

JAIL ADMINISTRATION

Participant Manual

Module Overview

This module provides an introduction to the program, including:

- Program staff introductions.
- An overview of NIC's services.
- A review of program "housekeeping" issues.
- Participant introductions.
- A small group exercise using the *Beyond the Myths* video as a foundation to discuss the range and complexity of jail operations, keys to effective jail operations, and the role of the jail administrator in promoting effective jail operations.
- An overview of the program goals, topics, agenda, and materials.

Performance Objectives

- After watching the *Beyond the Myths* video and a small group discussion, participants will describe the range and complexity of jail operations, identify keys to effective jail operations, and analyze the role of the jail administrator in promoting effective jail operations.
- Using the information provided, participants will identify the overall goals and topics of the program and explain how program goals relate to enhancing the ability of jail administrators to promote effective jail operations.

What is the National Institute of Corrections?

The National Institute of Corrections (NIC) is a federal agency within the Department of Justice, Bureau of Prisons. NIC was established in 1977 to be the primary source of federal assistance to state and local corrections.

NIC is organized into seven divisions:

- Jails
- Prisons
- Community Corrections
- Academy
- Office of Offender Workforce Development
- Research and Evaluation
- Administration

NIC provides assistance through:

- Technical assistance
- Training
- Information services

Beyond the Myths

The ***Beyond the Myths*** video was developed by the National Institute of Corrections to help jail administrators provide the public with information about jails generally, their jails specifically, and the need for community interest in local jail issues. It can also be used to educate prospective jail employees.

Small Group Exercise: Keys to Effective Jail Operations

- Discuss the range and complexity of functions in your jails and the role of the jail administrator in ensuring effective jail operations.
- What are the keys to effective jail operations? Develop a list to share with the large group.
- Select a recorder, timekeeper and reporter.
- You will have 10 minutes to complete your list.

Program Overview

In each module of the program, we will be focusing on specific administrative responsibilities and tools including:

- Action planning
- Using jail standards
- Managing risk
- Policy and procedure
- Determining staffing needs
- Managing the workforce
- Managing inmate behavior
- Developing a fire, safety, and sanitation plan
- Managing the budget
- External role of the jail administrator
- Assessing jail operations

Program Goals

At the end of the program, participants will be able to:

- Describe the keys to effective jail operations and the role of the jail administrator in promoting effective jail operations.
- Apply the administrative tools presented in the program to promote effective jail operations.
- Analyze the strengths and weaknesses in their own jails relating to each administrative tool presented.
- Develop strategies to address identified weaknesses relating to each administrative tool presented.

Module Overview

This module provides an overview of action planning, including the seven-step action planning process and developing an action plan. Following an instructor demonstration, participants create a written action plan for a non-corrections topic. The Action Plan Workbook and end-of-program assignment are introduced and explained.

Performance Objectives

- Given a brief lecture, participants will identify the seven steps of the problem solving process.
- Given an instructor demonstration, participants will create an action plan following the action plan format.
- Using the information from this module, each participant will create individual action plans specific to his or her jail at the end of each remaining module of the program.

Theme of Action Planning

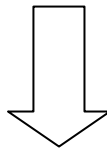
*Good things don't happen by accident –
you have to make them happen.*

If you keep doing the same thing, you are going to keep getting the same results. In order to get different results you have to make a change.

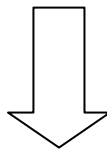
An action plan is something you can use to help assure your **thoughts** are turned into **action** and therefore **results**.

To Bring About Positive Change and Solve Problems

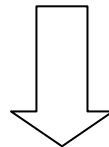
You need a PLAN



You need to take ACTION



You need an



ACTION PLAN

Seven Step Action Planning Process

Step One: Identify a problem or need

Make sure that the problem or need that you have identified is the true problem or need.

Step Two: Analyze the problem

Take it apart and really look for the causes. Ask yourself, *“What is the root cause of the problem?”*

Step Three: Identify possible solutions

Bring together staff and brainstorm possible solutions. Remember that your staff do the job every day and will bring a wealth of information.

Step Four: Analyze possible solutions and select the “best” one

These should be solutions that are realistic and achievable within your organization. The solutions may be simple or complex.

Seven Step Action Planning Process

Step Five: Write an action plan

This needs to be a precise step-by-step strategy with specific action steps. This may require a task analysis be completed to ensure steps are not left out.

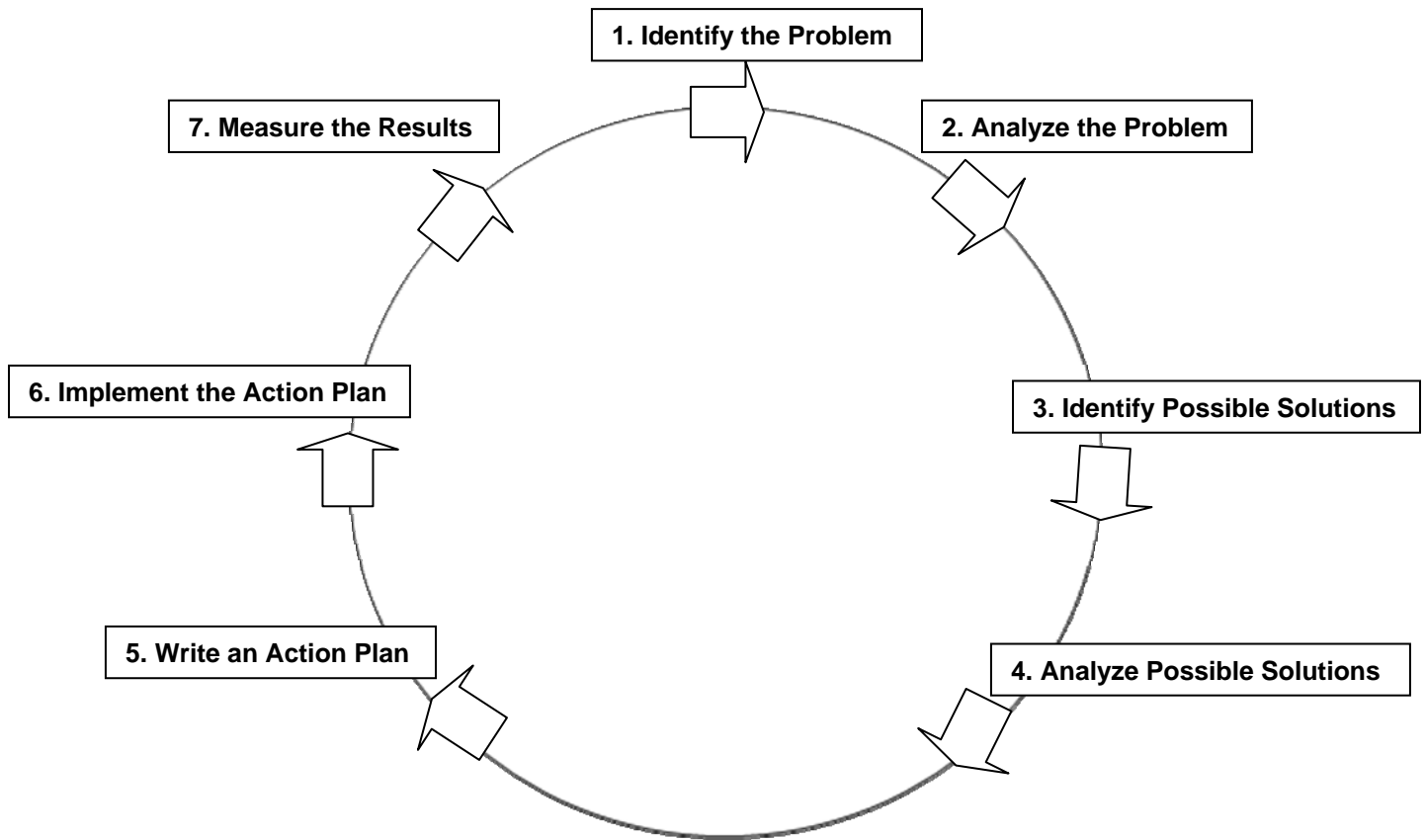
Step Six: Implement the action plan

This step is critical. As the plan is implemented you **MUST** monitor and supervise each step of the implementation of your plan.

Step Seven: Measure the results

Once the plan is implemented you need to make sure it works. You need to evaluate your plan objectively. Collect data and information and compare it to your goal. You need to determine “did my action plan work?”

Action Planning is a Circular Process



Developing an Action Plan

Use an action plan form to develop a step-by-step plan to address problems and achieve solutions for goals you have identified.

Write the Goal

In this first step you must establish your target and set your goal. When writing a goal statement you need to make sure it is:

- Clearly written
- In a measurable form
- Can include a time frame
- Should indicate a direction or change

Create Action Steps

If all the steps are not identified it can become extremely difficult to reach your goal. It is very important to identify each step.

Identify Resources Required

The goal here is to make sure you have, or are able to obtain, the resources to complete each step of your plan. This will allow you to plan for:

- Budget requests
- Reassignment of equipment
- Reassignment of resources
- Simply obtaining necessary equipment or resources

Developing an Action Plan

Assign Responsibility for Each Task

What to consider when assigning tasks? The person being assigned a task should:

- Have the necessary skills to complete the assignment
- Be under your supervision
- Agree to achieve them

You must DELEGATE – you cannot do it all by yourself!!!

Assign Deadlines

When assigning deadlines do not set the deadline too long. This will encourage people to delay starting. On the other hand, do not set the deadline too short, as people will not have time to complete the assignment and may become discouraged at the onset.

Action Planning Format

Problem: Staff not filling out **reports/forms** completely and accurately

Goal: To increase acceptance rate on reports/forms to 95% over a 30 day measurement period

Step by Step action plan to achieve your goal:

	Action Step (Tasks)	Person Responsible	Resources Required	Completion Date
1	Collect all forms and reports for the last 30 days	Jail Receptionist	None	8/30/2008
2	Review and assess forms/reports for completeness and accuracy	Jail Administrator	None	8/31/2008
3	Make copies of completed forms for each shift	Jail Receptionist	Photocopier	9/1/2008
4	Direct each shift to review and critique each form	Shift supervisors	Copies of forms	9/2/2008
5	Collect reviews and identify problems	Jail Administrator	None	9/8/2008
6	Schedule all-staff meeting	Jail Adm/Jail Recept.	Notice/Shift schedule	9/8/2008
7	Schedule meeting room in Courthouse	Jail Receptionist	Clerk's Office	9/13/2008
8	Conduct all staff meeting to report findings and deficiencies	Jail Administrator	Meeting room	9/16/2008
9	Schedule individual meetings with specific staff	Jail Adm/Jail Recept.	Notice/Shift schedule	9/17/2008 - 9/21/2008
10	Hold individual coaching sessions with staff	Jail Administrator	Actual forms or reports	9/22/2008

Action Planning Format

	Action Step (Tasks)	Person Responsible	Resources Required	Completion Date
11	Meet with training officer to schedule training	Jail Administrator	None	9/23/2008
12	Schedule forms/reports all-staff training	Training Officer	Notice/Shift schedule	9/23/2008
13	Conduct forms/reports workshop	Training Officer	Room/trainer	9/28/2008
14	Meet with each shift re: Report Writing Contest	Jail Administrator and Shift Supervisors	None	9/30/2008
15	Review reports daily	Shift Supervisors	Copies of forms	10/1/2008-11/1/2008
16	Collect last 30 days of forms/reports	Jail Receptionist	None	11/2/2008
17	Review and score reports	Jail Adm/Supervisors	None	11/4/2008
18	Schedule meeting room in Courthouse	Jail Administrator	Clerk's office	11/5/2008
19	Schedule all-staff meeting	Jail Receptionist	Notice/Shift schedule	11/8/2008
20	Conduct all-staff meeting to review findings and make awards to staff	Jail Administrator	Meeting room	11/15/2008
21	Monitor quality of forms/reports	Shift Supervisors	Actual forms or reports	On-going
22	Audit sample forms/reports	Jail Administrator	Actual forms or reports	Quarterly

Small Group Exercise

Instructions: Each group will be assigned an activity requiring an action plan. Analyze your assignment and develop a precise and thorough action plan to achieve the identified goal. Select a recorder to put your plan on the chart pad and a reporter to report out on your plan to the large group. You will have 10 minutes to complete your work.

Group 1

Your table group has agreed that everyone at your table would like to perform a bungee jump on Friday morning.

Group 2

Your table group has agreed that they would like to produce a written directory, including pictures, of all the participants in this program and present everyone in the class with a copy on Thursday evening.

Group 3

Your table group has agreed that everyone at your table would like to work out at a local gymnasium on Wednesday night at 7:00 p.m., wearing gym shoes, shorts, and tee-shirts.

Group 4

Your table group has agreed to coordinate a tour of a local historical site for all participants in this program on Thursday night.

Module Overview

This module emphasizes using jail standards to make operational decisions, analyze operational problems, and resolve operational deficiencies. Participants are introduced to the role and purpose of standards and work in small groups to analyze scenarios and use sample jail standards to address operational issues. Individually, participants create action plans addressing the use of standards in their own jails.

Performance Objectives

- After a brief lecture and large group discussion, participants will identify the role and purpose of jail standards.
- Given a small group exercise, participants will apply jail standards to make an operational decision.
- Given a small group exercise, participants will apply standards to analyze an operational deficiency and develop a plan for corrective action.
- After completing this module, using the action planning workbook, each participant will create an individual action plan to address the use of standards in his or her jail.

Jail Mission and Goals

Mission can be defined as the purpose of the jail – why it exists.

Goals are the results the jail hopes to achieve if it successfully carries out its mission.

What are the primary mission and goals of jails?

How do jail operations relate to mission and goals?

Jail Standards

How do we know what practices we need to have in place to meet our mission and goals? Standards are one tool that helps us identify effective practices in our jails.

Standards help jail administrators:

- Make effective operational decisions
- Assess operations
- Identify and address operational deficiencies

Jail standards also provide:

- A tool to direct staff and measure their performance
- A basis for policies and procedures
- A basis for developing staff training programs
- A guide to effective liability and risk management
- A means to measure accomplishments

Jail Standards

Jail standards are rules and guidelines that govern the condition of jails and how they are operated. Standards are generally written as prescriptive statements intended to reflect established legal requirements and sound correctional practice.

Jail standards are written by many states and professional organizations. Currently, 32 states have adopted jail standards. The federal government has developed standards for tribal jails and for jails contracting to hold federal detainees. In addition, local fire, building, and health codes typically include rules and regulations that apply to jails.

State Statutory Standards and Inspection Programs

State statutory jail standards and inspection programs are typically administered within the state department of corrections or by independent commissions. In some states, the statutory jail standards program is administered by a public health or public safety agency.

While the statutory purpose of state inspection programs is to regulate, the goal of most programs is to be a resource to jails. State inspection programs often assist jails by:

- Providing objective assessments
- Being a source of current information and “best practice”
- Providing technical assistance in specific areas
- Reviewing renovation and construction plans
- Being a referral agent
- Being an advocate for the jail
- Providing or facilitating access to resources

State-Specific Professional Standards

In some states not having a statutory state standards and inspection program, other organizations such as the state sheriffs' association have developed voluntary jail standards.

National Professional Standards

Voluntary standards are also developed by professional organizations. Jails may choose to voluntarily comply with professional organization standards to raise the level of professionalism in their organization, and may elect to be accredited under these standards.

Performance-Based Standards

Recently, some professional organizations have developed **performance-based** standards for jails.

- Focus on “results” rather than “process”
- Outcome measures are defined and may be tracked to monitor organizational performance
- Connect jail practices to mission and goals

American Correctional Association (ACA) Performance-Based Standards

ACA standards are organized around seven goals:

1. Safety
2. Security
3. Order
4. Care
5. Program and Activity
6. Justice
7. Administration and Management

How do the ACA goal areas compare to the keys to effective jail operations and the goals we listed earlier?

ACA Performance-Based Standards Terms

Term	Definition
Goal	Statement describing ideal state if organization were to fully achieve its mission
Standard	Statement that defines a condition or result to be achieved and maintained
Expected Practices	Actions and activities that, if properly implemented, will produce desired outcomes
Protocols	Documentation used to guide implementation of expected practices

ACA Standard Numbering System Example: 1-CORE-2A-01

1-CORE	1 st edition of the ACA Core Jail Standards
2A	Goal and Performance Standard: Security – Protection from Harm
01	First Expected Practice associated with goal and performance standard

Using Standards to Make Operational Decisions

Because standards are an excellent source of information on what represents “sound correctional practice” and clearly established legal requirements in various aspects of jail operations, they are a primary reference that jail administrators can use in operational decision-making.

Example: At booking, a newly sentenced inmate claims to be an Orthodox Jew and states that he will need a kosher diet and the services of a rabbi. Is the jail required to fulfill these requests?

Using Standards to Establish a Program to Assess Operations

Standards also are an excellent resource for establishing a program to assess jail operations. The frequency of assessment, the methods and tools used to assess jail operations, and the anticipated results are often included in the standards.

Example: You want to assess whether you are meeting your goals for sanitation in the jail.

Using Standards as a Foundation for Policy Development

- Standards are a source for identifying topic areas to be addressed in the jail's policy and procedure manual.
- Standards define required actions for each subject area.

Small Group Exercise

Break into your small groups. Each small group will be assigned a scenario involving a contemplated change in how a service or function is delivered in your jail. Use the ACA Core Jail Standards to determine the basic requirements and scope of your assigned service or function.

Select a recorder, timekeeper, and reporter. Prepare a report on the chart pad listing the applicable standard numbers and the basic requirements of your assigned service or function. You will have 15 minutes to complete your work.

Group 1: You are considering contracting for food services. Use the standards to help outline the requirements and scope of the contract.

Group 2: You are considering implementing a formal inmate classification process for the jail. Use the standards to help outline the requirements and scope of the process.

Group 3: In accordance with the Prison Rape Elimination Act – PREA, you must develop policies and procedures for handling reports of sexual assaults on inmates. Use the standards to help outline the requirements for the P&P's.

Group 4: You have decided to establish a formal training program for the jail. Use the standards to help outline the functions and scope of the training program.

Small Group Exercise

Each group will be assigned a scenario describing a potential operational deficiency in the jail. Use the ACA standards to determine the related ACA **goal** and **desired outcomes** for the situation described in your scenario. Identify the **expected practices** that should be in place and outline the **corrective action** necessary to resolve the issue. Record your work on the chart pad. Select a reporter and a spokesperson and be ready to report out in 20 minutes.

Group 1: The local health inspector paid a surprise visit to your facility. He discovered fruit and other perishable food hoarded by inmates in several cells. There was also evidence of insects and rodent droppings in the inmate-occupied areas. The toilets and showers in the living units did not look as though they had received a thorough cleaning for some time. When asked why the living units were in this condition, the staff on duty said that they just could not get the inmates to keep things clean. You, as the jail administrator, were surprised at the health inspector's findings, because you had not previously been made aware that there was a problem with sanitation and housekeeping.

