy cells available to house inmates placed in administrative segregation or disciplinary detention?			
22. Does each housing unit have access to natural light?			
23. Does each housing unit include dayroom space?			
24. Are the following fixtures and equipment available in each housing unit? Bunk or bed for each occupant Toilet and shower facilities Lavatory facilities with hot and cold water Tables and seating sufficient for the capacity of the unit Adequate lighting Storage for inmate personal items/clothing			

Continued on next page.

Checklist 6. Jail Facilities (continued)

Assessment Questions	Y	N	Comments
Inmate Housing Areas (continued)			
25. What is the condition of the following building elements in inmate housing areas?			
Exterior walls <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Interior partitions <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Windows/view panels <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Intercom systems <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Doors/locks <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Ceilings <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Floors <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Electrical/lighting <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Plumbing <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Security equipment <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Furniture <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Medical Services Area			
26. Are adequate spaces within the security perimeter available to accommodate the following medical services functions?			
Medical examination/treatment			
Storage of medications and medical supplies			
Medical equipment storage			
Medical records			
Biohazard management and disposal			
Medical administration (office/work space)			
27. What is the condition of the following building elements in the medical services area?			
Exterior walls <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Interior partitions <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Windows/view panels <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Intercom systems <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Doors/locks <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Ceilings <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Floors <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Electrical/lighting <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Plumbing <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Medical equipment <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Furniture <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			

Continued on next page.



Checklist 6. Jail Facilities (continued)

Assessment Questions	Y	N	Comments
Food Services Area			
28. Does the jail's food services area have enough space to accommodate the following functions?			
Food preparation.....			
Serving			
Cleanup and disposal.....			
Refrigerated storage.....			
Dry storage.....			
General storage			
Food service administration (office area).....			
29. What is the condition of the following building elements in the food services area?			
Walls <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Doors/locks <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Ceilings <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Floors <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Electrical/lighting <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Plumbing <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Kitchen equipment <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Cabinets/furniture <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Facility Support Services Areas			
30. Does the jail have a separate service entrance?			
31. Are spaces available to accommodate the following facility support functions?			
Housekeeping (janitor's closets)			
Laundry.....			
Maintenance.....			
General storage			

Continued on next page.

Checklist 6. Jail Facilities (continued)

Assessment Questions	Y	N	Comments
Facility Support Services Areas (continued)			
32. Does the laundry area provide adequate space/equipment for the following functions?			
Collection/sorting of soiled items			
Washing/drying			
Mending			
Storage			
Distribution of laundered items			
33. Do janitor's closets provide adequate space/equipment for the following housekeeping functions?			
Secure storage of cleaning equipment/supplies			
Preparation/staging for housekeeping activities			
Clean up of equipment after use			
34. Do maintenance areas provide adequate space/equipment for the following functions?			
Tools storage			
Supply storage			
Workshop areas			
35. What is the condition of the following building elements in facility support areas?			
Walls	<input type="checkbox"/> Poor	<input type="checkbox"/> Fair	<input type="checkbox"/> Good
Doors/locks	<input type="checkbox"/> Poor	<input type="checkbox"/> Fair	<input type="checkbox"/> Good
Ceilings	<input type="checkbox"/> Poor	<input type="checkbox"/> Fair	<input type="checkbox"/> Good
Floors	<input type="checkbox"/> Poor	<input type="checkbox"/> Fair	<input type="checkbox"/> Good
Electrical/lighting	<input type="checkbox"/> Poor	<input type="checkbox"/> Fair	<input type="checkbox"/> Good
Plumbing	<input type="checkbox"/> Poor	<input type="checkbox"/> Fair	<input type="checkbox"/> Good
Equipment	<input type="checkbox"/> Poor	<input type="checkbox"/> Fair	<input type="checkbox"/> Good
Cabinets/furniture	<input type="checkbox"/> Poor	<input type="checkbox"/> Fair	<input type="checkbox"/> Good

Continued on next page.



Checklist 6. Jail Facilities (continued)

Assessment Questions	Y	N	Comments
Program and Recreation Areas			
36. Can the space available in the jail's program and recreation areas accommodate the following functions?			
Indoor physical exercise			
Outdoor physical exercise			
Passive recreation			
Legal and general library			
Education			
Counseling (individual and group)			
Religious services/instruction			
Program administration			
Program storage			
37. Are the program and recreation areas easy to supervise?			
38. What is the condition of the following building elements in program and recreation areas?			
Walls <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Doors/locks <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Ceilings <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Floors <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Electrical/lighting <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Plumbing <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Equipment <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Cabinets/furniture <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Administrative Areas			
39. Does the jail have sufficient space to accommodate the following administrative functions?			
Public reception			
Public waiting			
Public toilets			
Administrative work space (offices)			
Clerical work space			
Records/file storage			
Conferences/meetings			
Security equipment storage			
Administrative supply storage			

Continued on next page.