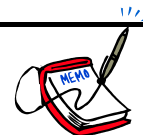
Group 2: The sheriff has called you, as the jail administrator, to discuss complaints he has received from multiple inmates recently released from the jail. In each case, the inmate is claiming that he or she was released without having valuable property, including jewelry, clothing, and cash, returned to them. When asked, booking and release staff say that the booking area is too busy and crowded to document specific items of inmate property; each arrestee's clothing and valuables are placed in one large bag and stored in an open property room.

Group 3: The local inmate advocacy agency has contacted you, as jail administrator, seeking improvements in the inmate exercise program. The group is threatening legal action if changes aren't made soon. Your 300-bed facility has one outdoor exercise yard that is approximately 1200 square feet in size and is equipped with a basketball hoop and a basketball. Each inmate housing area is scheduled for the yard three days a week for one hour each, weather permitting. No provisions are made for indoor exercise outside the housing area dayrooms.

Group 4: As jail administrator you have received several phone calls from family members of inmates. These family members claim that their loved ones are not receiving adequate medical care. Specifically, they claim that inmates have no way to reach medical staff directly, that requests to be seen by medical staff are ignored for days, and that medical fees are too high. When asked, medical staff tells you that, due to short staffing, they concentrate on screening new arrestees, and rely on the housing area officers to call them if an inmate has a medical need.

Using Jail Standards

To take best advantage of jail standards:



Learn about the standards which apply to jail operations.

Use standards to help make decisions, assess operations, and resolve identified deficiencies.

Module Overview

This module identifies risk management as a key responsibility of the jail administrator. The module begins with definitions of risk and risk management, and emphasizes the effect of risk management on the ability of the jail to achieve its mission and preserve its key resources. In small groups, participants identify jail risk events of most pressing concern. Risk management terms are defined and a six-step risk management process is explored, with participants working in small groups to apply the six-step process to assess and control a specific risk event. Individually, participants create action plans addressing risk management in their own jails.

Performance Objectives

- After a brief lecture and large group discussion, participants will describe the effect of risk management on the ability of the jail to achieve its mission and preserve its key resources.
- Given a small group exercise, participants will identify jail risk events of most pressing concern.
- After brief lectures, participants will describe the six-step risk management process and the actions necessary to develop a formal risk management program.
- Given small group exercises, participants will apply the six-step risk management process to assess and control a specific risk event.
- After completing this module, using the action planning workbook, each participant will create an individual action plan to address risk management in his or her jail.

Dealing with Risk in the Jail

Why is the jail generally considered such a “risky business”?

What kinds of things can happen in our jails if we fail to manage risks?

What is the impact on the jail and its ability to do business?

What is Risk?

Risk may be defined as the chance/probability of something happening that threatens an organization's ability to achieve its mission.

Risk may also be viewed as **uncertainty** of outcome – the possibility the outcome will differ from the expected. Uncertainty comes from the fact that the actual outcomes may be good or bad. It's the **bad** outcomes that we are typically most concerned about.

What is Risk Management?

Risk management is the process of identifying, managing, and controlling risk to minimize negative risk consequences and maximize positive ones.

Benefits of Risk Management

- Enhanced ability to achieve the jail's mission.
- Preservation and enhancement of key resources.
- Avoidance of litigation and liability costs.
- Reduction in turnover and lost work time and increase in staff productivity.
- Decrease in costs to repair or replace facilities, vehicles, and equipment.
- Avoidance of revenue interruption.
- Preservation of goodwill and favorable public perception.

What are the jail's key resources?

- Human resources
- Financial resources
- Property
- Partners
- Reputation

How are they critical to achieving the jail's mission?

Key Risk Management Terms

Source of risk – an object, force, or condition that creates the potential for a risk event. For example, the potential for a fire, flood, or earthquake is a source of risk. An actual fire or flood is not a source of risk – it is a risk event.

Risk event – a specific incident that produces consequences. For example, a specific fire or flood.

Risk exposure – the possibility that an organization will be affected by a certain type of risk event based on the organization's characteristics, such as location, activities, assets, or other factors that make it subject to a particular source of risk. For example, a jail located in a flood plain has greater risk exposure to a flood than one that is not located in a flood plain.

Contributing factor – A condition or circumstance that makes it more likely for a risk event to occur. For example, above average rainfall in a particular year could be a contributing factor to a flood.

Risk consequences – The positive or negative effect a risk event has on an organization and its ability to achieve its mission and goals. In our example, a flood could have negative effects, ranging from minor to major, on jail operations.

Small Group Exercise:

Identifying Risks

- Within your table groups, compile a list in response to the following question...

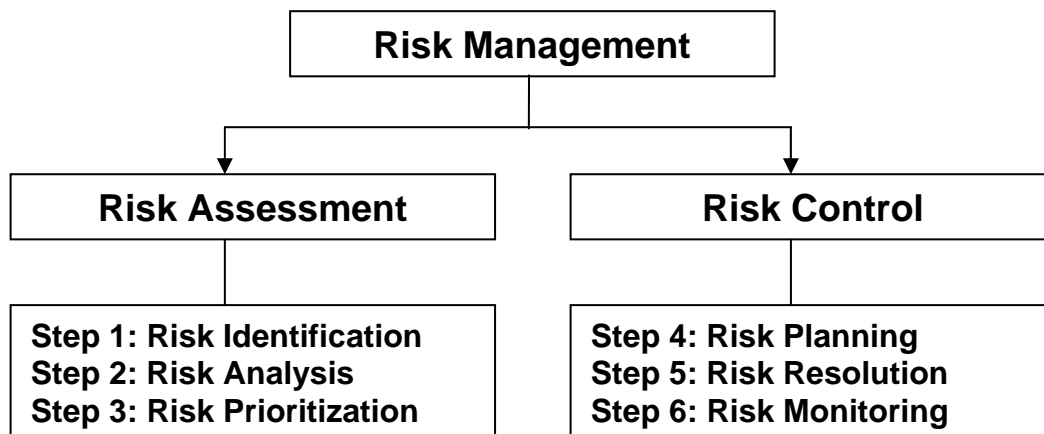
What am I concerned about happening in my facility?

- Record your list on the chart pad and select a reporter to share it with the large group.
- You will have 5 minutes to complete your work.

Jail Administrator's Role in Risk Management

- Identify, address, and manage risks
- Provide a disciplined environment for proactive decision making to:
 - Continuously assess opportunities and threats
 - Determine which risks are most important to manage
 - Implement strategies to maximize the potential for positive outcomes and minimize the potential for negative ones

Six-Step Risk Management Process



Step 1: Risk Identification

Risk identification alerts the jail to the potential ***sources of risk***, potential ***risk events*** arising from those sources, ***contributing factors*** that may lead to risk events, and potential ***risk consequences*** that flow from risk events.

Risk Identification Example

What are some potential sources of risk for biological hazards in our jails?

What are examples of risk events related to biohazards?

What are some potential factors in the jail setting that may contribute to the occurrence of a biohazard risk event?

Risk Identification Tools

- Review loss history
- Brainstorm emergency scenarios
- Survey inmates and staff
- Review operations and procedures
- Review past incidents and emergencies in the jail
- Walk through the facility to visually identify potential problems
- Evaluation and audits of the facility by external experts
- Review experiences of other jurisdictions

Risk Identification

Begin the risk identification process by looking each specific concern or threat:

- Ask, ***“What can happen and under what circumstances?”***
- Focusing specifically on the selected threat, work systematically through the jail using the various tools listed to examine:
 - Physical plant (location and site, building layout and construction, condition, security perimeter, etc.)
 - Equipment and technical systems (audio and video, alarm and sensor systems, locking systems, communication systems, control center, etc.)
 - Operations (policy and procedure, staffing, training, emergency preparedness, inmate supervision, inmate movement, security practices, etc.)
- Identify deficiencies which could contribute to the occurrence of a risk event that realizes the threat.
- Consolidate your findings onto a single list for later analysis.

Step 2: Risk Analysis

The second step in risk management is ***risk analysis***, the process of estimating and comparing the consequences of risk events.

In risk analysis, you are asking two questions:

- What is the **likelihood** that the risk event will occur?
- What are the **consequences** of the risk event?

You can rate the likelihood of a risk event in the following way:

- Rare – the event may occur only in exceptional circumstances
- Unlikely – the event may occur occasionally
- Possible – the event will probably occur occasionally
- Likely – the event will probably occur on a regular basis
- Almost Certain – the event is expected to occur on a regular basis

Risk Analysis

You can rate the consequences of an adverse event in the following way:

- Insignificant – no significant effect on the ability to achieve our mission
- Minor – slight affect, which could be corrected quickly and easily, on our ability to achieve our mission
- Moderate – would affect some aspects of our ability to achieve some part of our mission for a significant period
- Major – would prevent us from achieving some part of our mission for an extended period
- Catastrophic – would prevent us from achieving most or all of our mission for an extended period

Begin the Risk Analysis step by examining your list of deficiencies for each identified threat. For each selected threat:

- Look for conditions, practices, or circumstances that make it more or less **likely** that a risk event will occur.
- Look for conditions, practices, or circumstances that may affect the **severity** of the consequences should there be a risk event.

Risk Analysis Example

In our example of a disease outbreak, what are some common jail conditions, practices, or circumstances that may increase/decrease the **likelihood** of a disease outbreak?

What are some common conditions, practices, or circumstances that could increase/decrease the **severity of consequences**?

Using the Risk Matrix below, how would you rate the likelihood and consequences of a disease outbreak?

Risk Matrix					
Likelihood	Consequences				
	Insignificant	Minor	Moderate	Major	Catastrophic
Rare					
Unlikely					
Possible					
Likely					
Almost Certain					

Step 3: Risk Prioritization

Risk prioritization uses information developed during risk identification and risk analysis to develop an orderly process for addressing the jail's risks. This process directs resources where they will most benefit achieving the jail's mission and goals.

The risk matrix can be used to rate the priority of the jail's risk exposures in the following way:

- Low risk – staff use routine procedures to manage risk
- Medium risk – risk must be monitored on a regular basis with corrective measures to reduce exposure
- Significant risk – intervention by senior management is necessary; the risk affects the jail's key resources
- High risk – a critical issue that requires immediate action; a detailed research and management plan may be required

Risk Matrix					
<i>Likelihood</i>	<i>Consequences</i>				
	Insignificant	Minor	Moderate	Major	Catastrophic
Rare	L	L	M	S	S
Unlikely	L	L	M	S	H
Possible	L	M	S	H	H
Likely	M	S	S	H	H
Almost Certain	M	S	H	H	H

Small Group Exercise: Assessing Risk

Each table group will be assigned a jail **risk event** scenario. Using the Risk Assessment Exercise Worksheet in this manual, identify the ACA goal area affected, the sources of risk, the contributing factors, and the consequences of an occurrence of the risk event based on your analysis of exposure and contributing factors. Then, assign a likelihood rating and consequence rating for the risk event. Finally, complete the risk matrix and identify the level of risk rating for your assigned risk event.

Select a recorder, timekeeper, and reporter. Prepare a report on the chart pad summarizing your worksheet. You will have 10 minutes to complete your work.

Group 1: Risk event: inmate on inmate assault

When new arrestees arrive at the jail, jail officers perform a pat search of each arrestee and place him or her into a large holding cell to await the booking process. There is limited visibility into the holding cells from the officer station in the booking room. On most evenings, the booking area is quite busy, with each holding cell routinely filled to its 10-person capacity. Except for verifying appropriate arrest paperwork, inmates are not screened prior to being placed in the holding cells. Use the Risk Assessment Exercise Worksheet to assess the risk of inmate-on-inmate assault in the holding cells.

Group 2: Risk event: inmate escape attempt

The jail is designed for direct supervision. Each 48-bed general population housing unit is attached to an outdoor recreation area. The recreation areas are surrounded by 2-story concrete walls, with no roof coverings. When the jail opened 15 years ago, one officer was assigned to each housing unit and could easily monitor the recreation area through the full-wall windows connecting each housing unit to its outdoor area. Now, due to staff shortages, one officer is responsible for monitoring two housing units and divides his or her time between the two areas. There has been no change to the policy that allows inmates to use the outdoor areas from 9:00 a.m. to 6:00 p.m., weather permitting. Use the Risk Assessment Exercise Worksheet to assess the risk of inmate escape attempts from the outdoor recreation areas.

Group 3: Risk event: inmate suicide attempt

The jail is fifty years old, with a linear design. The housing units are made up of single cells along corridors. Jail officers make rounds down each corridor every 30 minutes. A booking officer completes an intake screening form, containing medical and mental health-related questions, on each new arrestee, and this form is filed in the inmate's booking file. Through an arrangement with the county mental health department, jail officers can request that the on-call counselor respond to the jail in an emergency. Use the Risk Assessment Exercise Worksheet to assess the risk of inmate suicide attempts in the jail.

Group 4: Risk event: inmate-caused fire in the booking area

When new arrestees arrive at the jail, the arresting officer performs a pat-down search prior to the jail accepting the arrestee. Arrestees are then placed in single-person holding cells to await the booking process. While in the holding cells, inmates have access to a toilet and sink, are provided meals, and are able to use a telephone at the officer's discretion, but do not have access to any other services. The jail is extremely crowded, and new arrestees may spend as much as 48 hours in the holding cells before being dressed out into jail clothes and transferred into the main jail. Use the Risk Assessment Exercise Worksheet to assess the risk of an inmate-caused fire in a booking holding cell.

Risk Assessment Exercise Worksheet					
Step 1: Risk Identification					
Risk Event:			ACA Goal Area(s) Affected:		
Sources of risk – identify the forces that create the <i>potential</i> for the risk event to occur:					
Contributing factors – identify <i>conditions in the jail</i> that make this risk event <i>more likely</i> to occur:					
Risk consequences – identify the range of consequences should this risk event occur in the jail:					
Step 2: Risk Assessment					
Likelihood: If the contributing factors are present, what is the likelihood that the risk event will occur? <input type="checkbox"/> Rare <input type="checkbox"/> Unlikely <input type="checkbox"/> Possible <input type="checkbox"/> Likely <input type="checkbox"/> Almost Certain			Consequences: Rate the consequences if the risk event did occur: <input type="checkbox"/> Insignificant <input type="checkbox"/> Minor <input type="checkbox"/> Moderate <input type="checkbox"/> Major <input type="checkbox"/> Catastrophic		
Step 3: Risk Prioritization					
Risk Matrix					
Likelihood	Consequences				
	Insignificant	Minor	Moderate	Major	Catastrophic
Rare	L	L	M	S	S
Unlikely	L	L	M	S	H
Possible	L	M	S	H	H
Likely	M	S	S	H	H
Almost Certain	M	S	H	H	H
Level of risk: based on the risk matrix, rate the level of risk for this risk event: <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> Significant <input type="checkbox"/> High					

Step 4: Risk Planning

Risk planning includes identifying risk control options and selecting appropriate risk control measures to implement.

There are a variety of **risk control options**. Most fall into one of the following categories:

- Risk avoidance – preventing or eliminating exposure to the source of risk.

Can the jail avoid risk entirely?

- Loss reduction – reducing either the likelihood of the occurrence or the level of consequences, or both.

- Risk sharing and risk retention – **sharing** the risk exposure with another organization or **retaining** sole responsibility for the consequences of a risk event.

Risk Planning: Selecting Risk Control Measures

In selecting risk control measures, it is important to understand the **root causes** of the deficiencies which increase the likelihood or severity of risk events. Focusing on root causes makes risk control planning more manageable since a number of deficiencies may be related to the same or similar root causes. It also ensures you are treating the **conditions** affecting risk levels and not just the **symptoms**.

Identify the root cause(s) for the deficiencies you have identified for each selected threat. Root causes may include:

- Inappropriate policies
- Inadequate procedures
- Training deficiencies
- Supervision deficiencies
- Staffing issues
- Equipment shortcomings
- Physical plant problems

The types of risk control measures required become much more apparent once the root causes are understood.

Risk Planning: Selecting Risk Control Measures

- Is the measure mandated?
- Is the measure compatible with other jail objectives and sound correctional practice?
- Are resources available to implement the measure?
- Which measures are most cost effective?
- Which measures are easiest to communicate and implement?

The bottom line for selecting a risk control measure is to ask:

Does it effectively address the root causes of the deficiencies which contribute to the likelihood or severity of potential risk events that I am concerned about?

Risk Control Example

What control measures should you have in place to avoid/manage a disease outbreak in the jail?

Step 5: Risk Resolution

Risk resolution implements the risk control measures selected during risk planning. To successfully implement the risk control measures:

- Develop risk control implementation schedules
- Develop risk control action plans
- Implement and monitor the risk control action plans.

Small Group Exercise Risk Resolution

In your small groups, using the information from your **Risk Assessment Exercise Worksheet**, brainstorm possible risk control measures that you could implement for this risk event and enter possible risk control measures on the sample **Risk Control Action Plan Worksheet**. Finally, select one risk control measure and develop a risk control action plan using the **Risk Control Action Plan Worksheet**.

Select a recorder, timekeeper, and reporter. Prepare a report on the chart pad summarizing your risk control action plan worksheet. You will have 10 minutes to complete your work.

Risk Control Action Plan Worksheet

Risk Event:	Priority:																																	
Possible Risk Control Measures:	Selected Risk Control Measure:																																	
Action Plan: <table border="1"> <thead> <tr> <th>Action Steps</th> <th>Resources</th> <th>Completion Date</th> </tr> </thead> <tbody> <tr><td>1. _____</td><td></td><td></td></tr> <tr><td>2. _____</td><td></td><td></td></tr> <tr><td>3. _____</td><td></td><td></td></tr> <tr><td>4. _____</td><td></td><td></td></tr> <tr><td>5. _____</td><td></td><td></td></tr> <tr><td>6. _____</td><td></td><td></td></tr> <tr><td>7. _____</td><td></td><td></td></tr> <tr><td>8. _____</td><td></td><td></td></tr> <tr><td>9. _____</td><td></td><td></td></tr> <tr><td>10. _____</td><td></td><td></td></tr> </tbody> </table>		Action Steps	Resources	Completion Date	1. _____			2. _____			3. _____			4. _____			5. _____			6. _____			7. _____			8. _____			9. _____			10. _____		
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9. _____																																		
10. _____																																		
Monitoring and Review – identify methods for monitoring the selected risk control measure:																																		

Step 6: Risk Monitoring

Risk monitoring is the process of examining the jail's risk profile and the performance of its risk management program on an ongoing basis.

Monitoring activities include:

- Audits and inspections
- Data collection and analysis
- Tracking trends
- Reviewing incidents

Developing a Risk Management Program

A risk management program provides jail administrators a disciplined approach to risk management.

■ Establish risk management objectives

- Enhanced compliance with standards and codes
- Reduced time spent responding to negative events
- Enhanced reputation in the community
- Loss avoidance
- Realistic and sustainable risk control measures
- The risk management program produces measurable results

■ Establish responsibility for risk management

■ Put into practice the six steps of the risk management process

■ Document the risk management program

Remember – a risk management program does not have to be implemented overnight.

- ✓ Begin with the areas of operations that present the greatest risks.
- ✓ Integrate risk management processes into your jail's daily operations on an on-going basis.

Module Overview

This module discusses the function and characteristics of well-written policy and procedure, with an emphasis on the role of policy and procedure in communicating the jail's mission, goals, and operational philosophy. The jail administrator's role in development, implementation, and maintenance of policy and procedure is discussed and participants are introduced to a ten-step policy and procedure development process, with a focus on criteria for developing, reviewing, and assessing policy and procedure. In small groups, participants draft policy and procedure statements and review and assess a sample policy and procedure. Individually, participants create action plans addressing developing and assessing policy and procedure in their own jails.

Performance Objectives

- After a brief lecture, participants will identify the function and characteristics of well-written policy and procedure.
- After brief lectures and large group discussion, participants will describe the ten-step policy and procedure development process and criteria for reviewing and assessing policies and procedures.
- Given small group exercises, participants will draft policy and procedures statements.
- Given a small group exercise, participants will review and assess sample policy and procedure statements.
- After completing this module, using the action planning workbook, each participant will create an individual action plan to address assessing policy and procedure in his or her jail.

Policy and Procedure

Well-written policies and procedures help the jail administrator:

- Provide direction to staff
- Promote consistency, efficiency, and professionalism in operations
- Define staff training needs
- Develop a basis for evaluating and improving jail operations
- Develop a basis for evaluating staff performance
- Facilitate standards compliance
- Reduce potential liability

Role of the Jail Administrator

- Ensure effective policy and procedure development, implementation, and maintenance
- Assess the quality of policies and procedures
 - ☐ Will my policies and procedures stand up in court?
 - ☐ Do they meet standards?
 - ☐ Do they reflect sound correctional practice?
 - ☐ Do they convey my organization's philosophy?
 - ☐ Do they help us achieve our mission and goals and get the results we desire?

Policy

A policy is a definitive statement of an organization's position on an issue of concern to the effective operation of the organization.

Procedure

A procedure is a detailed, step-by-step, description of the sequence of activities necessary for achievement of the policy. A procedure provides general guidelines for staff to follow in typical situations to carry out the policy.

A policy defines **what** an organization intends to do, on a consistent basis, with respect to a particular issue, and **why** it intends to take that action. A procedure describes **how, who, when,** and **where** the organization intends to implement the policy.

Post Orders

Post orders are specific instructions for each post and position in the jail. Post orders list tasks, indicate when tasks occur, who does the task, and what equipment is needed.

Steps in Developing Policies and Procedures

1. Define the scope of the effort
2. Establish the project team
3. Establish a work plan
4. Review and confirm the jail's mission
5. Draft the policies and procedures
6. Review and revise drafts
7. Approve final drafts
8. Format and compile the manual
9. Distribute the manual and train staff in new policies and procedures
10. Implement the policies and procedures with a review schedule

Step 1: Define the Scope of the Effort

- Do we need to develop a new policy and procedure manual?
- Do we need to revise an existing policy and procedure manual?
- Do we need to ensure that the existing policy and procedure manual remains well-written, current, and complete?

Characteristics of a Well-Written Manual

- Reflects the organization's mission
- Comprehensive and thorough
- Distinguishes between policies and procedures
- Supported by staff
- Reflects actual practice
- Clear and understandable
- Specific as possible
- Includes contingencies
- Indicates where discretion is allowed
- Internally consistent
- Conforms with standards and legal requirements
- Easy to use

Step 2: Establish the Project Team

- Who will be involved in the effort?
- What role will each individual play?
 - Coordinator
 - Staff Subject Matter Experts
 - Clerical Support
 - Legal Counsel

Step 3: Establish a Work Plan

- List tasks
- Assign responsibility
- Identify required resources
- Establish a timetable for completion

Sample Policy and Procedure Development Work Plan

Activity	Staff Involved	Resources Required	Timeframe
I. Develop mission statement	Sheriff , Jail Administrator		1/04 -2/09
II. Conduct policy content research	Coordinator: Captain		
A. Food service	Food Service Director		2/04 – 4/15/09
B. Programs	Program Coordinator		2/04 – 4/15/09
C. Health care	Medical staff		2/04 – 4/15/09
D. Security	Security Chief		2/04 – 4/15/09
III. Prepare first drafts	Coordinator: Captain		
A . Food service	Same as above		By 6/15/09
B. Programs	Same as above		By 7/15/09
C. Health care	Same as above		By 8/1/09
D. Security	Same as above		By 8/15/09
IV. Review drafts; prepare comments	Captain, Division Directors		By 10/1/09
V. Revise drafts	Policy development team		By 12/1/09
VI. Approve final drafts	Sheriff, Jail Administrator		By 12/15/09
VII. Compile policies into manual	Policy development staff		By 12/30/09
VIII. Print and distribute	Captain; Support services		By 2/1/10
IX. Train staff on new policies	Training division staff		By 3/30/10

Step 4: Review and Confirm the Jail's Mission

- Make sure the jail's mission is clear
- Ensure policies and procedures reflect the mission

Step 5: Draft Policy and Procedure

- Delegate drafting of new policies and procedures to one or more staff members
- Provide direction on criteria for well-written policies and procedures
- Research policy content issues
 - Jail standards
 - Fire safety, building, and sanitation codes
 - Caselaw
 - Prisoner's rights
 - Best practices
 - Other facility's policies
- Prepare a policy content outline
 - Organize information
 - Provide reference information for policy development
 - Document sources of content
- Establish a format
 - Policy statements in traditional block paragraph style
 - Procedures written in narrative outline format
 - Header with standardized information

Reminder...

A policy is a short, simple statement of fact.

A policy statement defines what is to be done and why.

Examples (underline the **what** and the **why**):

- Intake Staff will accurately record and properly store all property that is brought into the facility by the inmate to prevent loss of any inmate property and avoid false claims.
- Inmate welfare checks will be conducted on a frequent schedule to ascertain the safety and security of all inmates housed in the facility.
- Medical screening will be conducted with all inmates upon admission to identify medical problems.

Policy Statement Criteria

- Use complete sentences
- Reflect action
- Written in simple present or future tense
- State the rationale for the policy
- Is general, but directive
- Concise
- Clear and unmistakable in meaning

Small Group Exercise: Drafting a Policy Statement

Draft a policy statement for the ACA standard assigned to your group. Select a recorder, timekeeper, and reporter. **Record your policy** on the chart pad, underlining the **what** and the **why**. You will have 10 minutes to complete your work.

Group 1: 1-CORE-1A-01 – Sanitation Inspections

Group 2: 1-CORE-4A-06 – Food Service Management

Group 3: 1-CORE-6C-01 – Minor Infractions

Group 4: 1-CORE-5C-01 – Exercise and Recreation Access

Reminder...

A procedure is a detailed step-by-step description of the sequence of activities necessary to achieve the policy, including who, when, where, and how.

Procedure Statement Criteria

- Exist only in conjunction with policies
- Ordered in sequence
- Identify who is to do what
- Give times and locations when possible
- Identify forms mentioned by name and/or number
- Indicate modes of communication in the appropriate steps
- Include provisions for handling major problems
- Identify situations in which staff may use discretion

Using Scenarios to Develop Procedures

An effective tool for developing procedures is the use of **scenarios**. A scenario is a step-by-step description of activities related to the performance of a specific function or activity. Scenarios help you become aware of how tasks are accomplished in terms of physical plant, staffing, timing and sequencing, and equipment needed.

Steps in developing a scenario include the following:

- List the activities
- Identify the people involved
- Identify the resources needed
- List “what ifs”
- Check the scenario “on-site”

Once you have completed a scenario for an activity, you have the basis for your procedure.

Writing Procedures

Once you have documented all the components of a scenario, you have the ingredients for your procedures. The next step is to develop them into procedure statements.

- Use the information developed in your scenarios to write the procedures
- Present procedure steps in logical order
- Write to the reader's level of knowledge of the subject
- Avoid jargon
- Use simple words – “talk” vs. “converse”
- Stick to the point
- Be as brief as possible

Small Group Exercise: Writing Procedures

Using the policy developed in the previous exercise:

- Brainstorm the first few steps of a typical scenario for the activity
- Write the first three procedure statements for the activity
- Record the procedure statements on the chart pad
- You will have 10 minutes to complete your work

Step 6: Review and Revise

- Decide who will review the policies and procedures
 - ☐ Departmental staff and supervisors
 - ☐ Legal counsel
 - ☐ Local government representatives
 - ☐ Service providers
- Determine the method for review
 - ☐ Provide questions for reviewers to address
 - Does the policy reflect the jail's mission?
 - Is the procedure clear?
 - Is the policy and procedure practical and realistic?
 - Is the policy and procedure thorough?
 - Does the policy conform to statutes, rules, standards, and case law?
 - ☐ Provide a format for receiving feedback
 - Mark up draft copy of the policy and procedure.
 - Supply a form with review questions.
 - Supply a cover sheet documenting the policy name and number, date submitted for review and due date, and reviewer signature and completion date.
 - ☐ Include quality control review
 - Is the policy and procedure consistent with your standard format?
 - Does the policy and procedure contain complete sentences and proper grammar and syntax?
 - Are the policies internally consistent?
 - Does the policy and procedure use terminology appropriately?
 - Is the policy and procedure clear and concise?
- Arrange for a field test of the procedural steps
- Direct revisions based upon review comments

Step 7: Approve Final Drafts

- Approve at the highest level of authority
- Document approval for each policy

Step 8: Format and Compile the Policy and Procedure Manual

- Organize by topic
 - ☐ Administration
 - ☐ Admission and Release
 - ☐ Safety and Security
 - ☐ Support Services
 - ☐ Inmate Programs
 - ☐ Inmate Rights and Discipline
- Manual components
 - ☐ Title page
 - ☐ Table of contents
 - ☐ Mission Statement
 - ☐ Administrator's message
 - ☐ Key word index
 - ☐ Policies and Procedures
 - ☐ Appendices

Step 9: Distribute and Train

- Determine how manuals will be made available to all staff
- Determine distribution outside of the agency
- Document staff training and testing

Step 10: Implement the Policies and Procedures

- Document the effective date
- Document replacement of existing policies with new policies
- Maintain a master manual of signed, original policies and procedures
- Maintain an archive of discontinued policies and procedures
- Have a process for regular review and updating (at least annually)
- Have a process for review on an “as-needed” basis
- Identify staff responsible for coordinating the on-going review of the policy and procedure manual
- Create a process to prioritize policies that need development and/or review

Small Group Exercise – Assessing Policy and Procedure

In your small groups, assess the sample policy assigned to your group. As the jail administrator, decide whether to approve and sign-off on the policy and procedure or send it back to the writer for further work.

Complete your review by reading the policy and procedure and considering the following questions:

- Does the policy clearly state what the organization intends to do with respect to the topic?
- Is the rationale for the policy clearly stated?
- Does the procedure set out a responsible course of action to implement the policy? Are the steps in a logical sequence?
- Is all the information needed to carry out the procedure given?
- Does the procedure answer the questions of how, who, where, and when?
- Does the policy and procedure conform to ACA standards on the topic?
- Is the policy and procedure clear and concise?
- Is the policy and procedure in an acceptable format?
- Does the policy and procedure contain complete sentences and proper grammar and syntax?
- Does the policy and procedure use terminology appropriately?

Select a recorder, a timekeeper, and a reporter. Prepare a report on the chart pad summarizing the positive elements of the policy and procedure and any issues you feel need to be corrected. **You do not need to make any changes or corrections – simply note the areas that are currently unacceptable, if any.**

You will have 20 minutes to complete your work.

GROUP 1

FARMLAND COUNTY JAIL POLICIES & PROCEDURES

TITLE: LAUNDRY SERVICES

NO: D-300

DATE: January 1, 2008

POLICY

In order to maintain proper levels of sanitation and inmate personal hygiene, the Farmland Jail will provide laundry services for the regular cleaning of inmate clothing and linen.

PROCEDURE

A. Clothing and Linen Exchange.

1. Linen. Every Tuesday morning the correctional officer will instruct each inmate to strip his/her own bunk, removing the sheets and pillowcase. The correctional officer will account for each inmate's soiled linen before distributing fresh linen. For inmates held long periods of time, blankets will also be laundered at least every three (3) months.
2. Towels and Clothing. Towels and inmate clothing shall be included in the linen exchange each Tuesday morning and will also be exchanged by similar procedures each Friday morning as well.
 - a. Clothing of work release inmates and inmate workers may be exchanged daily for laundering if necessary. Kitchen trustees' clothing shall be exchanged daily.
 - b. The correctional officer may provide clean towels and washcloths at other times when requested upon receipt of the soiled items.
3. The correctional officer will carry the soiled linen, towels and clothing to the laundry area and place them in the designated bin.

B. Laundry Procedures.

1. Inmate Worker assigned Laundry. The Support Services Lt. shall assign inmate workers to perform the laundry services.
 - a. The correctional officer will supervise the inmate workers in the laundry area on a regular basis.
 - b. The correctional officer will instruct the inmate workers assigned to the laundry in the operation of the equipment, infectious disease control procedures, laundry room sanitation and the laundering schedule and procedures.

FARMLAND COUNTY JAIL POLICIES & PROCEDURES

TITLE: LAUNDRY SERVICES

NO: D-300

The correctional officer will not permit the inmate worker to have possession of the laundry room key and will ensure he/she stays within his/her assigned area.

2. Laundry Routine.

- a. The inmate workers assigned to laundry will assist the correctional officer with the collection of laundry from each housing unit and will deliver clean laundry to each area according to the exchange schedule.
- b. The inmate workers assigned to laundry will wash and dry all soiled laundry that has been placed in the designated bin.
- c. The inmate workers assigned to laundry will fold and store clean laundry in the designated area.
- d. The inmate workers assigned to laundry will perform housekeeping duties necessary to keep the laundry area clean and orderly.

C. Laundry Supplies/Inventory.

1. Supplies. On a monthly basis, a correctional officer will inventory the laundry supplies and determine what goods are needed for the coming month. The correctional officer will follow the procedure established for purchase and receipt of food supplies (Policy D-100) in ordering laundry supply items.
2. Linen, Clothing and Towel Inventory. On a monthly basis, the correctional officer will inventory all jail linen, clothing and towels being used by the general population, stored in the laundry area, or stored in other storage areas.
3. The correctional officer will ensure all items are in good repair and in sufficient quantity to meet the population needs at facility capacity.
4. The correctional officer will notify the Facility Administrator in writing when clothing, linen or towels need to be purchased.

JAIL ADMINISTRATOR'S SIGNATURE

DATE

GROUP 2

MOUNTAIN COUNTY JAIL POLICIES & PROCEDURES

TITLE: KEY CONTROL

NO: C-600

DATE: January 1, 2008

POLICY

All jail facility keys must be controlled and accounted for at all times to prevent escape and maintain security.

PROCEDURE

- A. Key Cabinet. All keys for locks within the security perimeter, when not in use, will not be accessible to inmates and shall be kept in the key cabinet at the Communications Center.
- B. Accounting of Keys. The following procedures shall be utilized to ensure the jail keys are accounted for at all times.
 - 1. Each key will be labeled to correspond with its respective lock.
 - 2. The number of keys for each lock, the identifying labels and the location of each lock shall be documented on the Detention Key Log (Form C-2).
 - 3. The Key Log will indicate who is in possession of each jail key. Correctional officers will sign for all keys, documenting the date and time a key was checked out and returned. Correctional officers will only possess those keys officially issued to them.
 - 4. The Communications Center is responsible for supervision of the key cabinet and maintenance of the Key Log.
 - 5. Keys not currently issued to jail personnel are stored in a manner that allows for easy determination of the presence or absence of any key.
- C. Supervision of Keys. The correctional officer will maintain control of keys in his/her possession at all times. At no time will an inmate be allowed to possess any keys.

MOUNTAIN COUNTY JAIL POLICIES & PROCEDURES

TITLE: KEY CONTROL

NO: C-600

- D. Emergency Keys. A complete set of emergency keys to the secure area will be secured in a readily accessible key cabinet located in the Communications Center. These keys shall be used only in actual emergencies and issued only to designated jail personnel.
- E. Lost or Damaged Keys. The loss or damage of any keys will be reported in writing to the Facility Administrator. If the keys are believed to be lost within the security perimeter, the Facility Administrator or ranking officer shall order an immediate lockdown and initiate a search to locate the key.

JAIL ADMINISTRATOR'S SIGNATURE

DATE

GROUP 3

METROPOLITAN COUNTY JAIL POLICIES & PROCEDURES

TITLE: INMATE PROGRAMS -- EXERCISE AND RECREATION

NO: E-250

DATE: January 1, 2008

POLICY

To ensure the physical and mental well-being of those confined, the Metropolitan County Jail will provide opportunities for inmates to engage in recreational activities.

PROCEDURE

- A. Passive Recreational Activities. Inmates may participate in passive recreational activities in the dayroom areas and the cells from 0800 to 2300 hours, when not required to be engaged in other activities.
1. Television. Televisions will be set up in the dayroom areas and may be on between the hours of 0800 and 2300.
 - a. The correctional officer will select the television channel after determining the wishes of the majority of the inmates.
 - b. The correctional officer may allow inmates to watch television beyond 2300 hours in the case of a special program, movie or sports program.
 2. Radios or Walkmans. The correctional officer may permit inmates to listen to their radios or walkmans in their individual cells.
 3. Table Games. The correctional officer will permit inmates to play cards and other table games in the dayroom area. The correctional officer will provide games owned by the jail upon inmate request.
 4. Arts and Crafts. The correctional officer will permit inmates to work on hobby kits purchased through the commissary or approved by the Facility Administrator.
- B. Active Recreational Activities. Inmates shall be permitted to participate in active recreational activities.
1. Outdoor Exercise. When the weather is 60 degrees Fahrenheit or above and the exercise yard is dry, inmates will be permitted outdoor exercise in accordance with the daily schedule. The correctional officer will provide inmates, at their request, with outdoor equipment that is provided by the jail.

METROPOLITAN COUNTY JAIL POLICIES & PROCEDURES

TITLE: INMATE PROGRAMS -- EXERCISE AND RECREATION NO: E-250

2. Indoor Recreational Activities. Any time weather does not permit outside exercise, recreational activities will take place in the multipurpose room. Indoor activities may include use of the exercise bicycle, rowing machine, punching bag or ping-pong table.
- C. Schedule. Inmates shall be provided the opportunity for one (1) hour of exercise a day, five (5) days a week.
1. Adult Male (general population): Monday, Tuesday, Thursday, Saturday and Sunday from 1400 to 1500 hours.
 2. Adult Male (segregation): flexible schedule to total five (5) hours per week.
 3. Adult Female (general population and segregation): flexible schedule to total five (5) hours per week.
 4. Juveniles: flexible schedule to total five (5) hours per week. Males and females shall be exercised separately.
 5. Work Release: if work release inmates are out of the facility during the scheduled exercise period, they are not entitled to make up the period.
- D. General Procedures.
1. Call Out. At the scheduled time, the correctional officer will announce the exercise period and instruct those wishing to participate to sign up.
 2. Escort. The correctional officer will escort those wishing to participate to the appropriate recreation area, pat searching the inmates before they enter the recreation area.
 3. Equipment. The correctional officer will provide inmates with equipment and see that all inmates have equal access to the equipment available.
 4. Supervision. The correctional officer will remain in the recreation area to supervise inmate activities.
 5. Return. At the conclusion of the exercise period the correctional officer will ensure that all equipment is returned, pat search the inmates and escort the inmates back to their housing areas.
 6. Documentation. The correctional officer will enter the time of the exercise period and the inmate group participating (adult male, female, etc.) in the Daily Log (Form A-2). The sign up sheets will be appropriately filed.