Checklist 6. Jail Facilities (continued)

Assessment Questions	Y	N	Comments
Administrative Areas (continued)			
40. Are administrative areas beyond the lobby/reception area located outside the main security perimeter but in an area where access by the general public can be controlled?			
41. What is the condition of the following building elements in the administrative area?			
Walls <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good Doors/locks <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good Ceilings <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good Floors <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good Electrical/lighting <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good Plumbing <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good Equipment <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good Cabinets/furniture <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
Structural and Safety Issues			
42. What is the overall condition of the following building systems?			
Structure <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good – Roof <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good – Exterior walls <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good – Floors/columns <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good – Interior walls <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good – Foundation <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good HVAC system <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good Electrical systems <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good – Lighting <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good – Piped utilities <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good – Communications <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good – Elevators <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good Plumbing <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good Fire safety systems <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good Security systems <input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good			
43. Does the facility provide sufficient access for handicapped persons?			

Continued on next page.



Checklist 6. Jail Facilities (continued)

Assessment Questions	Y	N	Comments
Structural and Safety Issues (<i>continued</i>)			
44. Is the construction class of the building rated noncombustible?			
45. Is a mechanism provided to permit prompt release of inmates from locked areas?			
46. Are exits continuously illuminated?			
47. Are paths for evacuation clearly marked?			
48. Are vertical openings between floors enclosed to prevent the spread of smoke, heat, and fire?			

Continued on next page.

Checklist 6. Jail Facilities (continued)

Assessment Questions	Y	N	Comments
Structural and Safety Issues (<i>continued</i>)			
49. Are hazardous areas (boiler rooms, laundries, kitchens, trash storage, etc.) protected by proper enclosure to prevent the spread of fire?			
Additional Comments			



Checklist 7. Staffing, Recruitment, Hiring, Retention, and Scheduling

Assessment Questions	Y	N	Comments
Staffing <p>1. Does your jail have a current, written staffing plan? If so, determine when it was last reviewed and updated.</p>			
<p>2. If you answered yes to #1, respond to the following:</p> <p>Have jail operations or workload changed significantly since the preparation of the staffing plan or its most recent update?</p> <p>Does the staffing plan address staffing needs for the following categories of staff?:</p> <p>Administrative security/custody.....</p> <p>Program.....</p> <p>Support</p> <p>Does the funding authority agree with and support the staffing levels indicated in the staffing plan?</p>			
<p>3. Do written job descriptions exist for all positions?</p>			
<p>4. Are current staffing levels sufficient to accomplish the following:</p> <p>Provide full coverage of all posts?</p> <p>Actively supervise inmates?</p> <p>Cover all essential jail functions?</p>			
<p>5. Are both male and female staff available in the facility when both male and female inmates are housed?</p>			
<p>6. Are staff earning excessive amounts of overtime or comp time due to staffing shortages?</p>			

Continued on next page.

Checklist 7. Staffing, Recruitment, Hiring, Retention, and Scheduling (continued)

Assessment Questions	Y	N	Comments
Staffing (continued)			
7. Have programs or services that require additional staff increased significantly?			
8. Are any staff on the payroll currently on extended leave due to military service, leave under the Family and Medical Leave Act, or disability? Review the status of these employees and assess the impact of their absence on jail operations.			
9. Is any current litigation related in whole or in part to staffing deficiencies?			
Recruiting, Hiring, and Retention			
10. Given your assessment of the jail population, do any staffing deficits or needs require your immediate attention?			
11. Has the jail had a problem in recruiting qualified staff?			
12. Does the jail have a recruitment plan?			
13. Are there entrance level requirements for various categories of positions within the jail?			

Continued on next page.



Checklist 7. Staffing, Recruitment, Hiring, Retention, and Scheduling (continued)

Assessment Questions	Y	N	Comments
Recruiting, Hiring, and Retention (continued)			
<p>14. Does the jail have a formal process for screening applicants for staff positions?</p> <p>Describe.</p>			
<p>15. Is there a problem with staff turnover in the jail?</p> <p>If so, what are the reasons for the turnover (low pay, stress/burnout, poor working conditions, other job opportunities, etc.) and is anything being done to address the problem?</p>			
<p>16. Have the agency and the jurisdiction's personnel office designated a contact person on personnel matters for the jail?</p> <p>List name(s) and contact information.</p>			
Staff Scheduling			
<p>17. Does the jail have a written facility activity schedule listing all of the activities and functions of the jail?</p> <p>When was it last updated?</p>			
<p>18. Have the jail's programs, operations, or physical plant changed since the schedule was last reviewed?</p>			
<p>19. Does the schedule make efficient use of staff resources?</p>			

Continued on next page.