JAIL ADMINISTRATOR'S SIGNATURE

DATE

GROUP 4

OCEAN COUNTY JAIL POLICIES & PROCEDURES

TITLE: INMATE GRIEVANCES

NO: E-130

DATE: Revised January 1, 2008

POLICY

It is the policy of the Ocean County Jail to provide an inmate grievance process to provide an administrative means for expression and resolution of inmate problems

PROCEDURE

- A. Inmate Handbook. Inmates will be made aware of their right to file a grievance and appeal a response. The required procedure for both will be communicated to inmates through the inmate handbook, if an inmate is illiterate or a language barrier exists other arrangement will be made to ensure the inmate is familiar with this right.
- B. Right to File. If an inmate wishes to file a grievance, a correctional officer will provide an Inmate Grievance Form (Form D-2) to the inmate.
1. The inmate will specify the details of the incident in writing on an Inmate Grievance Form and place it in a sealed envelope addressed to the Assistant Facility Administrator.
 2. The inmate may present the sealed envelope to a correctional officer during routine cell checks. The correctional officer will deliver the grievance to the Assistant Facility Administrator promptly and without interference.
 3. Any correctional officer who attempts to interfere with the reporting of a grievance, or subjects any inmate to harassment because of a grievance is subject to disciplinary action and possible dismissal.
 4. An inmate reporting a grievance shall not be subject to any disciplinary sanction nor adverse action as a result of filing the grievance.
- C. Review. Upon receipt of a grievance, the Assistant Facility Administrator shall review the grievance to determine if it constitutes:
1. A proscribed act of a correctional officer;
 2. A violation of civil rights;
 3. A criminal act; or

OCEAN COUNTY JAIL POLICIES & PROCEDURES

TITLE: INMATE GRIEVANCES

NO: E-130

4. An abridgement of privileges specified in the Inmate Handbook (Appendix A);
 5. A violation of Jail Standards.
- D. Investigation. Each grievance not obviously frivolous nor trivial in nature shall be promptly investigated.
1. If the grievance constitutes a proscribed act by a correctional officer, a violation of civil rights or a criminal act, the Assistant Facility Administrator shall order an immediate investigation.
 2. If the grievance constitutes an abridgement of privileges specified in the Inmate Handbook, the Assistant Facility Administrator may appoint an impartial jail employee to investigate the grievance and make a written report of the findings and recommendations.
- E. Response. The Assistant Facility Administrator will provide a prompt written response of the findings and action to be taken, if any, to resolve the grievance to the inmate within five (5) working days. The inmate will be notified if the investigation cannot be completed within the specified time period for response. A copy of this response will also be maintained for the facility records.
- F. Appeal. If the inmate is not satisfied with the disposition of the grievance by the Assistant Facility Administrator, a correctional officer will provide the inmate with paper and pencil and instruct him/her to state the grievance in writing again, along with his/her objection to the internal disposition of the grievance. The correctional officer will deliver the appeal without delay to the Facility Administrator,
1. If there are implications of criminal violations in the grievance, the Facility Administrator shall deliver the grievance without interference to the County Attorney.
 2. All other grievance appeals will be reviewed by the Facility Administrator. The Facility Administrator will review the appeal and uphold the decision of the Assistant Facility Administrator, or modify the decision as he deems appropriate.

JAIL ADMINISTRATOR'S SIGNATURE

DATE

Developing Policy and Procedures



- ☐ Policies and procedures provide an effective means of communicating information about the jail's mission, goals, and operations.
- ☐ Assessing policies and procedures regularly, and identifying areas that need improvement, is a critical responsibility of the jail administrator.

Module Overview

This module explores the factors that affect staffing needs and describes how to calculate net annual work hours. Additionally this module will examine how to analyze a jail floor plan and determine the number of employees needed to staff the facility. This module also asks participants to determine personnel budget requirements of a staffing plan.

Performance Objectives

- After a brief lecture, participants will identify the factors that affect staffing needs in a jail.
- After a brief lecture and small group exercises, participants will develop a minimum facility post coverage plan and associated personnel costs using the post/position coverage plan worksheet.
- Given a demonstration by the instructor and a small group exercise, participants will calculate Net Annual Work Hours using the Net Annual Work Hours worksheet.
- After completing this module, using the action planning workbook, each participant will create an individual action plan to address determining staffing needs in his or her jail.

Benefits of Adequate Staffing

What is Appropriate Staffing?

- Having the right ***number*** and ***type*** of properly trained staff
- In the right ***place***
- At the right ***time***
- Doing the right ***thing***

Item #1

Having the right number and type of properly trained staff

Item #2

In the right place

Item #3

At the right time

Item #4

Doing the right thing

Factors Affecting Staffing Needs

- Court decisions
- Standards
- Characteristics of the jail population
- Layout of the physical plant
- Correctional philosophy
- Frequency of functions and activities

Developing a Staffing Plan: Gather Information and Materials

- Facility mission statement
- Floor plan
- Organizational chart
- Current staffing plan, schedule, and shift rosters
- Personnel agreements, agency personnel handbook
- Employee leave and turnover data
- Mandatory and professional standards
- Inspections reports
- Applicable court decisions
- MOA's and service contracts
- Jail population data and characteristics

Developing a Staffing Plan: Profile the Jail

- Facility's rated capacity
- Average daily population
- Admissions and releases
- Average length of stay
- Facility floor plan
- Inmate characteristics
- Classification separations
- Types of offenses
- Number and types of critical incidents
- Problems with facility operations

Developing a Staffing Plan: Prepare a Master Activity Schedule

The master schedule charts out a typical one-week operation of the jail. It is a comprehensive list of the activities that take place in the jail arranged in chronological order each day. It also includes items that are not scheduled, but have to be assigned to staff.

- Identify all programs, activities, services, and security functions that take place in the facility
- Chart the times they should occur over the course of a typical week
- When all activities are charted, examine the schedule for periods of high and low activity, schedule conflicts, and compliance with legal requirements.
- Adjust the schedule as necessary:

Developing a Staffing Plan: Identify Posts and Positions

- Identify all posts and positions in the facility
- Assign tasks and functions to posts/positions

Examples of posts and positions:

- Designate the type of each post
- Determine primary shift schedule
- Determine hours of coverage needed for each post/position
- Determine if the post is to be relieved
- Summarize on a post/position coverage plan

Facility Post/Position Coverage Plan Template

- **Column A** - position or post that must be staffed in the facility.
- **Column B** - provides space for the job class.
- **Column C** - indicates if the position requires meal relief.
- **Columns D, E, and F** - staff hours required to staff a particular post on each of the three shifts. *(It is possible that more than one person may be needed for each shift, which would be indicated by more than 8 hours, but it could also only be part-time – indicated by less than 8 hours)*
- **Column G, H, and I** - allow for alternate shifts to be entered.
- **Column J** - number of days each week that the position must be filled.
- **Column K** - total number of hours the position is needed each week *(J x total hours in columns D-I).*
- **Column L** - hours of coverage each year *(hours per week x 52.14 weeks in a year - column K x 52.14).*
- **Column M** - provides space to indicate if relief is needed for the post.
- **Column N** - is net annual work hours computed from the NAWH worksheet.
- **Column O** - is the total number of full-time-equivalent employees (FTE's) needed *(column L divided by column N).*
- **Column P** - is the number of FTE's rounded up or down to a whole number

Small Group Exercise: Create an Initial Staff Coverage Plan

- Review the sample floor plan and other information provided
- Discuss how key functions and activities will be staffed
- Create a list of positions needed to provide minimum coverage of functions and activities
- Enter these positions on your Staff Coverage Plan worksheet
- Show the coverage for each position – assume the facility will operate 8 hour shifts (complete columns A – J)
- You will have 30 minutes to complete your work

Net Annual Work Hours

Because **one person** cannot provide continuous coverage of a position, we need to calculate the actual amount of time a person is available to cover a position.

Net Annual Work Hours (NAWH) represents the number of hours staff are **actually** available to work in a given year.

Computing Net Annual Work Hours

What are variables that might affect the number of staff needed to cover a position?

Once the variables affecting the number of hours each staff is available are identified and quantified, you can determine the actual availability of staff to fill a full-time position.

Small Group Exercise: Calculating Net Annual Work Hours

- Review the personnel data memo
- Identify the variables in the memo that need to be included and write the number of days indicated for each variable on the appropriate line in the NAWH worksheet
- Calculate the net annual work hours
- Note any management information in the memo that might suggest a need for administrative action that could lower the NAWH
- Enter your NAWH on your staffing plan and calculate the total number of personnel required (complete column K)
- You will have 15 minutes to complete your work

Small Group Exercise: Calculating Full Time Equivalents

- Determine the number of full time equivalents (FTE's) required for each position by entering the NAWH calculated in the last exercise on your staffing plan (Column K) and divide the number of hours of coverage per year by the NAWH
- Enter the result in Column L and enter a rounded result in Column M.
- Determine the total number of staff needed by adding the numbers in Column M
- You will have 5 minutes to complete your work

Developing a Staffing Plan: Strategies for Improving Staffing Adequacy

Small Group Exercise: Assessing Personnel Budget Costs

- Assign personnel costs (salaries and benefits). Generally, benefits will equal 30 – 35% of staff salary. Enter average cost per post/position in column N
- Calculate a total personnel cost (average cost per post/position multiplied by the number of FTE's – Column N x Column M). Enter this amount in column O
- You will have 10 minutes to complete your work

Staffing Analysis Report Format

Letter of Transmittal

Executive Summary

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- A. Purpose of the Report
- B. Reasons for Conducting the Analysis

II. Staffing Analysis Methodology

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III. Summary of Findings

- A. Jail Profile
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- C. Net Annual Work Hours
- D. Staff Coverage Plan
- E. Staffing Needs
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IV. Recommendations and Implementation Plan

Appendices

Developing a Staffing Plan: Summary

- The staffing analysis process is an excellent way to document staffing needs.
- The goal is to achieve adequate staffing for the jail.
- Remember, adequate staffing is:

Having the right **number** and **type** of staff

In the right **place**

At the right **time**

Doing the right **thing**

STAFF-INMATE RATIOS: WHY IT'S SO HARD TO GET TO THE BOTTOM LINE

By Barbara Krauth

Introduction

One of the first questions asked by many officials and administrators involved in planning a new jail is, “What should the staff-to-inmate ratio be?” It is natural for this question to emerge early in the planning process because its answer, more than any other factor, will determine the total cost of operations. In most jails, staff costs comprise as much as 70 percent of the budget each year.¹

Unfortunately, the real answer to the question is, “It depends. . . .” Although the response is obviously unsatisfactory, it is in fact the only correct one. Even if one compares two facilities with similar physical layouts, the same number of inmates, and the same general management philosophy, their staff-inmate ratios are much more likely to differ than to be alike. And because no two jails are exactly alike, it is impossible to suggest ideal ratios.

The purpose of this paper is to explain why it is so difficult to get to the desired “bottom line” on the issue of staffing ratios. The paper is not intended to define a specific process for conducting a staffing analysis.² Instead, it is meant to raise awareness about the range of decisions involved in defining the unique characteristics of each facility. Complex variables must be balanced throughout the process of planning a new jail; the resulting decisions must, at the end of that process, determine both the numbers and types of staff that will be needed.

The staff-inmate ratio in a jail is not simply an issue of efficiency or effectiveness; one approach to staffing is not wrong, another right. There is a tendency to believe that a larger staff means more effective operations—for example, that an increase in the number of security staff will create a safer, more secure environment, or that an increase in treatment staff will improve inmate morale. To test this hypothesis, the American Justice Institute conducted a study in 1984, concluding that “poor staff-inmate ratios are not the

¹ Jay Farbstein, *Correctional Facility Planning and Design*, 2nd ed.(New York: Van Nostrand Reinhold Co, 1986), 51.

² For a publication with this purpose, see *Staffing Analysis Workbook for Jails*, (Washington, D.C.: U.S. Department of Justice, National Institute of Corrections, 1988).

key variables which determine the public safety, internal safety, climate and work . . .” and that “there is really no ideal staffing pattern.”³

An opposing theory is that a smaller staff is more efficient. According to this theory, it is desirable to employ fewer staff per inmate because this will save money. Again, the answer is, “It depends.” Whether or not a smaller staff will be more efficient depends on such things as the classification(s) of inmates in the institution, the design of the facility, the types and qualifications of staff, the management approach, and above all, on the correctional philosophy governing the operation of the jail.

To those not familiar with the differences between jails and other kinds of agency operations, staff-inmate ratios in jails often seem unnecessarily large. However, the bare numbers do not make evident the important fact that a jail must be staffed on a 24-hour, seven-day-a-week basis. (On average, it takes five staff persons to cover one post that must operate on a seven-day, 24 hour basis.)

Depending on staff-inmate ratios, either to plan for staffing needs in a new facility or to evaluate staffing in an existing one, is misleading. Ratios do not give an accurate picture of how many people are working at one time or of what they are doing. A ratio also ignores the fact that some staff are in administration or support services and thus do not work directly with inmates. Nor does a ratio take into account that many agencies provide some services through contracts with other groups or individuals rather than through staff of the facility.

In terms of liability, as well, the ratio of staff to inmates is not the central issue. Instead, the central question is, “Did you have the right number of properly trained staff, in the right places, at the right time, doing the right things?” What is important is the way staff are trained, assigned, and managed, not just how many there are.

Although the process of determining staff needs is complex, answers to some basic questions provide at least a starting point for understanding what is involved:

- Who and how many will be in the jail, why, and for how long?
- On what operational philosophy will the facility be based?
- What kinds of services do you want to provide for inmates?
- What will be the jail’s physical layout?
- How do you want to supervise the inmates?

Each of these issues is addressed on the pages that follow, along with its implications for staffing.

³ American Justice Institute, *The Impact of Differing Staffing Ratios on Prison Environments* (Washington, D.C.: U.S. Department of Justice, National Institute of Justice, 1984).

Basic Issues

Inmate Population: Who Will Be in the Jail—How Many, Why, and For How Long?

Jail size affects staff needs; small facilities often require more staff per inmate than large facilities. Although each housing unit in a small jail is likely to have fewer inmates than those in large jails, the same number of staff may be required to supervise each unit as in a larger jail.

Similarly, services in larger jails may benefit from economies of scale that are unavailable to smaller facilities. Certain staffing levels cannot be avoided in small jails, because some minimum number is necessary for continuation of basic operations. For example, a kitchen with one cook may be able to prepare food for twenty-five inmates or for seventy. Although the proportion of staff to inmates cannot be predicted simply by knowing the size of the inmate population, in general, a small jail is likely to require a higher staff-inmate ratio than would a large one.

Staffing patterns are also determined by the types of inmates included in a jail's inmate population. The custody level of inmates in the facility, for example, clearly dictates the level of control to be exercised and thus the number and types of staff needed.

Jails whose populations are comprised primarily of inmates held only for a short time—either pre-trial detainees or sentenced offenders—usually provide fewer services and thus require fewer staff than those holding mostly inmates who are serving lengthy sentences. Counseling and education, for example, are usually not available to inmates held for short periods in a local facility.

On the other hand, a larger proportion of intake staff is likely to be required in facilities with highly transient populations. Depending on their designs, these facilities may also require higher levels of staff surveillance in order to prevent suicide attempts, which are most prevalent among inmates newly admitted to custody.

On What Operational Philosophy Will the Facility Be Based?

The operational philosophy of a facility:

- is the starting point for determining the programs and services to be provided;
- provides direction for the facility design; and
- determines specific management approaches governing facility operations.

Questions related to design, level of service, and method of supervision can therefore be addressed only after this philosophy has been determined and articulated.

An operational philosophy is usually expressed by developing a mission statement early in the planning process. The operational philosophy reflects the beliefs not only of county

officials but of the community as a whole, as it expresses the emphasis given by the locale to benefiting: 1) the community, and/or 2) the inmates. The jail's major responsibilities, both to the community and to the staff and inmates, are to provide security, safety, and service, but the degree of emphasis placed on each of these aspects by a particular facility depends on the operational philosophy under which it is managed.

The relative importance given in a facility to the four conventional categories of broad correctional philosophy—incapacitation, retribution, deterrence, and rehabilitation—serves as the basis for all decisions related to that facility. Most facilities are based on some combination of these approaches rather than on a single philosophy. The philosophy on which the facility places its emphasis, however, significantly affects where, how many, and when to assign staff. An agency emphasizing restraint, for example, will allocate more staff to security positions than will one stressing rehabilitation, which is likely to make heavy commitments of staff to education, treatment, and work programs.

Level of Service: How Much Service Do You Want to Provide?

Among the important elements determined by a facility's operational philosophy is the level of service that will be made available. The degree to which a new jail will be a vehicle for providing such services as education, counseling, or work depends in large part on the underlying premises that define its mission.

The discussion of appropriate service level must take place at the point of planning a new facility. Although there is some flexibility in adjusting services in facilities that are already operating, it is necessarily limited. A jail with no office space for counselors, for example, can probably add counseling services at a later date, but with more difficulty.

Professional jail standards and recent court decisions affecting jails provide guidance for a jail's minimum responsibilities. They define the requirements for a jail to provide certain services, such as health care, and make it clear that inmates have such rights as recreation time. However, standards and court decisions tend to address only minimum levels required; they do not provide guidance about appropriate or optimum levels of service to be provided. These decisions are based on planners' and administrators' agreements about each jail's mission and the degree to which it has a responsibility to meet inmates' needs.

For example, one jail planner/administrator may decide that a proposed jail will meet, but not exceed, the standard maintaining that inmates need at least one hour of recreation per day. The jail may then be designed with a single outdoor recreation area through which inmates will be rotated during the day. Another administrator, believing that inmate activity is important and should be encouraged, might include in a new facility an indoor recreation room, a multi-purpose room, and perhaps weights or other equipment. Such decisions, made on the basis of overall philosophy, have strong consequences not only for facility design and equipment costs but also for staffing. The level of service to be provided affects both the total number of staff and the kinds of staff that are needed.

Ultimately, determining the level of service to be provided is a process of balancing an “ideal” level, based on the operational philosophy, and the need to contain costs. The enactment of a particular philosophy, or ideal, is always limited both by the size of the facility and the need to preserve public resources. For example, while the reintegration model might be preferred by a particular jurisdiction, the need to allocate limited dollars among other necessary jail functions may inhibit the number and types of education or work opportunities that can be provided to inmates. And, as previously noted, a small jail is usually limited in the range of services it can provide.

The overall operational philosophy remains important from the beginning in guiding a number of decisions related to service levels. These decisions affect the eventual staff-inmate ratio. Even after the appropriate level of service has been determined, however, the question of who will provide these services remains for management to decide.⁴

What is the Physical Layout of the Facility?

The philosophy that will guide the service orientation of a new facility also determines its design. For correctional facilities, perhaps more than any other kind of building, design must complement purpose. All design decisions should be based on operational objectives.

The physical layout and design of the facility, in turn, affects staffing needs. Design affects:

- where staff will be stationed;
- how many staff will be needed to supervise an area; and
- how much movement of staff and inmates will be required.

Because staff costs are so high in relation to total costs over the life of a facility, a design should always be considered in relation to its effect on staff needs. Adjusting design features throughout the planning process can make it possible to minimize staff numbers without endangering security or giving up programs.

A few of the many basic design variables that affect staffing needs are discussed below. The wide range of decisions that can be made with respect to each of these variables underscores again the reason it is so difficult to get to the bottom line.

⁴ This issue is discussed on pp. 17-22.

How many posts will require 24-hour staffing?

Each 24-hour post needs approximately five staff persons to operate it. (This figure is based on three shifts daily, and includes days off, vacation, and training time.) The control room is, unavoidably, a 24-hour post because it is the center of responsibility for facility security and cannot be left unstaffed at any time. The number of additional 24-hour posts required by the design will obviously greatly affect the overall number of staff.

How does the design inhibit or facilitate movement of inmates, staff, and visitors?

Services and programs located at some distance from housing areas require more movement of inmates than those located near by. It is possible, for example, that a multi-story jail will necessitate more inmate movement—and more staff to supervise the movement—than if the areas were on a single level. Some facilities are designed so that inmates can move unescorted from one area to another. In other facilities, a staff escort may be necessary for virtually any inmate movement.

Are services centralized or decentralized?

Locating inmate services in an area associated with housing sometimes results in higher initial construction costs, but it may also mean that fewer staff are needed to escort inmates to service areas. This issue should be examined carefully during the facility design process.

How many areas can be viewed from each staff station?

The arrangement of space in a facility determines the degree to which observations of inmate behavior are possible. Maximizing direct sight lines through design may minimize the number of fixed posts or control centers that need constant staffing, as well as reduce the need to escort inmates. Some facilities are designed to provide “passive benefit” in staff locations. Posts are arranged so that an officer at one location engaged in a certain task may indirectly also perform a surveillance function at the same time.

How Will Inmates Be Managed?

A crucial decision with far-reaching implications for staffing is how much interaction will take place between inmates and staff—whether the facility will emphasize “surveillance” or “supervision” of the inmates. This is both a design and a management decision, and it has important consequences for all aspects of the proposed facility.

In traditional jail design, cells are arranged at right angles to corridors. This linear arrangement limits officers’ contacts with inmates to intermittent surveillance of them during periodic trips down hallways adjacent to the cells. More recently, jails have been built in podular arrangements, which enables a guard posted at a secure station outside each housing unit to observe activity within the unit. Inmate management in either of these arrangements can properly be termed surveillance: officers concentrate on observing inmate behavior and responding to it if necessary.

Podular/Direct Supervision Jails

There is, however, a newer approach to inmate management that allows greater interaction between staff and inmates. Since 1981, a number of local jails have been designed and staffed to permit “direct supervision” of inmate behavior. In facilities that emphasize direct supervision, an officer supervises inmates 24 hours a day from *within* the housing unit rather than either remotely from outside looking in or through intermittent patrols. In these facilities about 50 inmates are housed together in manageable units, or pods, arranged around a common, multi-purpose area.

Podular/direct supervision is both an architectural and a management concept. It is based on the belief that inmate management is improved by grouping inmates into units in which they are in direct contact with trained officers. Podular/direct supervision is intended to reduce tension in the facility, lessen confrontations between inmates and staff, and enable staff to have better control over inmate behavior. Direct supervision represents a major shift in detention philosophy by redefining the officer’s role. In direct supervision facilities, the officer becomes a supervisor of inmate behavior by interacting directly and constantly with inmates.

However, choosing the podular/direct supervision approach to facility design and inmate management does not thereby settle the issue of staff-inmate ratios, as some may believe. On the surface, it may seem easier to determine a staffing ratio up front in the case of direct supervision facilities. It is true that the ratio of corrections officers to inmates within the housing areas is determined by the capacity of each housing module—e.g., typically one officer each shift for 48-50 inmates. But this simple formula doesn’t take into account other, non-custodial staff, including administrative, maintenance, education, food service, and medical personnel.

Management Decisions Affecting Staff Needs

After addressing basic questions about facility design, level of services, and inmate management, administrators must still consider additional factors in determining staff needs. Among these are how staff will be deployed, how scheduling can be varied, and who will provide services to inmates. Practical management decisions about these issues are necessary in order to determine the appropriate number of staff for a specific institution.

How Will Staff Be Deployed?

A key variable in determining staff needs is the way in which staff are deployed. These require management decisions about staff assignments and schedules. Since the process of conducting a staffing analysis is creative rather than formula-driven, patterns of staff coverage can vary almost infinitely. Managers should conceive of the staffing analysis process as ongoing; improving staff assignments and schedules always has the potential for improving operations even without any change in total staff numbers.

Scheduling Activities

Times of peak activity in jail operations require more staff than periods of low activity. However, by adjusting the schedule of activities, administrators can even out staff assignments over the 24-hour period of jail operation. For example, demands on staff can be distributed more evenly if visiting hours are spread over two staff shifts. Rescheduling routine activities to a late night shift can enable staff who are underutilized during that period to relieve pressures on those who are on duty during periods of heavy inmate activity.

Adjusting Staff Schedules

Another factor in staff deployment is the way in which individual staff work schedules are shaped. Structuring shifts in a variety of ways can achieve the coverage of posts that is required to complete all necessary tasks. Because jails operate on a 24-hour basis, many alternative scheduling arrangements are possible, including the rotation of staff through a variety of shifts.

Overlapping shifts, in which there is a period of time after one shift of employees comes on the job before those on the previous shift leave, are often used in correctional facilities. Overlapping shifts are especially useful in the jail setting because they enable correctional officers and supervisors to brief their replacements for the next shift. A common approach is for staff on one shift, usually the midnight shift, to work four 10-hour shifts instead of the usual five 8-hour shifts.

In addition to its potential for reducing staff numbers, adjusting staff work schedules may improve employee morale. The effect of schedule adjustments often depends on how they are arranged and how they are presented to staff.

What You Get Out of the Staff You Have

After schedules have been adjusted and times of peak activity taken into account, still other changes can be made to increase the efficiency with which existing staff are deployed. The following variables, which can be addressed through management decisions, help to determine staff productivity and therefore, again, the total number of staff needed in the facility.

Competency and Productivity of Staff

If jail staff are not competent or productive, simply increasing their numbers will not improve facility operations. One jail may be run efficiently and effectively with 50 staff while another of similar size and design may have twice that number and still not function well. Competency and productivity of staff can be addressed through:

- **Good screening and hiring procedures**, which can produce professional staff with qualifications and abilities best suited to the jobs they are hired for.
- **Appropriate and adequate training**, which provides staff the basic knowledge and skills necessary to perform assigned duties, thereby improving job performance and staff morale. In addition, training staff to handle multiple positions enables management to be creative in scheduling activities.
- **Better staff supervision**, which ensures that staff know what tasks are assigned to them and the level of performance demanded in executing them.

Staff Turnover

Staff attrition also affects jail staff-inmate ratios. For example, if a facility has a 30 percent attrition rate among its 60 line staff, 18 officers will need to be replaced every year. Although it is impossible to predict precisely the degree of staff turnover that will occur in a new institution, experience has shown that the rate of attrition for a particular jurisdiction is likely to remain about the same in a new facility as it was in the old one.

Streamlining Operations

Eliminating unnecessary tasks and avoiding duplication of effort will decrease workloads and free staff for important functions. Staff efficiency can be increased if administrators look for ways to ensure that facility operations neither waste nor underutilize staff on duty during all periods of the day.

Job Classification vs. Job Function

In the jail setting, nurses sometimes function as booking officers, correctional officers as clerks, recreation directors as maintenance staff, and so forth. It is important to identify the extent of this crossover in job function because, in general, it is an inefficient use of staff resources for personnel to perform duties other than those they were hired to perform.

Job classifications are so limited in some facilities that they provide no information about the job actually performed. In other places, there is only a single job classification—“deputy sheriff” or “correctional officer”—which does not define function at all. A “deputy sheriff” thus performs all functions within the jail: inmate supervisor, food service worker, mechanic, librarian.

Who Will Provide the Services?

A crucial issue—and one that is sometimes overlooked in considering staff-inmate ratios—is which of a jail’s services will actually be provided by employees of the jail. Since the 1970s, many jurisdictions have chosen to contract with private providers to deliver jail services and programs. In other jurisdictions, administrators have developed

contracts and interagency agreements with other public agencies and made extensive use of volunteers from the community. These policies can make it possible to provide a broad range of services even with limited staff. The variety of possible answers to the question, “Who will provide the services?” illustrates again the difficulty of using staff-inmate ratios or even overall staff numbers in analyzing or planning a facility.

The degree to which a jail administrator chooses to use outside resources rather than staff to provide services is an important management decision. It is based on operational philosophy as well as on questions of cost, efficiency, and liability.

Arrangements with Other Public Agencies

In a variety of situations, jail administrators have chosen to develop cooperative agreements with other community agencies instead of using jail employees to provide inmate services. Public mental health agencies provide drug and alcohol counseling services to inmates in some jails, often relieving these jails of the need for counselors on staff. Jails can also provide food services through arrangements with county hospitals, education programs through local schools and colleges, or can obtain data processing services through local governments.

By analyzing the structure of local government in their area, jail administrators can sometimes identify other county agencies to provide services more efficiently and at less cost than jail employees could. To support these formal arrangements with other agencies, contracts are developed that specify each cooperating agency’s responsibilities, expectations, and procedures.

Using Other Community Resources

In addition to developing agreements with other public agencies, jail managers have found that non-profit agencies and volunteers in the community also offer resources that can reduce staff numbers. Bringing community resources into the jail can sometimes make needed services available at less cost. Using volunteers can also inform a segment of the public about the way a jail operates, thereby improving community support and understanding. In many instances, the jail in turn becomes a resource to the community by providing educational and/or work experiences for those who are involved.

It is important to remember, however, that despite the appeal of using “outside” resources, there are costs associated with doing so. Facility staff are needed to recruit, train, and supervise the volunteers and to develop, manage, and evaluate their programs. Without this staff involvement, volunteer and community programs can easily fail.

Following are some of the most common ways in which community resources are being used in jails:

- Education programs—work-study and internship students provide tutoring and teaching assistance; public schools coordinate and staff education programs.

- Drug and alcohol programs—groups such as Alcoholics Anonymous sponsor meetings in the jail; private, non-profit agencies provide evaluation or one-on-one counseling.
- Religious programs—local churches and religious organizations hold services and meetings in the jail.
- Library services—books, services, and/or staff are donated by local public libraries.
- Entertainment—local performers provide entertainment programs for inmates.
- Recreation and self-help programs—exercise, yoga, meditation, sports programs are provided by various non-profit groups and individuals.
- Transition programs—local groups provide short-term housing, counseling, and job referrals to inmates upon release.
- Other—students in criminal justice, law, corrections, social sciences, recreation, and psychology fulfill internship requirements in the jail by performing a variety of functions otherwise done by staff.

In addition to these fairly common ways of utilizing community resources, some jails have developed highly original projects in cooperation with local groups or individuals.

Community resources can be used both to provide services that would otherwise not exist and to augment staff needed to ensure basic service provision. In the latter case, at least, using such resources will lower overall staffing requirements.

Use of Inmate Workers

Using inmates to perform jail functions may also reduce staff numbers. Sometimes, of course, using inmates actually requires more rather than fewer staff because staff are needed to supervise inmates in order to ensure that safety and security are maintained. However, it is possible to have inmate workers take the place of maintenance or kitchen workers, for example, if adequate professional workers are available to supervise and monitor their activity.

Contracting With Private Providers for Services

Probably the most significant management decision to affect staff-inmate ratios is whether or to what degree to contract with private providers for services. After determining the level of service desired, administrators must carefully analyze several factors in deciding whether or not to use private providers: fiscal impact, availability of personnel and equipment, liability, and degree of control desired.

Fiscal Impact

The need to control costs is often an important factor in the decision to contract for certain programs or services rather than to provide them through jail staff. For example, jails commonly contract for support services such as laundry, food service, and maintenance because cost comparisons have shown contracting to be cost-effective. The reasons contractors can often provide services for less include expertise in specialized areas, economies of scale, and, sometimes, lower overhead costs than government-operated programs.

Availability of Personnel and Equipment

Contracting for some services, such as medical care, often lessens the difficulty of recruiting specialized personnel. The level of expertise available to some jails is limited; in others, special equipment is unavailable or prohibitively expensive to buy. Both personnel and equipment can sometimes be made available through contracts with private service providers.

Liability Issues

Contracting for services can reduce counties' and jails' exposure to liability.⁵ The county shares liability with the contractor for constitutional violations that occur as a result of the jail's policies and procedures, but not for violations caused by independent actions of the contractor's employees. If the contract defines the rights and duties of each party and if performance is monitored for compliance, protection from liability is possible. Monitoring contractor performance is therefore crucial in limiting the degree of liability.

Degree of Control

In contracting for services, an administrator is agreeing to relinquish a degree of direct control over facility operations. Weighing the disadvantages and advantages of lack of direct control in specific instances is an important part of the decision. Some administrators may be more willing to give up direct control over services such as food or laundry, which are neither programmatic nor custodial in nature, than over services that do affect either programs or custody.

A final point about contracting for services: the widespread use in jails of privately contracted services is yet another illustration of the limits of focusing on raw staff numbers or staff-inmate ratios in analyzing, comparing, or planning facilities. A jail

⁵ For a detailed discussion of this issue, see William C. Collins, "Privatization: Some Legal Considerations from a Neutral Perspective," (Parts I and II) *American Jails*, Spring 1987, pp. 40-45, and Sumner 1987, pp. 28-34.

whose staffing chart reflects no medical personnel, for example, may actually provide an excellent medical program through other agencies or private contractors.

Conclusion

This paper has focused on the fundamental questions of staffing rather than on its technical aspects. It is not a substitute for a complete staffing analysis, but an attempt to raise awareness of the complex process that is required *before* determining staffing levels.

Jail administrators often use comparative staffing ratios because they are a convenient way to justify staffing levels to public officials. Understandably, administrators are inclined to imply the inadequacy (or adequacy, depending on the point being made) of their own facility's staffing by comparing ratios or rates of staff per 100 inmates.

Ultimately, however, general guidelines or "average" staff-inmate ratios are more misleading than helpful because they reflect none of the analytical or philosophical steps to be taken in planning a new jail. Staffing patterns must be based on the mission and goals of each facility. The arithmetic of staffing can be computed only after the policy decisions have been made. If the numbers that result are unrealistic or unworkable, policy decisions must then be re-examined and revised before another set of numbers can be derived. It is hard to get to the "bottom line" because many decisions, both major and minor, have to be made first.

Module Overview

This module focuses on the role and responsibility of the jail administrator in managing the workforce. Participants are introduced to basic personnel laws and regulations, the affirmative duties of the jail administrator, and general steps the jail administrator can take to manage the workforce while complying with personnel-related requirements. The module then looks at practical strategies that the jail administrator can use to recruit, select, train, supervise, and retain jail staff. In small groups, participants develop recruiting strategies for assigned job classifications, develop strategies to manage and supervise different generational groups in the workforce, and develop plans to retain specific types of employees. Individually, participants create action plans addressing managing the workforce in their own jails.

Performance Objectives

- After brief lectures and large group discussions, participants will identify the role and responsibilities of the jail administrator in managing the workforce.
- After brief lectures and large group discussions, participants will identify strategies for recruiting, selecting, training, supervising, and retaining jail staff.
- Given a small group exercises, participants will develop recruiting strategies for an assigned job classification.
- Given a small group exercise, participants will develop strategies to manage and supervise staff representing one generation in the workforce.
- Given a small group exercise, participants will identify one type of employee that presents a retention problem and develop a retention plan for that type of employee.
- After completing this module, using the action planning workbook, each participant will create an individual action plan to address managing the workforce in his or her jail.

Managing the Workforce

Effectively ***managing*** the workforce is one of the jail administrator's most challenging and important responsibilities. The jail administrator needs practical strategies to accomplish the following:

- Recruit the best possible applicants
- Select staff who are a good fit for the agency
- Train new and existing staff
- Manage and supervise staff
- Retain staff who perform effectively

What are some of the state and federal laws that protect the interests of workers?

Affirmative Duties of the Jail Administrator

- Provide written **directives** for staff
- Provide appropriate **training** for new and existing staff
- Provide active **supervision** of staff
- Provide **effective hiring, placement, and retention**

Administrative Liability

Given a breach of affirmative duty, an administrator can be held liable for the behavior of subordinates.

Steps to Managing the Workforce

There are some general steps the jail administrator can take to manage the workforce while complying with personnel-related requirements:

- Provide written personnel policies and procedures
- Provide written job descriptions
- Properly classify employees
- Evaluate employee performance
- Apply policies and procedures consistently
- Follow rules when disciplining staff
- Maintain adequate documentation

Recruiting Staff

A comprehensive recruiting plan includes the following:

- Review or develop accurate job descriptions
- Use a recruitment committee
 - Set recruitment goals
 - Select recruitment strategies
 - Monitor the effectiveness of the recruitment plan
- Develop effective recruiting materials
 - Brochures
 - Videos
 - Web-sites
- Use a recruiting team
- Develop effective recruiting strategies

Recruiting Strategies – Low- or No-Cost Strategies

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.

Internet/web-site: Strategies for improving internet recruiting success include evaluating your web site from the perspective of a job applicant, providing current job descriptions, providing basic qualifications and requirements, providing benefit and compensation information, post job openings as soon as possible and assign staff to monitor the site, provide a resume builder, online application, and electronic submission capability, use automation to enable continuous applicant engagement and tracking, use technology and photos of your staff to present the best image of your agency and facilities, use action keywords in web-site text to draw in applicants.

Recruiting Strategies – Paid Advertising

Classified newspaper ads: Consideration should be given to location of the ad, use of white space, graphics, and other placement strategies to call the readers' attention to the advertisement.

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.

Inserts in utility bills: Utility companies are often willing to send out advertising inserts with utility bills.

Pre-movie 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.

Recruiting Strategies – Special Events

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 schools: 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.

Recruiting Strategies – Internal Recruiting Methods

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 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 are subsequently 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 who are 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.

Recruiting Strategies – Other Recruiting Methods

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 may have had direct experience.

Pre-employment training/on-call 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 on-call staff in the jail to gain experience while awaiting a permanent position.

Intern and work-study programs: Educational programs can be used to encourage students to consider corrections as a career option. Intern and work-study programs give students the opportunity to experience various aspects of the job firsthand.

Small Group Exercise – Developing a Recruitment Strategy

For your assigned job classification, develop a recruitment strategy using a variety of techniques from your manual. Feel free to include additional recruiting strategies that have worked for your agency in the past. Select a recorder, a timekeeper, and a reporter. Prepare a report on the chart pad listing the job classification and at least 5 recruitment strategies that you feel would be effective with this group. Be prepared to share the reasons you selected the strategies that you did. You will have approximately 15 minutes to complete your work.

Group 1: Correctional Officer

Group 2: Nurse

Group 3: Food Service Worker

Group 4: Program Staff (education, recreation, library services, etc)

Screening and Selecting Staff

What happens if we hire the wrong people?