Checklist 7. Staffing, Recruitment, Hiring, Retention, and Scheduling (continued)

Assessment Questions	Y	N	Comments
Staff Scheduling (continued)			
20. Do the shift configuration and staff work schedule provide adequate coverage at all times and allow for completion of activities in accordance with the facility activity schedule? Assess the staff's level of satisfaction with the current shift configuration and work schedule.			
21. Do agency or union work rules affect the shift configuration and your flexibility in making changes?			
22. Is absenteeism a problem? If so, assess the reason for the absenteeism (insufficient time off, inequities in scheduling holidays and vacation, low morale, burnout).			
23. Are staff cross-trained to assure coverage in critical posts or positions?			
Additional Comments			



Checklist 8. Training

Assessment Questions	Y	N	Comments
Training Resources			
1. Does the jail have a designated training coordinator?			
2. Does the jail have adequate training staff, facilities, equipment, and materials?			
3. Are outside training programs/resources used? If so, describe.			
4. Does the jail have a specific budget allocation for training? Is it sufficient?			
5. Is any current litigation related in whole or in part to training deficiencies?			
Training Plan			
6. Does the jail have written policies and procedures addressing staff training?			
7. Does the jail have a formal, written staff training plan?			

Continued on next page.

Checklist 8. Training (continued)

Assessment Questions	Y	N	Comments
Training Plan (continued)			
8. If you answered yes to #7, does the plan meet the following criteria?			
Is reviewed and updated annually			
Addresses all job classes			
Addresses new and existing employees.....			
Is based on job analysis for new employees			
Is problem based for existing employees			
Yields minimum required hours for each job class			
9. Does the training plan include an annual training calendar?			
10. Has a job analysis been conducted to identify new employee training topics?			
11. Is a problem analysis conducted annually to identify training topics for existing employees?			
12. Is all staff training thoroughly documented?			
13. Is the impact of training evaluated on both an individual employee and an agency basis?			

Continued on next page.

**Checklist 8. Training (continued)**

Assessment Questions	Y	N	Comments
Training Plan (<i>continued</i>)			
14. Is the jail in compliance with all required training standards?			
Additional Comments			



Checklist 9. Security

Assessment Questions	Y	N	Comments
Perimeter Security			
1. Does the jail have a physically secure perimeter that provides an overall barrier between inmate occupied areas and the outside world?			
2. Is access into and out of the secure area of the jail controlled at all times? Find out if there is a written facility access policy and procedures that govern entry into the facility.			
3. Are all security features and devices operable and in good repair?			
4. Are all monitoring and communication systems adequate and maintained in good working order?			
5. Are control centers secure and is access limited to control center operators?			
Inmate Accountability			
6. Are a sufficient number of staff on duty at all times to respond to emergency situations and adequately supervise the anticipated level of activity?			

Continued on next page.

Checklist 9. Security (continued)

Assessment Questions	Y	N	Comments
Inmate Accountability (<i>continued</i>)			
7. Do the locations of staff posts throughout the jail allow staff to observe and manage inmate behavior effectively?			
8. Does the jail have a system for physically counting inmates to verify that all inmates in custody are present or otherwise accounted for?			
9. Are jail staff required to conduct and document frequent well-being checks of inmates?			
10. Have any recent, serious, security-related incidents such as fire, escape, assault, or suicide occurred?			
11. If you answered yes to #10, have investigations been conducted to determine whether policies and procedures were followed or need to be changed or whether additional staff training is required?			
Searches and Contraband Control			
12. Does the jail have written policies and procedures governing the following types of searches?			
Inmate searches (pat, strip, body cavity)			
Property searches			
Visitor searches			
Facility searches			
Vehicle searches			

Continued on next page.



Checklist 9. Security (continued)

Assessment Questions	Y	N	Comments
Searches and Contraband Control (<i>continued</i>)			
13. Does the jail have adequate provisions for the control of contraband?			
14. Does the jail have adequate provisions for the proper storage and controlled use of the following types of equipment and supplies?			
Keys			
Weapons.....			
Tools			
Equipment.....			
Supplies and hazardous materials.....			
15. Have any incidents involving the introduction of contraband or misuse of facility equipment or supplies occurred?			
Use of Force and Restraints			
16. Does the jail have adequate written policies and procedures governing the use of force and use of restraints?			
17. Are staff adequately trained in the use of force and use of restraints?			
18. Have any incidents involved excessive use of force or inappropriate use of restraints?			

Continued on next page.

Checklist 9. Security (continued)

Assessment Questions	Y	N	Comments
Use of Force and Restraints (<i>continued</i>)			
19. Are all use-of-force incidents investigated for appropriateness of use of force or need for additional training and/or policy revision?			
Internal Movement and Transportation			
20. Does the jail have policy and procedures governing the internal movement of inmates within the jail (maintaining accountability, use of escorts, use of restraints, searches, etc.)?			
21. Does the jail have policy and procedures governing the transport of inmates outside the jail (search of vehicle, searches of inmates, restraints, travel routes, etc.)?			
22. Have staff assigned to transport inmates received adequate training in transport procedures and use of equipment?			
23. Have any recent issues or incidents involving inmate movement or transport occurred?			
Security Inspections			
24. Are security inspections conducted on a regular basis?			
25. Does the process provide for the inspection of all areas of the facility?			

Continued on next page.

**Checklist 9. Security (continued)**

Assessment Questions	Y	N	Comments
Security Inspections (<i>continued</i>)			
26. Are checklists used that include the items to be inspected in each area?			
27. Do procedures provide for a supervisory review of inspection results and initiation of appropriate actions to correct any identified concerns?			
28. Do any security concerns require immediate attention?			
29. Does the jail staff include a position that holds primary responsibility for overseeing jail security?			
Additional Comments			



Checklist 10. Safety

Assessment Questions	Y	N	Comments
Safety Management <ul style="list-style-type: none"> <li data-bbox="181 422 897 464">1. Does the jail have a designated safety officer who has been trained? 			
<ul style="list-style-type: none"> <li data-bbox="181 464 897 696">2. Has a recent worksite analysis been conducted to identify potential safety hazards? If so, what were the results? 			
<ul style="list-style-type: none"> <li data-bbox="181 696 897 1182">3. Is the jail in compliance with applicable safety standards (jail standards, fire codes, building codes, OSHA, etc.)? If not, determine the nature of noncompliance and whether there are outstanding issues that require immediate attention. 			
<ul style="list-style-type: none"> <li data-bbox="181 1182 897 1436">4. Is the jail's safety program governed by written policies and procedures? 			
<ul style="list-style-type: none"> <li data-bbox="181 1436 897 1605">5. Is the jail's safety record satisfactory? 			
<ul style="list-style-type: none"> <li data-bbox="181 1605 897 1871">6. Have any recent serious safety-related incidents or accidents occurred? 			

Continued on next page.

Checklist 10. Safety (continued)

Assessment Questions	Y	N	Comments
Safety Management (continued)			
7. If you answered yes to #6, have investigations been conducted to determine whether policies and procedures were followed or need to be changed or whether additional staff training is required?			
Safety Inspections			
8. Does the jail have a system of routine inspections conducted by designated jail staff to identify potential hazards?			
9. Are checklists that include items and locations unique to the facility used as part of the internal inspection process?			
10. Are inspections conducted at regular intervals by inspection authorities and/or other qualified, independent auditors?			
11. Are there provisions for supervisory review of inspection findings and initiation of appropriate corrective action where deficiencies are identified?			
Safety Training			
12. Do staff receive adequate training on safety issues and control measures?			
13. If there is a designated safety officer, has he or she received appropriate training in safety management?			

Continued on next page.

**Checklist 10. Safety (continued)**

Assessment Questions	Y	N	Comments
Safety Training (<i>continued</i>)			
14. Are inmates made aware of their responsibilities with regard to safety?			
Additional Comments			



Checklist 11. Emergency Preparedness

Assessment Questions	Y	N	Comments
Emergency Response Management			
<p>1. Does the jail have a written, comprehensive emergency response plan that includes the following components?</p> <p>Risk assessment and control strategies</p> <p>Organizational structure for emergency response</p> <p>Interagency coordination</p> <p>Written emergency plans for a range of predefined emergencies</p> <p>Evacuation plans</p> <p>Appropriate equipment and resources</p> <p>Training and drills</p> <p>Recovery steps after emergencies</p> <p>Reporting and documentation of emergency information</p> <p>Critical incident review process</p>			
<p>2. Has the jail established agreements with outside agencies that may provide assistance during emergencies?</p>			
<p>3. Does the jail have an emergency response team?</p>			
<p>4. Is the jail in compliance with applicable standards relating to emergency preparedness?</p>			
<p>5. Do any issues or concerns relating to emergency preparedness require immediate attention?</p>			

Continued on next page.

Checklist 11. Emergency Preparedness (continued)

Assessment Questions	Y	N	Comments
Training and Drills			
6. Have staff been given adequate training in the handling of emergencies?			
7. Are emergency drills conducted periodically to test the effectiveness of the emergency response plans?			
Equipment and Resources			
8. Are the following types of emergency systems, equipment, and resources in place and operational? Communications system (internal and external) Alarm system Fire detection and suppression system Emergency generators Emergency keys Protective equipment Floor plans and other facility documentation			
Recovery and Review			
9. Does the jail have arrangements for housing inmates temporarily in other facilities if it cannot be occupied following an emergency?			
10. Does the jail have the means to ensure that all information about an emergency is compiled and documented?			

Continued on next page.