The purpose of screening applicants is to accomplish the following:

- Assess an applicant's suitability for the jail environment
- Determine if the applicant's skill sets match the requirements of the position being filled

Screening Basics

- Use **job-relevant** and **legally defensible** screening methods and tools
- Be aware of and/or establish **minimum qualifications**

Screening Processes

- Written testing

- Oral interviews

- Background investigations

- Physical testing

- Psychological testing

- Medical examinations

- Assessment centers

Orientation

- Provide an appropriate first impression
- Separate from induction and training
- Clarify employee expectations
- Explain the role and value of the new employee to the organization
- Foster communication with fellow employees
- Provide a mentor

Training

What are some of the benefits of effective staff training?

Goal of Training

The goal of training is to change staff behavior and improve job performance.

- New employees: build entry-level knowledge and skills in core tasks
- Existing employees: address deficiencies and performance issues

Developing a Training Program

- Designate a training coordinator
 - Write a job description for the training coordinator
 - Provide training to the training coordinator
- Develop policies and procedures for the training program
- Develop an annual training plan
 - Training goals for the current year
 - Summary of previous years' needs and problems
 - List of topics to be addressed in the current year
 - Proposed master schedule
 - Total training budget
 - Plan for evaluating the impact of training
- Implement the training plan
- Evaluate the results of the training

The training program needs on-going support from the jail administrator, including establishing a line item for training in the jail budget with adequate funding, assuring adequate access to training space and equipment, and approving overtime and/or schedule changes to allow staff to attend training as necessary.

Managing and Supervising Staff

It is critical to provide active, on-going supervision of staff.

Whether you are supervising staff directly or evaluating the effectiveness of line supervisors, look for and support the following **best supervision practices**:

- Provide appropriate and necessary training and opportunities for employee development
- Provide meaningful performance reviews
- Schedule staff and assign work in a fair and equitable fashion
- Provide timely mediation processes to resolve staff problems, complaints, grievances, and labor relations issues
- Recognize and honor staff for goal achievement
- Communicate jail, staff, and community issues up the chain of command on a regular basis

Generational Differences

- Veterans – born before 1943: 5% of today's workforce (and shrinking).
- Baby Boomers –born between 1943 and 1965: 45% of workers.
- Generation Xers –born between 1965 and 1980: 40% of the workforce.
- Millennials –born between 1980 and 2000: 10% of our current workforce (and growing).

Remember, generational characteristics are not absolutes.

Generational Differences

	Defining Moments	Social Context
Veterans	<ul style="list-style-type: none"> • Great Depression • WWII and Korean War • Television 	<ul style="list-style-type: none"> • Gender-based roles • Racial segregation • Respect for authority • Save money • Work hard and sacrifice
Baby Boomer	<ul style="list-style-type: none"> • Vietnam • Assassinations • Civil Rights 	<ul style="list-style-type: none"> • Women's movement • Hippies • Question authority • Immediate gratification (buy now, pay later) • Live to work
Generation Xers	<ul style="list-style-type: none"> • Challenger Explosion • Watergate • AIDS 	<ul style="list-style-type: none"> • Two-income households/ latch-key kids • Multi-racial • Indifferent to authority • Independent/self-reliant • Work to live
Millenials	<ul style="list-style-type: none"> • 9/11 • Oklahoma City • Columbine 	<ul style="list-style-type: none"> • Involved parents • Culturally diverse • No heroes • Confident and hopeful • Work to develop individual skills

Generational Differences

	Generations in the Workplace
Veterans	<ul style="list-style-type: none">• Use a direct style• Prefer command and control• Delegate and want results• Wary of technology and like a personal touch• Work hard and expect others to work as hard
Baby Boomer	<ul style="list-style-type: none">• Try to prove themselves over and over• Who you are is defined by what you do (work = worth)• Desire consensus and harmony in the workplace• Like to work for the “team”• Want a fair playing field
Generation Xers	<ul style="list-style-type: none">• Seek a balance between personal life and work• Desire a comfortable and unstructured workplace• Bored with one job assignment at a time• Ask why• Value competency
Millenials	<ul style="list-style-type: none">• Effectively multi-task – bored with repetitive tasks• Achievement oriented• Digitally connected• Value inclusion and multiculturalism• Open-minded

Small Group Exercise – Generational Differences

- Discuss where each of you might fit into the generational groups and where you feel the greatest percentage of your staff might fit.
- Discuss the challenges presented in managing and supervising different groups in the workplace.
- Identify one generation that presents a challenge in your workforce and develop a list of strategies that can be used to manage and supervise this group so that they contribute to the effective operation of the jail.
- Select a recorder, a timekeeper, and a reporter.
- Record your list on the chart pad.
- You will have 15 minutes to complete your work.

Retaining Staff

What are the costs of staff turnover?

Why employees leave and why they stay

- **Turnover** is more often associated with **job dissatisfaction**.
- **Retention** is more closely associated with the employee's **commitment** to the organization.

Effective retention eliminates those factors that lead to **job dissatisfaction** and incorporates strategies to increase **commitment** to the organization.

Why Employees Leave

- Incompatible corporate culture
- Unsatisfactory relationships at work
- Feeling of not being appreciated or valued
- Not feeling part of the company
- Not knowing how they are doing
- Inadequate supervision
- Inadequate training
- Lack of opportunity for growth
- Inequitable compensation and benefits
- Too much work and not enough staff
- Substandard equipment, tools, or facilities

Are these factors present in the jail environment?

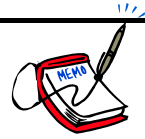
Retention Strategies

- Begin with recruitment – recruit people who are a good fit with the organization
- Establish a positive work environment
- Develop effective orientation, performance management, and coaching processes
- Provide innovative compensation and benefits packages
- Establish a recognition and rewards program
- Provide training and educational opportunities that improve job skills and provide career development
- Establish a mentoring program
- Provide opportunities for career growth
- Provide an adequate, safe environment
- Conduct exit interviews to find out why employees leave

Is retention at all costs a good policy?

Small Group Exercise – Developing a Retention Plan

- Discuss turnover in your jails. Who is leaving? Are particular job classifications experiencing high turnover? Or are employees with particular characteristics (for example age, gender, race, or ethnicity) difficult to retain? What might be contributing to the decision to leave?
- As group, select a type of employee that presents a retention problem for one or more you.
- On the chart pad, develop a retention plan for this type of employee.
- Select a recorder, a timekeeper, and a reporter.
- You will have 15 minutes to complete your work.



It is critical that you have a plan to manage the jail's workforce:

- Recruit the best possible applicants
- Select staff who are a good fit for the agency
- Train new and existing staff
- Manage and supervise staff
- Retain staff who perform effectively

Minnesota Jail Resource Center
Presents

Cost-Effective In-Service Training
Delivery Alternatives:

How to Exceed Training Standards
at a Low Cost

by Tom Reid, Ph D

Director, Minnesota Resource Center

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Alternative Delivery Strategies

"I increased training hours, increased effectiveness, and cut training costs by implementing alternatives to classroom-based training as part of my annual training plan."



I. Theme: If it meets all the requirements of “Defendable Training”, it’s training!

There are a lot of misconceptions about training. Many people define training as only taking place in a classroom environment. While classroom-based delivery can be effective, it is only *one* means of training delivery. Given a particular learning need or operational problem, classroom-based delivery can sometimes be an ineffective way to meet the need. For example, can employees *really* learn how to search a cell or evacuate inmates from a housing unit by simply sitting through classroom instruction?

The key to understanding and using alternative training delivery strategies is first to *free your mind* of pre-conceived notions about training, and then make the assumption that *classroom delivery simply is not available* as an option. Once you do that, you will be surprised what you can develop and deliver as valid training!

II. Executive Summary

This Training Resource Package recommends several cost-effective methods of providing valid in-service training for existing staff. Using these suggestions, the following level of defendable in-service training can easily be attained at a very low cost:

• In-service Field Training Officer (FTO) program	32 hours/employee/year
• Shift Overlap Training	12.5 hours/employee/year
• Experiential Drill Training	12 hours/employee/year
• Shift Scenario Training	24 hours/employee/year
• Independent Study Program	24 hours/employee/year
• Training at Staff Meetings	12 hours/employee/year
<i>Total on-the-job training</i>	<i>116.5 hours/employee/year</i>

Other in-service training concepts:

• Correspondence Course	40 hours each course
• Ride-Along Training	8 hours each event
• 2 Classroom Sessions per year	16 hours
<i>Total other in-service</i>	<i>64 Hours/Employee/Year</i>

Grand Total In-Service Training:	180.5 hours per year
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If an agency implements just a few of the suggested methods for training discussed here, **40 hours of defendable in-service training** for each agency employee can be obtained very economically. Virtually all of this training can occur without pulling staff off the job or replacing them on shifts. It simply must be planned, delivered, and documented with as much precision and care as formal classroom instruction. If it meets the requirements of defendable training, it is training and should be included in the training plan each year. Use this document as a resource guide for the development of a wide variety of in-service training delivery.

III. Introduction

The basic problem with training is that we usually associate it with a classroom setting. This is simply one form of training, and while it may not be the most effective, it is certainly the most expensive. **Training occurs any time a meaningful exchange of job-relevant information takes place:**

“Training: A formal exchange of job-related knowledge and/or skills from someone having it to someone needing it where something is acquired and applied resulting in something of value for the agency.”

If that exchange is properly planned, implemented, documented as training, it can be **defendable training**.

For defendable training, the following things must be clearly documented:

- **Objectives:** performance objectives (intent) and Lesson Plan or the functional equivalent (content).
- Statement of direct **relevancy to the job** (based upon problem analysis or performance analysis in the case of an existing employee or job task analysis for a new employee).
- Name of **Trainer** (with evidence of credentials, expertise, preparation, or proficiency).
- Name of **Trainee** (with specific job and/or post title).
- Duration of training—**Hours**. (How long did it actually take to learn? That can include actual time spent learning, processing/practicing, and being tested.)
- Effectiveness of Training: Individual **Assessment** of Trainee. (What the trainee learned? Was it applied? Did the agency see a benefit?)

Nowhere in the above definition of training does it require that training take place in the classroom. It does, however, require that learning be part of a **planned, formal, and well documented process**.

IV. Needs

The training concepts suggested in this document will be cost-effective, but it will require some time and effort to develop them specifically for any given agency. Remember, it will still be formal training delivery but often in an informal setting. It simply will not be occurring in the classroom setting. The following items are needed to provide support for this kind of training delivery:

- The administrator should designate one person as the agency/facility training coordinator for purposes of planning and scheduling training.
- The agency training policy and procedure should recognize, define, and support training that is non-classroom based.
- The agency/facility training coordinator should receive some formal training as a trainer or training coordinator.
- It will take time to develop and produce this kind of training delivery. The agency/facility training coordinator will probably require some overtime and perhaps other incentives.
- This system of training delivery will require some new forms, record keeping, and careful documentation.
- This concept must be given strong and ongoing administrative support.

It is very important that on-the-job training or non-traditional delivery always be taken just as seriously and be conducted just as formally as classroom training. Since does not meet the pre-conceived stereotype of training, if anything it needs to be even more formal and organized than classroom.

The best place to start is to develop training policy and procedure that defines allowable training for the agency, and to specify all the different delivery methods that may be incorporated into the annual training plan. Then, in each year's annual training plan, a blend of delivery strategies can be included.

A special warning about awarding training credit hours. Be careful when awarding training hours no matter what the delivery mechanism. Only credit the actual amount of time spent learning, processing, practicing, and being tested or evaluated, and don't confused payroll time with training time. This should hold for classroom delivery but be especially true for alternative delivery strategies. The quickest way to lose credibility with your administration and trainees, and put all your training activity under close scrutiny by outside entities (inspectors, auditors, or attorneys in case of litigation) is to appear to award inflated training hours. You never want to be in the position of explaining why you awarded 8 hours of training when the trainees spent one hour of that time at lunch!

V. Training Delivery Opportunities

There are countless training delivery opportunities in a correctional setting. The following describes a few that can be implemented. The key is to assume classroom delivery simply won't be available.

Historically, in correctional training, the trainees all would come to where the training and trainers were. The important difference, and theme, for alternative delivery strategies is to concentrate on bringing the training to where the trainees are through capturing a series of pre-existing or created opportunities.

The following concepts are a few suggested training delivery opportunities.

A. In-Service Field Training: “Tune-ups” for existing staff”

Schedule:	Once per quarter
Duration:	One shift/employee/quarter
Yield:	<u>32 hours/employee/year</u>

Using an FTO (Field Training Officer) model for on-the-job training is currently recognized as valid training for new employees. It is also very easy to convert an FTO program into a valid concept for formal training of existing employees.

Think of in-service FTO training as a “tune-up” for existing employees. For example, four times a year (once a quarter), place an existing employee in the FTO phase for a shift. Have your FTO supervisor or FTOs review critical elements of your job task list with the veteran trainees, and identify with the trainees certain mandatory or critical tasks and use the FTO teaching process to re-qualify them. Also, based upon employee appraisals or performance assessments, the FTOs and supervisors could identify certain tasks on an individualized basis as tune up topics specific for each trainee. One way to do this is to start with behavioral proficiency tests for these tasks. If staff can not meet the standard, then they are placed in FTO learning modules for those tasks.

To accomplish this, you will need:

- A good Job Task check-off list.
- Administrative and supervisory input concerning trainee's needs.
- Performance appraisals or employee performance assessments that are **task-based**.
- Ability to place FTOs on different shifts to reach all veteran staff.

The FTO program simply concentrates on building skills and enhancing abilities. It is competency based education. The trainee either can or cannot do something properly. The evaluation comes when the FTO formally signs off that the trainee properly demonstrated a given task. All the time that the trainee practices for the skill demonstration counts as training.

Placing existing employees in the in-service FTO Training phase should yield a total of **32 hours** of valid documented training per employee per year. The cost will be in training the FTOs in the use of the FTO teaching process for veteran employees, and the ability to place an FTO on various shifts as required.

B. Shift Overlap Training Delivery Sessions: “Capture the Moments”

Schedule:	Once a week
Duration:	15 minutes each session
Yield:	<u>12.5 hours/employee/year</u>

The concept of **roll call training** is well established in law enforcement, but rarely used effectively in corrections—especially small agencies. In most jurisdictions, there is a 15-to-30-minute overlap period between shifts. Sometimes, employees even arrive early on their own to review previous shift activities, special watches, etc. The shift-overlap period is an excellent time to provide employees with training. This 15-minute block is an excellent time to present topics of short duration. A longer topic, for example a 4-6 hour lesson plan, could be broken down into 15-minute mini-segments and be delivered through a series of overlap sessions. One agency calls these training moments “*Trainer’s Shorts*” and posts the upcoming topics on bulletin boards.

For example, once a week, schedule a Shift Overlap Training module. Topics can come from the policy and procedure manual, operational problems that have been occurring in the agency, or information from publications concerning standards, litigation, or, as suggested above, a formal longer lesson plan broken out into 15 - 20 minute bites.

Warning: This should never deteriorate into a “*here read this and sign that you understand it*” process. That is not training, though it could be an administrative activity, and should not be part of an agency training plan.

Shift Overlap Training concentrates on building knowledge or comprehension rather than skills and abilities. It is a valid exchange of relevant information on a recurring basis. In this form of training, it is important to plan the sessions covering, and then documenting, the 6 essential elements of defensible training. The training coordinator will need to document:

- the performance objectives,
- job-relevancy of the topic,
- the trainer,
- the trainees,
- the duration, and
- assessment of trainee comprehension.

This kind of training is probably already going on very informally during your shift changes. Once a week, several days in a row, or following a routine schedule, formalize it with written objectives and materials backed by a lesson plan designed with 15 minute delivery bursts.

Using Shift Overlap Training once a week for 15 minutes yields a total of **12.5 hours** of valid in-service training per employee per year. The cost will be the time it takes for the administrator or training coordinator to prepare a written handout and complete a documentation form, and cover shift roll calls or overlap periods.

C. Experiential Training: “Practice Drills as Training - Relevant Learning by Doing”

Schedule:	Once a month
Duration:	One Hour
Yield:	<u>12 Hours/Employee/year</u>

Certain critical topics can be covered in a classroom or through reading and thinking about them, but the proof of the pudding is, quite simply, in **practicing the activity on-site under realistic conditions**. As staff practice, they begin to learn how to deal with unexpected events in a correctional environment. That learning activity is training if it is formally planned, conducted, and documented following the 6 elements of defensible training. The idea is for staff to practice such that they perform more normally in an abnormal (emergency) situation. Since there is no such thing as a “normal” emergency, there should also be no such thing as a “normal” drill. Each drill should have difference objectives and problems that staff encounter and need to solve. That’s where relevant learning will occur.

The following critical incidents are suggested as a few appropriate topics:

Top Priority

- Fire Drills
- Suicide Intervention Drills (Hanging, Overdose, Self-Mutilation)
- Medical Emergency Drills
- Lock Failure/Power Failure Drills
- Terrorist Threat/Attack

Priority

- Escape Drills
- Hostage Drills
- Bomb Threat Drills
- Natural Disaster (Tornado, etc. appropriate to the region) Drills
- Mass Arrest Drills
- Inmate Disturbance Drills

Once a month, set up some form of critical incident/event drill for each shift. During the week before the drill, have staff review the appropriate policy and procedure, protocol, processes (which can count as training as well if formally planned, delivered, and documented.) and then conduct the drills.

Vary the topics. Fire and suicide, as the greatest risks in institutions, should be scheduled for drills at least once a quarter. Good judgment should prevail, but perhaps staff should not always be warned before each drill, and only be informed that one is due sometime in the near future concerning a given topic. When possible, move actual minimum and medium security inmates (using volunteers or staff for maximum inmates) during fire drills. Use volunteers or other staff as victim/inmates for all inmate-sensitive drills such as suicide, hostage, etc. Present your staff with some realistic situations - for example, a set of emergency keys is missing, one key staff member is gone out of the building, a lock is jammed, etc. Develop a written drill scenario describing the situation, problem to be solved, and the performance objectives, and then observe and evaluate participant behavioral performance during the drills.

It is very important to hold “post mortem” debriefings to critique behavior, develop more acceptable procedures during emergencies, and confirm the learning. It is also important to practice all procedures and to time the drills with a stopwatch. For example, if it takes more than **three minutes** to evacuate inmates from a housing unit to an area of refuge, you have potentially big problems. The answer: **Practice, practice, practice.** The extra benefit: It’s all training if it’s formally planned, implemented, and documented. To accomplish this, you will need:

- Written performance objectives for each drill
- Written scenario for each drill
- Develop and use a form documenting the drill scenario, objectives, staff involved, evaluation of staff performance, stopwatch times for performance, duration of learning experience, and changes recommended in procedures and behavior.
- It is a good idea to periodically have a fire marshal, medical professional, mental health professional, etc., as appropriate, monitor some of your drills. These subject experts should also sign off on your drill scenarios (and can suggest future robust scenarios).
- Conduct and document formal de-briefing/evaluation sessions with staff after drills.