**Checklist 11. Emergency Preparedness (continued)**

Assessment Questions	Y	N	Comments
Recovery and Review (<i>continued</i>)			
11. Does the jail have a process for critical review of emergencies that provides for the following:			
Assessment of the appropriateness of training			
Assessment of the appropriateness of policy and procedure			
Assessment of the adequacy of systems, equipment, and coordination			
Determination of any policy violations.....			
Additional Comments			



Checklist 12. Inmate Services and Programs

Assessment Questions	Y	N	Comments
Food Services			
<p>1. How are food services provided in the jail?</p> <p>Provided in-house</p> <p>Contracted</p> <p>Prepared onsite</p> <p>Prepared elsewhere</p> <p>If contracted, determine how much time is left on the contract and how long it has been since the contract was rebid. Assess how well the food services contractor has performed.</p>			
<p>2. Is the funding allocated for food services in the current budget sufficient?</p> <p>Is the food services operation over or under budget?</p> <p>Review food services expenditures for the past few years for trends in expenditures.</p>			
<p>3. Is the cost per meal reasonable?</p> <p>Has the cost per meal increased or decreased over the past few years?</p>			
<p>4. Are food services facilities and equipment functional and in good condition?</p>			
<p>5. Is the jail in compliance with applicable food services standards?</p>			
<p>6. Does the jail have a system of internal sanitation inspections of food services facilities and operations?</p>			
<p>7. Do procedures provide for a supervisory review of inspection results and initiation of appropriate actions to correct any identified concerns?</p>			

Continued on next page.

Checklist 12. Inmate Services and Programs (continued)

Assessment Questions	Y	N	Comments
Food Services (continued)			
8. Have menus been evaluated and approved by dietary professionals?			
9. Are there any complaints relating to food services?			
10. Are there any incidents or problems involving food services issues?			
Medical and Mental Health Services			
11. How are medical and mental health services provided?			
Provided in-house			
Contracted			
Provided at the jail			
Provided offsite			
Find out what services jail staff provide and what services are contracted out. If contracted, determine how much time is left on the contract and how long it has been since the contract was rebid. Assess how well the medical services and mental health contractors have performed.			
Identify the jail's primary contact(s) for medical and mental health services. List name(s) and contact information.			
12. Is the funding allocated in the current budget for medical and mental health services sufficient?			
Are the medical and mental health services operations over or under budget?			
Review medical and mental health expenditures over the past few years for trends in expenditures.			

Continued on next page.



Checklist 12. Inmate Services and Programs (continued)

Assessment Questions	Y	N	Comments
Medical and Mental Health Services (continued) 13. Does the current level of use of medical and mental health services seem appropriate? Has utilization increased or decreased over the past few years?			
14. Are the jail's health-care facilities and equipment functional and in good condition?			
15. Is the jail in compliance with applicable medical and mental health services standards?			
16. Are there any complaints relating to health-care services?			
17. Are there any incidents or problems involving health-care services issues?			
Clothing and Linens 18. Does the jail have an adequate inventory of clothing and linens?			
19. Are clothing and linens in good condition?			

Continued on next page.

Checklist 12. Inmate Services and Programs (continued)

Assessment Questions	Y	N	Comments
Clothing and Linens (<i>continued</i>)			
20. Does the jail have procedures and schedules for the regular exchange of clothing and linens?			
21. Are there any incidents involving the destruction or misuse of jail clothing or linens?			
22. Is the current budget allocation for purchase of clothing and linens sufficient?			
23. Is a designated staff person responsible for maintaining the jail's clothing and linens inventory?			
Laundry Services			
24. How are laundry services provided? Provided in house by jail staff..... Provided offsite by a third party.....			
25. If provided in house, are laundry equipment and facilities functional and in good condition?			
26. Are inmate workers assigned to laundry services? If so, how are they supervised?			

Continued on next page.


Checklist 12. Inmate Services and Programs (continued)

Assessment Questions	Y	N	Comments
Personal Hygiene and Grooming			
27. Do inmates have access to operable shower or bathing facilities and lavatories?			
28. Is the supply of hot and cold running water sufficient for daily showers and personal grooming?			
29. Is hot water regulated to prevent maximum temperature from exceeding 120 degrees Fahrenheit?			
30. Are essential hygiene and grooming products available to all inmates?			
31. Is information concerning personal hygiene services and expectations included in the inmate handbook?			
32. Are resources available to instruct inmates and staff on appropriate personal hygiene and self-care?			
33. Are there any complaints relating to access to personal hygiene equipment, supplies, or services?			

Continued on next page.