The experiential learning drills concentrate on **skills** and **response building**. There does need to be a basis in knowledge concerning policy and procedure, but this can easily be accomplished before drills in the shift-overlap sessions or shift scenario training. The actual learning is tested in performance. Vary the “test” so that staff must solve some unanticipated problems within a seemingly routine drill - that’s when true learning and skill development occur. It is important to use a written scenario as a basis for the drill, and to use a stopwatch to add pressure to perform properly but promptly. Staff must recognize these drills as training and take them very seriously. If drills are currently being conducted, take advantage of this training opportunity by planning them as training events.

Schedule at least one critical incident practice drill every month for each shift. Emphasize fire and suicide as the most probable events in a correctional facility. The duration of the learning experience of each drill will probably exceed one hour. This kind of critical and relevant experiential training can easily yield an estimated 12 hours per year per employee.

D. Shift Scenario Reviews: “Think, Understand, and Learn While Working a Shift”

Schedule:	Twice a month
Duration:	One hour per event
Yield:	<u>24 hours/employee/year</u>

Staff can learn while working on a shift. Working individually or in teams, they can seek out knowledge and skills that are confirmed at the end of the shift by the training coordinator. The process would include handing out information sheets, hypothetical situation summaries, incident fact sheets, or other job-relevant information, i.e., scenarios, at the start of a shift, and asking the staff on duty to read and discuss the information or situations during the course of the shift. These fact sheets or scenarios must be backed by written performance objectives as part of a lesson plan using the shift scenario delivery strategy. Some form of

evaluation or testing for comprehension needs to occur at the end of the shift. For example, a written report on how the shift agrees or recommends to handle a given situation or even a series of questions testing for judgment and decision making around the issue contained. In this delivery strategy, persons working together on the shift will be conducting a small group activity while they work by discussing the information with each other during spare moments, reporting out at the end of the shift, and will in essence be training themselves concerning the given issue.

One example of Shift Scenario Training would be to hand out a fact sheet concerning an offender's escape from custody in another (anonymous) agency, the excessive use of force on an offender, or any number of scenarios from correctional case law or actual or potential operational problems. Next, hand out a copy of your agency's relevant policy and procedure, make standards and statutes available, and give the shift an assignment sheet with containing some guiding questions and instructions. Scenarios can be developed based on actual problems occurring in other agencies. Additional good sources of topics are any of the publications that report litigation results or case law. The subjects are limitless.

Twice a month, declare a Shift Scenario Training day. Prepare for this with written performance objectives, a good documenting form, and handouts for the trainee/shift workers. Develop a comprehensive lesson plan for Shift Scenario Training showing each topic or individual scenario as a module of the overall plan. You will need to prepare:

- An overall lesson plan concerning Shift Scenario Training including, for example, 24 planned modules based on agency need or prevention.
- Performance objectives for each individual module.
- Handouts for each shift (fact sheets, scenarios, agency policy and procedure, instructions and guiding questions, etc.).
- Questions that staff must answer *in writing*, or written or oral reports required to assess trainee comprehension, judgment, and decision making.

Shift Scenario Training is appropriate as a training method to increase **knowledge, comprehension, judgment, and decision-making** of a wide variety of topics in the agency. It is not designed for physical skills building or increasing psychomotor abilities; that is more appropriately done through the FTO program and the experiential drills. The training coordinator should always provide appropriate follow-up in response to trainee written answers or reports from the scenario questions. Once the answers are evaluated, further training- either knowledge-based or experiential/behavioral - may be indicated. Develop and use a good documenting form that covers all six items required for defensible training.

Using Shift Scenario Training twice a month, assuming the actual learning duration is about one hour per shift, yields 2 hours per month of valid training. This means a total yield per employee of 24 hours per year of documented in-service training.

E. Staff Independent Studies Programs: “Let Them Train Themselves”

Schedule:	Once a month (or as needed)
Duration:	2 hours
Yield:	<u>24 hours/employee/year</u>

This delivery method works well with “self-starting” staff. It is also good to use this with potential supervisors. If the administrator needs to know something, or has a problem to solve, assign someone on staff to research the topic and make recommendations. That, in fact, becomes training as they educate themselves as they find answers. This might involve calling other agencies, calling the National Institute of Corrections (NIC), going to the library, contacting vendors, going on-line, etc. in order to discover what your agency should do.

For example, if one staff member is responsible for designing fire drills, that person will readily educate him/herself by obtaining information from the local or state fire marshal, National Fire Protection Association, American Corrections Association, state departments of corrections, NIC, etc. Perhaps you want to know how to upgrade your program of special diets. Assign a staff member an independent study project to identify the state of the art and make recommendations. The subjects are countless and directly job-relevant: just ask the administration what issues or questions need attention and answers.

The training coordinator will need to take special care in writing performance objectives for each Independent Study Module. The duration of learning will vary based upon the actual time required to research a topic. The real benefit is that someone on your staff will become the expert on that topic and can then make a training presentation at the next staff meeting, giving your organization even more training hours.

Once a month, assign an independent study topic to one or two staff members with a deadline to respond with a written report. Not all staff can get involved, and not all staff members have the interest or motivation to research information, equipment, or processes. The key is not to “dream up” topics but to request information is really needed to set policy, assess and solve problems, or improve the organization. If you give these staff a written assignment, chances are you have already defined the performance objectives in that memo. Always use the written assignment as the device to begin the training documentation. Save their written response as part of the evaluation of what they learned.

The beauty of a well designed independent study assignment is that the staff member not only trains him/herself, but also provides both the administrator and the organization with useful information of direct value.

Use of an Independent Study Program with selected employees once a month should yield at minimum 2 hours of training experience (and probably considerably more). This means a potential for 24 hours of in-service training available for staff.

F. Training Presentations During Staff Meetings: “Catch Them While They’re Together”

Schedule:	Once a month
Duration:	One hour per staff meeting devoted to training
Yield:	<u>12 hours/year/employee</u>

If you are not holding regular staff meetings, you probably should. This is an excellent time to make sure that problems are solved and shifts run consistently. It is also a good time to present new material to your staff and to make sure they comprehend it. Be careful using this one: a meeting is usually just a meeting. Not all parts of a staff meeting can count as training, but a meeting can clearly shift from agency business to knowledge and skills development activities that are covered by performance objectives or a lesson plan, and where some form of trainee evaluation is documented.

In most instances, the administrator or certain staff members who have researched topics or developed expertise in general custody or administrative topics are appropriate trainers. Staff meetings are also an excellent time to bring in outside experts, such as the fire marshal, health inspector, equipment provider, etc. to make brief presentations about various topics. When asking for outsiders to present, the training coordinator may need to develop the performance objectives and record the content of the training. Since you will only be asking someone for about **one hour’s presentation**, you may get an expert free of charge. If you had asked for a formal 8-hour training session, that same expert may want charge. By asking in small amounts, you may get a great deal of free expert training.

Schedule one staff meeting every month. If you hold regular 2-hour staff meetings, scheduling one hour of that time as the training component would be reasonable. Either assign staff to develop the one-hour training component for that meeting (as an Independent Study Project), or identify the topic yourself. Make sure that written performance objectives are developed before the staff meeting and that someone is assigned to take good “content” notes during the training. This event can also be video taped for future use as a training module as

well as for documentation purposes. Develop a quick and easy way to test staff comprehension of these staff meeting training topics.

Generally, these sessions will be used to increase staff's knowledge or awareness. They can also be used to change staff attitudes in a formal setting. These sessions are basically mini-classroom sessions but are much cheaper to produce, and they are of such short duration that there is usually no problem with staff losing concentration or lack of attention.

It is recommended that you schedule one staff meeting each month. A portion of that meeting should be scheduled as the staff training component. One training hour per month out of the meeting would yield 12 hours per year per employee of valid in-service training.

G. Other In-service Training Methods: “Catch what you can that’s already available”

Use of any of the available **Correspondence Courses** such as from the American Correctional Association and National Sheriffs Association. These will usually yield at least 40 hours of formal training at a very low cost for staff new to a position, and they can also be used as refresher training for veteran staff.

“Ride-Alongs” with other community, county, or state experts such as the Fire Marshal, Health Inspector, Building Inspector, etc. Ask if one of your staff could accompany these persons as they conduct inspections in occupancies similar to a 24 hour correctional operation (like nursing homes and hospitals, etc.). Have the Fire Marshal, etc., write you a letter documenting what the trainee has learned. If your staff spends four hours with these experts learning codes, inspections, and techniques, that is four hours of valid employee training if it can be related to the correctional environment concerning Fire Safety, Sanitation, Hygiene, Food Service, etc.

Videos are a good training source as long as the content is relevant and the information is not counter to the agency policy, procedure, and practice. Clearly the content must be directly job-related, and trainees must be evaluated. Simply watching a video is not training: it is only the input of information. It needs to be linked to performance objectives, processing (i.e., group discussion assignments) to assure comprehension, and then assessment to measure learning. A wide variety of videos are available of varying quality and utility, and of necessity they tend to be generic.

E-Learning is becoming more readily available even for smaller agencies. If a computer is available with internet access, a wide variety of job-related modules are available although many are on a subscription-basis only. NIC has on-line e-learning at no fee.

Satellite Downlink training (video conference, distance learning, and formal class-room modules) is also available, usually on a subscription basis. Generally downlink equipment is

available at local educational facilities, and some providers, such as NIC, do not charge for receiving the actual training program signals.

Form a **training consortium** with a nearby agency or region. Share training resources and programs. While you have been busy developing some on-the-job components, a nearby agency may have stressed a different approach. Get together regularly and discuss training methods and training needs. Then, keep in touch and share!

And, as a one delivery strategy among many, continue to provide **classroom training** sessions.

VI. Summary

This training resource package has suggested several cost-effective delivery methods of providing valid in-service training for staff. Using these strategies, the following volume of defendable in-service training for a given employee can be attained at a very low cost:

• In-service FTO program:	32 hours/employee/year
• Shift Overlap Training:	12.5 hours/employee/year
• Experiential Drill Training:	12 hours/employee/year
• Shift Scenario Training:	24 hours/employee/year
• Independent Study Program:	24 hours/employee/year
• Training Presentation at Staff Meetings	12 hours/employee/year
TOTAL ON-THE-JOB TRAINING:	116.5 Hours/Employee/Year

Other in-service Training concepts:

• Correspondence Course	40 hours each course
• Ride along training	8 hours each event
• 2 classroom sessions/yr.	<u>16 hours</u>
TOTAL "OTHER" IN-SERVICE	64 Hours/Employee/Year

GRAND TOTAL IN-SERVICE TRAINING: 180.5 Hours per year!

If a jurisdiction follows these training approaches for in-service training, most hourly requirements for training will be greatly exceeded at a very low cost. If just half of the suggestions are implemented, or if the frequency of events is reduced by half, each employee could potentially receive approximately 90 hours of in-service training with most of it on-the-job.

Even if your agency reduced the frequency of events further such as Experiential Training Drills once a quarter (12 hours), Staff Meetings once a quarter (4 hours), Shift Overlap

Training over a two week period once a quarter (10 hours), and Shift Scenario Training every other month (6 hours), combined with the use of independent studies, correspondence courses, video tapes, and a few formal classroom sessions, the agency can easily meet the ACA standard of 40 hours of in-service training for custody employees at a low cost.

Remember, this is where you want to be a year from now:

“I increased training hours, increased effectiveness, solved operational problems, and cut training costs by implementing alternative delivery to classroom-based training as part of my annual training plan.”

Module Overview

This module introduces the six elements of inmate behavior management. Participants identify inmate behaviors that cause problems in jails and discuss the benefits of more effectively managing inmate behavior (and thus reducing these problems) for staff, inmates, and the community. Participants analyze the relationship of each of the six elements to managing inmate behavior. Individually, participants create action plans to improve inmate behavior management in their jails.

Performance Objectives

- Given a large group discussion, participants will identify indicators that show whether inmates' behavior is managed and under staff control.
- Given a large group discussion, participants will define the benefits of effectively managing inmate behavior for staff, inmates, and the community.
- Given brief lectures and small group exercises, participants will identify the six elements of an inmate behavior management plan and analyze the relationship of each element to managing inmate behavior.
- After completing this module, using the action planning workbook, each participant will create an individual action plan to improve inmate behavior management in his or her jail.

CONTROLLING INMATE BEHAVIOR

Are inmates' activities and behavior under control in your jail at all times?

What are some of the things inmates **do** that tell you that you really do not have inmates under your control?

[illegible]

BENEFITS OF AN INMATE BEHAVIOR MANAGEMENT PROGRAM

- Reduce assaults
- Reduce contraband
- Reduce vandalism
- Reduce escapes
- Reduce suicides
- Reduce stress for staff and inmates
- Reduce liability
- Increase staff control
- Increase security
- Increase safety
- Increase sanitation
- Increase rule compliance
- Improve staff morale
- Increase job satisfaction
- Improve public perception of the jail

PHYSICAL CONTAINMENT VS. BEHAVIOR MANAGEMENT

American jails have always wanted to control inmates, but we relied mostly on physical containment to control them. We were pretty good at physical containment:

- keeping inmates behind walls,
- behind bars,
- behind security glass,
- behind steel doors.

That really was our focus, and, many times, once the inmates were physically contained, they were left to their own devices. The inmates vandalized the building, assaulted each other, planned escapes, disregarded jail rules – in other words, they were out of control!

And, all of this has cost us a lot over the years — in lawsuits, building repairs, staff and inmate injuries, decreased public safety, and negative public perception of jails.

It became apparent that physical containment **alone** didn't give us control over the inmates. Now we understand that we can **manage** inmate behavior and achieve much better results. We can be in control of our jails and better ensure the safety and security of the staff, inmates, and community.

Six Essential Elements in an Inmate Behavior Management Plan

1. Assessing inmates' risks and needs
2. Assigning inmates to housing
3. Meeting the inmates' basic needs
4. Defining and conveying expectations for inmate behavior
5. Supervising inmates
6. Keeping inmates productively occupied

A deliberate and formal plan based on the recognition that:

- All the elements are closely related;
- The elements are integrated building blocks;
- Decisions made in one of the elements will likely affect some or all of the other elements
- All six elements together are necessary to reach inmate behavior management goals.

IN OTHER WORDS, THE WHOLE IS GREATER THAN ITS PARTS!

ELEMENT #1: ASSESSING INMATES' RISKS AND NEEDS

WHAT IS RISK?

Risk is a measure of dangerousness.

WHAT IS NEED?

Need is a physiological or psychological requirement for well-being.

ASSESS BOTH RISK AND NEED

The level of risk an inmate presents and his needs both directly affect his behavior and how we respond to that behavior.

ASSESSING RISK AND NEED...

is a process of collecting information that tells us who each inmate is and allows us to classify him. Based on that information, we can make decisions on how to manage him – decisions related to security, supervision, services, and programs.

THREE REASONS TO ASSESS AN INMATE'S RISK AND NEED

1. To determine if we should accept him into the booking and intake area

The first decision we make about an arrestee is whether we will accept him into the booking and intake area.

What do we base our accept/not accept decision on?

2. After he is accepted, to determine how to manage him in the booking and intake area

For this assessment, we are not talking about managing the inmate in the long term. Instead we want to identify and respond to critical issues that may come up while he is in the booking and intake area.

3. If he stays in the jail, to determine how to manage him in the jail.

We are now concerned with the long-term management of the inmate in the jail.

- Initial in-depth assessment
- Reassessment

ELEMENT #2: ASSIGNING INMATES TO HOUSING

Assessing risk and need for each inmate gives us valuable management information on individual inmates, AND it allows us to sort the total inmate population into groups. Why do you think it might be easier to manage inmates when we group like inmates together?

A **housing plan** describes how bed space in a jail will be used to accommodate the way we want to group inmates so we can effectively manage them.

DEVELOPING A HOUSING PLAN

- Review the inmate population for types or categories of inmates and the number in each category.
- Identify the categories of inmates who must be housed separately.
- Review the physical plant.
- Identify options to house inmates elsewhere.
- Draw up a contingency plan that addresses crowding and unusual situations.
- Create a written housing plan.
- Distribute the written housing plan to staff.
- Review the housing plan on an ongoing basis.

All jails, no matter how large or small, need to have a plan that addresses how inmates will be grouped and housed to manage them most effectively.

STRATEGIES FOR SMALL JAILS

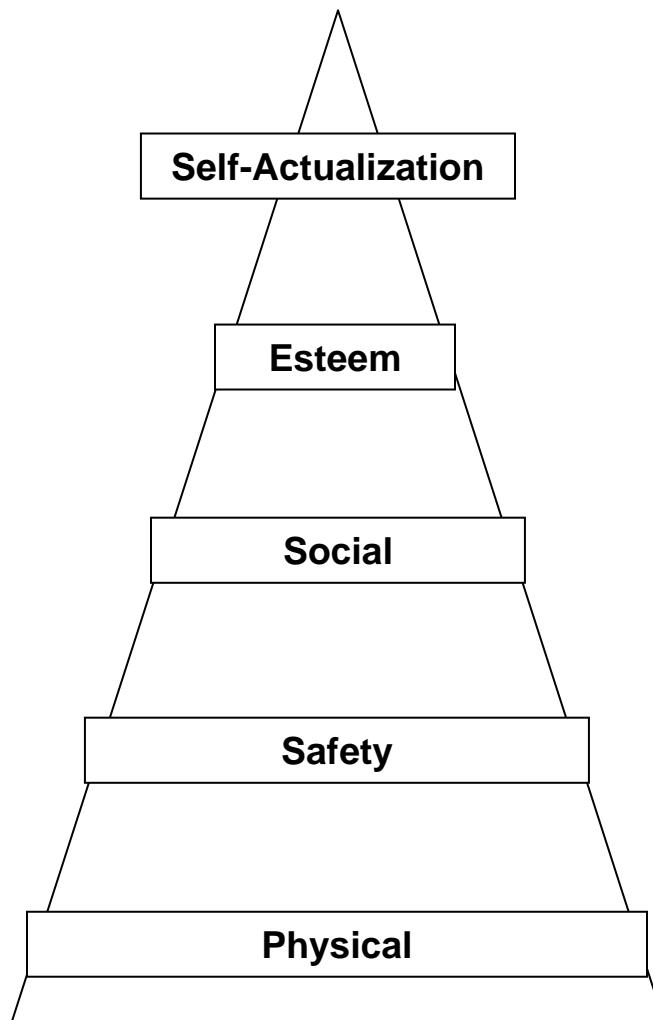
- Assign cells based on visibility
- Time-phase the use of common areas
- Develop “flex” or “swing” housing
- Utilize non-jail options when possible (i.e., electronic monitoring, day reporting)
- Develop cooperative arrangements with neighboring small jails
-

ELEMENT #3: MEETING INMATES' BASIC NEEDS

HIERARCHY OF NEEDS

The idea that human behavior is motivated by needs is based on the work of Abraham Maslow, a twentieth century psychologist who developed a hierarchy of needs, first published in 1954. Maslow wrote that human beings are motivated by unsatisfied needs, and that certain lower needs must be satisfied before higher needs can be satisfied.

MASLOW'S HIERARCHY OF NEEDS



BASIC INMATE NEEDS

As we examine the **basic needs** that motivate inmate behavior in our facilities, we will focus on the first three levels of need.