Checklist 12. Inmate Services and Programs (continued)

Assessment Questions	Y	N	Comments
Visitation			
34. Does the jail have written policies and procedures governing inmate visits?			
35. Does the inmate handbook include information about visiting rules and schedules?			
36. Are visitors made aware of visiting rules and schedules?			
37. Does the schedule provide a sufficient number of hours to allow all inmates their allotted visiting time?			
38. Does the schedule include evening and weekend hours that accommodate family members' work schedules?			
39. Are there provisions for confidential professional visits? Are such visits allowed beyond normally scheduled visits?			
40. Have inmates or visitors registered any complaints concerning the visiting process?			

Continued on next page.


Checklist 12. Inmate Services and Programs (continued)

Assessment Questions	Y	N	Comments
Visitation (continued)			
41. Are there any incidents involving the visiting process?			
42. Is the visiting area secure and can it be easily supervised by staff?			
Mail and Telephone			
43. How are telephone services provided in the jail?			
44. If reverse-charge telephones are utilized: Are the charges reasonable? Is there an agreement with the funding authority regarding the use of telephone revenue proceeds? Have telephone services and maintenance of equipment been satisfactory?			
45. Do current procedures adequately safeguard the privacy required for privileged communications?			
46. Do current procedures provide for the proper handling of inmate funds and other items received through the mail?			
47. Do current procedures address inspection of mail for contraband?			

Continued on next page.

Checklist 12. Inmate Services and Programs (continued)

Assessment Questions	Y	N	Comments
Mail and Telephone (<i>continued</i>)			
48. Are there any incidents involving contraband entering the facility through the mail?			
49. Are there any inmate complaints regarding mail or telephone services?			
Exercise and Recreation			
50. Is exercise provided as part of the daily scheduled routine?			
51. Is adequate indoor and outdoor exercise space available?			
52. Can exercise areas be easily supervised?			
53. Is the physical security of exercise areas sufficient?			
54. Is the exercise equipment available to inmates sufficient and in good condition?			

Continued on next page.



Checklist 12. Inmate Services and Programs (continued)

Assessment Questions	Y	N	Comments
Exercise and Recreation (<i>continued</i>)			
55. Are there indicators of idleness and boredom in the inmate population?			
Library Services			
56. Are library services provided in the jail? Does the jail maintain its own library collection or does it have arrangements with a local library?			
57. Does the jail make effective use of community resources in providing library services?			
58. Does the inmate handbook include information on procedures for accessing reading materials?			
59. Have provisions been made to assure inmate access to legal reference materials or, alternatively, legal assistance services?			
60. Are there any inmate complaints regarding library services?			
61. Are there any incidents involving the passage of contraband or other problems relating to library services?			

Continued on next page.

Checklist 12. Inmate Services and Programs (continued)

Assessment Questions	Y	N	Comments
Commissary Services			
62. How are inmate commissary services provided in the jail?			
63. Is the responsibility for managing inmate commissary services assigned to a designated staff person? List name and review responsibilities.			
64. Are proper inventory controls in place to receive, store, and disburse commissary items?			
65. Are proper accounting methods in place to manage inmate trust accounts?			
66. Have commissary funds and inmate accounts been audited recently? If so, were any problems noted?			
67. Is the jail in agreement with the funding authority regarding the use of profits from commissary sales?			
68. Are prices charged for commissary items reasonable?			

Continued on next page.



Checklist 12. Inmate Services and Programs (continued)

Assessment Questions	Y	N	Comments
Commissary Services (continued)			
69. Does the inmate handbook outline procedures for making commissary purchases?			
70. Are there any inmate complaints regarding commissary services?			
71. Are there any incidents involving the improper handling of commissary products or funds?			
Inmate Programs			
72. Are inmate programs currently available in the jail? How are the programs delivered? List all programs, including contact information for key program providers.			
73. Are space, equipment, and supplies adequate to meet program needs?			
74. Is inmate participation in programs satisfactory? What results have the programs achieved? What is the current cost of inmate programs? To what extent are community resources used for inmate programs?			
75. If persons from the community are used for programs, do they undergo a screening and training process?			

Continued on next page.

Checklist 12. Inmate Services and Programs (continued)

Assessment Questions	Y	N	Comments
Inmate Programs (<i>continued</i>)			
76. Are inmate programs included in the jail's daily scheduled routine?			
77. Are inmates engaged in constructive activities for significant portions of the day?			
78. Is a specific staff person responsible for coordinating programs in the jail? List and review assigned responsibilities.			
Additional Comments			



Checklist 13. Inmate Behavior Management

Assessment Questions	Y	N	Comments
Screening			
1. Does the jail have a process for systematically screening inmates at admission to assess security and safety risks and the need for special services or supervision?			
2. Is the initial screening and assessment information collected at intake documented on a standard form(s)?			
3. Is the screening information gathered at intake reviewed in a timely manner by appropriate personnel who can respond to the issues presented?			
4. Have the intake staff received training in the screening process and the use of screening instruments?			
Classification			
5. Does the jail have a formal, written classification process for determining housing assignments, supervision requirements, and program eligibility?			
6. If you answered yes to #5, does the classification system include the use of objective screening tools such as point-additive or decision-tree instruments?			

Continued on next page.

Checklist 13. Inmate Behavior Management (continued)

Assessment Questions	Y	N	Comments
Classification (continued)			
7. Does the classification process provide for reassessment at scheduled intervals and in response to new information?			
8. Does the jail have a system of information sharing so that program, support, and custody staff all have the information they need to manage each inmate's behavior?			
9. Is responsibility for managing the classification process assigned to a specific staff position? Identify the staff person responsible for managing the classification process and determine what direction and authority this person has had in managing the process.			
Housing Plan			
10. Does the jail have a housing plan that provides for housing assignments and management of inmates based on behavior, compatibility, and legal mandates or standards?			
11. Does the jail provide housing apart from the general population for inmates who require protective custody, those who demonstrate chronic behavior problems, and those who are violent or who present an escape risk?			
12. Does the jail provide housing apart from the general population for inmate workers and those on work release?			
Orientation			
13. Are inmates given a formal orientation to the jail at admission?			

Continued on next page.



Checklist 13. Inmate Behavior Management (continued)

Assessment Questions	Y	N	Comments
Orientation (<i>continued</i>)			
14. Does the jail have an inmate handbook that outlines rules, expectations for inmate behavior, and consequences for rule violations?			
15. Do the inmate handbook and orientation process make accommodations for inmates who are not literate, who are non-English-speaking, or who have disabilities that interfere with receiving and understanding the information provided? Review the characteristics of the inmate population and the types of accommodations currently available.			
Staff Placement and Interaction			
16. Does the jail have enough staff to supervise inmates adequately on all shifts?			
17. Are the staff positioned within the jail so they can see, hear, and promptly respond to what is happening in inmate-occupied areas?			
18. Do staff conduct (and document) frequent well-being checks as required by applicable jail standards?			
19. Is the staff's level of interaction with the inmates sufficient for staff to supervise the inmates effectively and manage their behavior?			

Continued on next page.

Checklist 13. Inmate Behavior Management (continued)

Assessment Questions	Y	N	Comments
Incentives and Sanctions			
20. Does the jail offer incentives to encourage inmates to behave well and comply with the rules?			
21. Does the jail have a formal disciplinary process for inmates who break the rules?			
Productive Activities			
22. Are inmates kept productively engaged in activities throughout the day to avoid extended periods of idleness? Review the daily schedule to determine the amount of planned activity and tour the housing units at various times to see the level of inmate participation in activities.			
Additional Comments:			



Checklist 14. Inmate Discipline and Grievance

Assessment Questions	Y	N	Comments
Inmate Discipline <p>1. Does the jail have written policies and procedures governing the inmate disciplinary process?</p>			
<p>2. Does the inmate disciplinary process include the following components?</p> <p>Written rules governing inmate conduct</p> <p>Written description of sanctions for rule violations</p> <p>Written description of the disciplinary process</p> <p>Inmate orientation/access to rules, sanctions, and the disciplinary process</p> <p>Provisions for resolving minor infractions</p> <p>Notice of rule violation</p> <p>Procedures for a fair hearing on rule violations</p> <p>Documentation of disciplinary actions</p> <p>Review of disciplinary decisions by a higher authority</p> <p>Right to appeal</p>			
<p>3. Are staff adequately trained in the rules and the disciplinary procedures?</p>			
<p>4. Do any problems or issues relating to inmate discipline require immediate attention?</p>			
Inmate Grievances <p>5. Does the jail have a formal grievance process?</p>			
<p>6. Is a staff person responsible for administering the grievance system?</p>			

Continued on next page.

Checklist 14. Inmate Discipline and Grievance (continued)

Assessment Questions	Y	N	Comments
Inmate Grievances (<i>continued</i>)			
7. Do the inmate handbook and inmate orientation provide information about the grievance process?			
8. Does the jail's grievance system provide for the following? Access by all inmates without reprisal Availability of grievance forms Staff assistance to inmates desiring help in preparing grievances Written responses to grievances Reasonable timeframes for reviewing and responding to grievances Supervisory review of all grievances Process appeal to a higher level			
9. Do any problems or issues relating to the grievance process require immediate attention?			
Additional Comments			



Checklist 15. Special Management

Assessment Questions	Y	N	Comments
<p>1. Does the jail have written policies and procedures governing the management of inmates in the following areas of special management?</p> <p>Administrative segregation</p> <p>Protective custody</p> <p>Disciplinary detention</p>			
<p>2. Do procedures for the handling of inmates in special management include the following?</p> <p>Placement in special management pursuant to classification or disciplinary process</p> <p>Periodic placement review</p> <p>Daily visits by supervisory staff</p> <p>Frequent well-being checks by special management unit staff</p> <p>Medical oversight as appropriate</p> <p>Access to showers, hygiene supplies, and bedding</p> <p>Access to mail, reading materials, and visitation</p> <p>Telephone privileges where not denied for disciplinary reasons</p> <p>Access to programs and services</p> <p>Access to out-of-cell exercise</p> <p>Documentation justifying deprivation of hygiene/health items or exercise</p>			
<p>3. Does the jail have a separate housing area for special management inmates?</p>			
<p>4. If you answered yes to #3, do the conditions in the special management housing area approximate those of the general population housing areas?</p>			

Continued on next page.

Checklist 15. Special Management (continued)

Assessment Questions	Y	N	Comments
5. Have staff received training in the management and supervision of special management inmates?			
Additional Comments			



Checklist 16. Intake and Release

Assessment Questions	Y	N	Comments
General Issues			
1. Does the jail have policies and procedures governing the intake and release functions?			
2. Is the intake area set up efficiently for the intake and processing of arrestees? If not, are there ways to modify the intake area for efficiency?			
3. Does the intake area support the following functions? Inmate searches Weapons security Police report area Medical screening Booking and inmate ID Assessment and classification Property receipt and storage Telephone calls Temporary holding Separate housing for inmates who are suicidal or have infectious diseases			
Shower and Dress Out			
4. Does the jail employ any of the following technologies to augment the intake and release processes? Electronic fingerprinting Video imaging Barcoding for identification and inventory of property Automated booking programs Telemedicine Negative pressure cells			
5. Are basic tools such as rubber gloves, restraint equipment, and body fluid protective equipment available in the intake area? Are staff trained in their use?			

Continued on next page.

Checklist 16. Intake and Release (continued)

Assessment Questions	Y	N	Comments
Intake Process			
6. Does the jail's intake process provide for the following?			
Securing of the arresting officer's weapons			
Initial pat or frisk search before entering the intake area			
Identification of the arresting officer			
Verification of arrest or legal commitment			
Assessment for medical clearance			
Search of arrestee			
Property removal and inventory			
Medical and suicide screening			
Completion of booking forms			
Identification (photographs and fingerprints)			
Warrant checks			
Arrestee telephone calls to family, bondsman, or attorneys			
Pretrial release screening			
Shower, dress-out, and issue			
Initial classification			
Orientation			
Release Process			
7. Does the jail's release process provide for the following?			
Verification of discharge documents			
Verification of identity of inmate being released			
Check for holds or detainers			
Return of property and money			
Referrals (medical, mental health, etc.)			
Victim notification			
Review of release requirements			
Transportation arrangements			
Completion of release documents			
Suicide Prevention			
8. Is the arresting officer required to complete a suicide form regarding any statements by the arrestee or observations by the arresting officer?			

Continued on next page.


Checklist 16. Intake and Release (continued)

Assessment Questions	Y	N	Comments
Suicide Prevention (<i>continued</i>)			
9. Are suicidal arrestees placed under constant observation until they are seen by a mental health professional and a supervision routine has been ordered?			
10. Is the suicide observation cell checked before the suicidal arrestee is placed in the cell and can the inmate be easily observed?			
11. Are suicidal arrestees given "suicide" smocks and blankets?			
12. Are decisions to remove the person from suicide watch made only by mental health professionals?			
13. Is there a "suicide in progress" plan and are staff trained in its implementation?			
Intoxication and Withdrawal			
14. Are all intoxicated arrestees tested for blood alcohol levels?			
15. Are arrestees experiencing serious withdrawal treated at a hospital?			

Continued on next page.

Checklist 16. Intake and Release (continued)

Assessment Questions	Y	N	Comments
Intoxication and Withdrawal (<i>continued</i>)			
16. Do protocols exist for supervising arrestees experiencing minor withdrawal symptoms? Are there procedures for hospital referral if their symptoms become more serious?			
17. Do staff receive training in the supervision and management of intoxicated inmates?			
Infectious Disease Control			
18. Are the jail's infectious disease program and protocols coordinated with the local health department?			
19. Are inmates with infectious diseases identified and housed separately from the general population?			
20. Are staff trained in universal precautions?			
21. Is the health department notified when an inmate with an infectious disease is released?			
Intake Searches			
22. Does the jail's policy prohibit the blanket strip search of all arrestees and only allow strip searches based on reasonable suspicion that the arrestee is concealing contraband?			

Continued on next page.

**Checklist 16. Intake and Release (continued)****Assessment Questions** **Y** **N** **Comments****Intake Searches (continued)**

23. Does a supervisor approve each and every case where an arrestee is strip searched?

24. Are provisions made to prevent officers/others from "observing" arrestees when they are showering or changing into jail clothing in cases where strip searches are not authorized?

Additional Comments