Physical Needs

What jail operations or activities relate to meeting these basic inmate needs?

What negative behaviors might we see if the jail fails to meet the inmates' physiological needs?

Safety Needs

What jail operations or activities relate to meeting these basic inmate needs?

What negative behaviors might we see if the jail fails to meet the inmates' safety needs?

Social Needs

What jail operations or activities relate to meeting these basic inmate needs?

What negative behaviors might we see if the jail fails to meet the inmates' social needs?

WHY MEET BASIC INMATE NEEDS?

- Required by law
- Greater ability to manage and control inmate behavior
- Right thing to do

SMALL GROUP EXERCISE:**CONNECTIONS BETWEEN BASIC NEEDS AND NEGATIVE INMATE BEHAVIOR**

Directions: In your table group, review and discuss your assigned scenario. Identify the unmet basic needs that may be contributing to negative inmate behavior. Determine what action you will take to meet the basic need. Prepare a report using your report out sheet. Be prepared to report out on your findings in about 10 minutes.

Remember! Unmet basic needs may not be the only reason for the negative behavior and meeting the need may not be the only strategy to change the behavior, but for this exercise we want you to focus only on the unmet basic need that could be causing the behavior, and only on strategies to meet the need in order to reduce the negative behavior.

Unmet Basic Needs	Action to Meet the Need

Group #1

As the jail administrator, you are reviewing disciplinary reports. During the last 4 days, one inmate has received 8 minor rule violations, including:

- Inmate had paper blocking the vent in her cell
- Inmate had 3 extra pairs of socks, 2 extra shirts, and 1 extra blanket
- Inmate was in bed at 1500 hours, in violation of the rules
- Inmate switched to a lower bunk without authorization
- Inmate had paper blocking the vent in her cell
- Inmate was wearing her t-shirt on her head
- Inmate was in bed at 1130 hours, in violation of the rules
- Inmate had paper blocking the vent in her cell

What basic need might be contributing the inmate's negative behavior?
What actions will you take to meet the basic need?

Group #2

As the jail administrator, you are reviewing disciplinary reports. One inmate has been written up for possession of contraband. During a routine cell search, the following contraband was found:

- 1 toothbrush, sharpened to a point
- 1 piece of metal, apparently from a chair in the law library

A review of the inmate's file shows that he is 55 years old, a diabetic, and has a prosthetic leg and a cane. He has been housed in the general population area for several months with no problems; however the officers have noted that he has been "hanging around" the officer's station for the last several days.

What basic need might be contributing the inmate's negative behavior?
What actions will you take to meet the basic need?

Group #3

As the jail administrator, you are reviewing disciplinary reports. An inmate worker has been written up for misusing county property and being in an unauthorized area. The inmate is the “Overlap Kitchen Worker”. An officer making rounds through the kitchen observed Inmate in the staff office, using the telephone, while the kitchen staff and other inmate workers were outside the kitchen emptying trash.

A review of policy shows that the “Overlap Kitchen Worker” works six days a week between 0930 - 1730 hours. Telephones are turned on in the housing units between 1000 - 1600 hours.

What basic need might be contributing to the inmate’s negative behavior? What actions will you take to meet the basic need?

Group #4

As the jail administrator, you are reviewing disciplinary reports and grievances. Over the last 3 days, one inmate has received 3 minor rule violations:

- Inmate’s roommate accused him of eating his Ramen noodles.
- Inmate had orange from breakfast tray hidden under his mattress.
- During court transport, inmate was found to have a hard-boiled egg hidden in his sock.

The inmate has also submitted a grievance, claiming that his rights are being violated because he has not received a dinner tray for several days. A review of the inmate’s file shows that he has been going to court for trial each day from 1330 - 1830. The dinner meal is served at 1700 hours.

What basic need might be contributing to the inmate’s negative behavior? What actions will you take to meet the basic need?

ELEMENT #4: DEFINING AND CONVEYING EXPECTATIONS FOR INMATE BEHAVIOR

THE SELF-FULFILLING PROPHECY

The real question is: *Do inmate behaviors cause our expectations, or do our expectations cause or contribute to their behaviors?*

THE ONLY WAY TO TRULY ANSWER THAT QUESTION IS TO SEE WHAT HAPPENS IF WE CHANGE OUR EXPECTATIONS, IF WE BEGIN TO EXPECT DIFFERENT, MORE POSITIVE BEHAVIORS FROM INMATES.

WE NEED TO GIVE INMATES A NEW ROLE TO PLAY, THAT OF SITUATIONAL NORMAL ADULT. WE CAN CREATE THE ENVIRONMENT WHERE IT IS IN THE INMATE'S BEST INTEREST TO BEHAVE APPROPRIATELY

DEFINING EXPECTATIONS

- Determine acceptable inmate behavior
- Set high, but attainable, behavior expectations for inmates
- Ensure that the inmates have the means to comply

CONVEYING EXPECTATIONS

We convey our expectations for inmate behavior both directly and indirectly.

- What are some examples of how we convey our expectations to inmates directly?

- What are some examples of how we convey our expectations to inmates indirectly?

Who will convey our expectations if we don't!

INCENTIVES AND DISINCENTIVES

Why do we need both positive and negative reinforcement techniques?

ELEMENT #5: SUPERVISING INMATES

In this element we focus on our expectations for staff - how they will interact with inmates to create and reinforce positive behavior, in other words, how they will supervise inmates. This role as **supervisors** of inmates may be a new one for your staff, and we'll look at how to help them fill this new role.

Supervising inmates means that staff monitors and manages inmates to ensure their behavior meets our expectations.

Key Elements of Supervising Inmates

1. Require active supervision of inmates by staff.
 - Increase staff presence.
 - All space is staff space.
 - Eliminate staff congregation areas.
 - Increase positive staff interaction with inmates.
 - Observe, listen, and pay attention to inmates.
 - Treat inmates with respect and consideration and expect the same from them.
 - Act fairly toward all.
 - Solve small problems before they become large ones.
 - Resolve conflicts between inmates.
 - Motivate inmate cooperation.
2. Give staff both responsibility and authority.
 - Give staff authority to make decisions within the housing unit, following established guidelines.
 - Hold staff accountable for unit conditions.
 - Recognize and reward staff behaviors.

It is important that staff see inmate supervision as their primary role, and the associated skills as critical to success.

BARRIERS TO INTERACTION

Physical Plant

Physical plant 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.

Staffing Levels

- Staff assigned to other duties
- Not enough staff

Staff Placement

Where are staff duty stations located – are staff working where they can see, hear, and interact with inmates?

Staff Behavior

Staff may not see their role as supervisors. Shifting staff's focus from physical containment to behavior management may require a significant change in staff attitude and behavior.

Administrative Commitment

If the administrator's commitment is not clearly articulated and clearly and consistently demonstrated, staff are unlikely to make or maintain the necessary changes in their behavior.

Each of these barriers can be either fixed or variable. Agencies will be able to control changes in the different barriers to varying degrees.
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SMALL GROUP EXERCISE

Directions: In your table group, discuss your assigned topic. Develop a report on the chart pad and select someone who will report out on your topic in 10 minutes.

Group #1:

Brainstorm a list of the information you should provide to new inmates about the expected and accepted behavior for inmates in your jail.

Group #2:

Brainstorm a list of ways staff can increase opportunities for appropriate interaction with inmates to more effectively supervise them and manage their behavior.

Group #3:

Brainstorm a list of formal and informal incentives that your jail can use to encourage inmates to behave well and follow the rules. Then, brainstorm a list of formal and informal disincentives that your jail can use to hold inmates accountable for their behavior.

Group #4:

Brainstorm a list of ways you can demonstrate administrative commitment to your inmate behavior management plan and increase the ability of staff to be successful in managing inmate behavior.

ELEMENT #6: KEEPING INMATES PRODUCTIVELY OCCUPIED

How do productive activities contribute to inmate behavior management?

Productive activities provide staff with tools they can use to keep inmate behavior focused on the positive instead of the negative.

What happens if the jail does not provide inmates with productive activities?

When we provide structured activities, we control the nature of the activity.

When the inmates control activities, who then controls the jail?

The jail's ability to keep inmates productively occupied is critical to the inmate behavior management plan and to the safety and security of the jail.

CATEGORIES OF PRODUCTIVE INMATE ACTIVITIES

- **Work** within the housing unit
- **Positive unstructured activities** inside the housing unit
- **Structured activities** within the housing unit
- **Organized programs** outside of the housing unit

OVERCOMING OBSTACLES TO KEEPING INMATES PRODUCTIVELY OCCUPIED

- **Staffing:**
 - Volunteers
 - Housing Unit Officers
 - Designated Staff
- **Schedule:**
 - Time activities during slow periods
- **Space:**
 - Use space creatively
 - Dayrooms
- **Resources:**
 - Look for low-cost activities
 - Inmate welfare fund
 - Partner with community agencies
 - Budget for productive activities
- **Needs Assessment:**
 - Base activities around jail goals (safe, clean, quiet)
 - Consider assessed needs of the inmates
 - Ask inmates
 - Ask staff
- **Resistance:**
 - Help resisters understand the connection between activities and managing inmate behavior
 - Identify community groups who can advocate for activities

Module Overview

This module presents the elements of a fire, safety, and sanitation plan including: codes and requirements, policies and procedures, inspections, follow-up action, evacuation drills, and staff training. Participants use American Correctional Association (ACA) standards to develop operational and administrative recommendations to enhance fire, safety, and sanitation plans. Working in small groups, participants develop strategies to address four topics in fire, safety, and sanitation planning. Individually, participants create action plans addressing fire, safety, and sanitation in their own jails.

Performance Objectives

- After lecture and large group discussion, participants will identify the elements of a fire, safety, and sanitation plan.
- After a group exercise, participants will use the ACA standards to develop operational and administrative recommendations to enhance fire, safety, and sanitation plans.
- After a group exercise, participants will develop strategies to address four topics in fire, safety, and sanitation planning.
- After completing this module, using the action planning workbook, each participant will create an individual action plan to improve fire, safety, and sanitation planning in his or her jail.

Fire Safety

The following quotes are from staff in a jail when a fire occurred.

“Thick heavy black smoke”

“Door blew open with explosive-like force.”

“Door blew open with explosive-like force with the key in the lock.”

“Inmates put so much pressure (pushing) on the door, the key broke off in the lock.”

“In their frantic rush to exit, they knocked the keys out of the deputy’s hand.”

“The heat of the fire caused the door track to drop, placing the full weight on the latch causing it to bind.”

Group Exercise (Brainstorm)

What are possible sources of information about fire safety issues?

Three Steps to Ensure Fire Safety

- You need to have a fire plan.
- You need to make it part of everyone's daily life in the jail.
- You need to designate & train someone on staff as your fire safety specialist.

The National Fire Protection Association has developed a simplified five step fire safety plan designed to act as a framework for your facility's fire safety plan.

1. Ignition Control
2. Fuel Control
3. Occupant Protection
4. Fire detection and Suppression
5. Training and Planning

Plus: An Internal and External Inspections Program

Step One – Ignition Control

- Control smoking materials
- Look for possible sources of electrical sparks
- Look for open flames
- Implement and support effective **inmate grievance** procedures. If the inmates have an effective means of addressing grievances, they are less likely to resort to more drastic measures of gaining attention.

Step Two – Fuel Control

How can you control potential fuel items?

Controlling the amount
Limiting Types
Arrangements (location and configuration)

Step Three -- Occupant Protection

There are two primary methods protecting the occupants of your jail.

- A reliable evacuation plan
- Defend in place

Step Four – Detection and Suppression

Early detection or warning of a fire is essential.

- **Manual detection** occurs when someone discovers a fire and either verbally or through a fire alarm (pull station) alerts your staff.
- **Automatic detection** occurs when a smoke detector or sprinkler system is activated by smoke or heat.
- **Suppression** systems include sprinklers, portable fire extinguishers, hoses, air packs, use of standpipes, the water distribution system, fire pumps, etc.

Step Five – Training and Planning

- Staff training and education
- Staff preparation
- Inmate education
- Emergency plan procedures



Documentation of all inspections, maintenance, and training is very important to be defensible in court!!!

Fire inspection and documentation are critical components of any fire safety program.

- Designate & train a fire safety specialist on your staff – he or she should receive specialized training in fire prevention and detection.

- Develop a thorough inspection form – the form should document inspection of your fire detection, notification and suppression equipment.

- Conduct internal inspections on a regular basis.
 - Weekly
 - Monthly

- Require external inspections by qualified individuals.

- Require quarterly testing of all alarms, devices, equipment, emergency generators, and detection equipment by a qualified person.

A Sanitation Plan for your Facility

There are no nationwide standards for sanitation; you will need to rely on state and local health codes and restaurant standards.

Let's look at the **components** of a comprehensive facility sanitation plan:

- Designate and train a facility sanitation specialist
- Develop, implement, and enforce a general housekeeping plan
- Develop, implement, and enforce a waste management plan
- Develop, implement, and enforce a program of water supply testing
- Provide adequate laundry services
- Provide for inmate personal hygiene and hair care
- Develop, implement, and enforce a program of vermin and pest control
- Develop, implement, and enforce an inspection program in food services
- Develop, implement, and enforce a sanitation inspection program
- Develop, implement, and enforce an incentives program for staff and inmates
- Develop, implement, and enforce a preventive maintenance plan
- Develop and implement a training and education program for staff and inmates

Housekeeping Plan

All jails must have a written housekeeping plan. The housekeeping plan should include lists of all areas of the facility and identify who is responsible for cleaning each area.

The plan should identify who has the responsibility for supervision of the cleaning/housekeeping plan. There should be work orders/repair orders with follow up to track completion. This plan should also include:

- A system for emergency repair
- A description of the availability, ordering and supervision of cleaning supplies and cleaning equipment
- A plan for control and inspection of toxins, caustics, and flammable items including:
 - Control vs. availability
 - Routine inventory/inspection
 - Labeling
 - Storage in approved containers/cabinets
 - Routine re-order
 - Data sheets
 - Routine inspection
- Follow-up inspections to assure plan is implemented

Waste Management Plan

You will want your waste management plan to:

- Address the processing and appropriate disposal of all solid, liquid, and toxic wastes
- Identify how to deal with hazardous and bio-hazardous waste
- Cover the collection, movement in facility, depository, and pickup of waste in the facility
- Require the use of approved containers

Water Supply

You will want to ensure the facility's water is safe and meets appropriate regulations and standards. To do this you should:

- Have your water tested regularly
- Make sure that the testing is certified by a reliable lab
- Take water samples in several areas of the jail (kitchen, housing, showers)
- Document water temperatures (kitchen, housing, shower, staff areas) on a regular basis

Laundry Services

The following are some issues you need to address when developing policies regarding your laundry service.

- How often will routine linen exchange occur? (At a minimum it should occur weekly, but you should check local standards.)
- Will your agency clean an inmate's personal laundry? If so, under what circumstances?
- How will you distribute clean laundry and pick-up dirty laundry? (At a minimum, you need a two-cart system to ensure there is no cross contamination from the dirty clothes to the clean clothes.)
- How will you sanitize clothing/bedding/ mattresses when needed?

Personal Hygiene

You will want to ensure that the inmates maintain good personal hygiene while in jail.

- Stress the importance of hygiene in your inmate handbook. This may include having rules and regulations mandating showers and other hygiene activities
- Provide the essentials such as soap, shampoo, towels, and wash cloths
- Have other items available through the commissary
- Ensure that the inmates have access to showers and soap
- Coach and educate inmates on the importance of personal hygiene

Hair Care

- Ensure your medical screening includes the inmate's head/hair
- The inmates should have access to hair care and specialized hair care products as needed

Vermin & Pest Control

You will want to take a proactive stance on vermin and pest control. You need to have regular pest control services by a professional, contracting for monthly inspections and/or service as needed.

Food Service

Food service is an area often overlooked when setting up a housekeeping plan. We often “assume” that good health and safety practices naturally occur in this area. Below are simple things that you can do to improve the housekeeping plan in this area.

- Require and enforce hand-washing rules and regulations
- Store dry goods in proper location with approved containers
- Record the temperatures in coolers & freezers on a daily basis
- Control cleaning materials
- Clean food service areas daily
- Conduct daily, weekly, and monthly inspections in kitchen/storage areas

Preventive Maintenance Plan

Jails are high maintenance facilities. A preventive maintenance plan is absolutely essential. The following is a list to consider for such a plan.

- Develop a list of routine pre-emptive activities required
- Identify key systems to be maintained - air handlers, mechanical areas, control rooms, locking devices, building systems
- Set up an annual schedule for routine maintenance
- Work with the funding authority to either assign these tasks to an in-house employee or contract with an outside agency for these services

Sanitation Inspection Program

- ✓ **Internal Inspections**
 - Daily Inspection
 - Weekly Inspection
 - Monthly Inspection
- ✓ **External Inspections**

Offering Incentives or Awards

You need to set standards for your staff and inmates and then reward them for meeting those standards. The rewards do not need to be elaborate or expensive.

Training

If you provide your staff and inmates with training and education, they are more likely to understand the issues and comply with facility policy and procedure. Training should be provided to:

- ⇒ Staff
 - ⇒ Inmates
 - ⇒ Inmate Workers

Helpful Hints



Develop a program of rewards for keeping all areas clean
Include both staff and inmates

Set high standards - you will get what you **expect**; and back those standards by inspections- you will get what you **inspect**

Workplace Safety

The GOAL of a workplace safety plan is **Prevention.** We need to **find and prevent accidents before they happen!**

Most Common Causes of Accidents

- Horseplay
- Unsafe Behavior
- Unsafe Conditions

Typical Safety Hazards

- Lack of personal protection
- Walking and working surfaces
- Machine guarding
- Electrical hazards
- General housekeeping
- Clutter
- Chemicals
- Noise
- Biological hazard
- Unsafe practices

The key to solving "preventable" workplace accidents is to establish **zero tolerance** for unsafe practices. We need to ensure that staff members and inmates know that unsafe situations or behaviors are unacceptable.

- Safety officer
- Staff and inmate education
- Supervision
- Inspection
- Immediate correction of deficiencies

Although the source of assistance may vary, every agency should have some form of **voluntary risk management support** available to it.

Sources of voluntary assistance

- County Risk Management Department
- Association of Counties
 - Risk Management
 - Insurance Trust
- Private Risk Managers & Safety Specialists
- NIOSH – National Institute of Occupational Safety and Health

"The Hammer"

OSHA generally provides only mandatory compliance inspections



Small Group Exercise

Understanding and Applying Fire, Safety, and Sanitation Standards

Find, read, and discuss your assigned standards. Then develop a report on the easel pad with specific **operational** and **administrative** recommendations for enhancing the level of fire, safety, and sanitation for staff and inmates based on the information in the standards. Include strategies for **documenting** each recommendation. Select a spokesperson to share your findings with the class. You have 20 minutes to prepare your report.

Group 1

1-CORE-1C-04 (Fire Safety – Code Conformance)

1-CORE-1C-07 (Flammable, Toxic, and Caustic Materials)

Group 2

1-CORE-1C-05 (Fire Prevention)

1-CORE-1C-06 (Facility Furnishings)

Group 3

1-CORE-1A-01 (Sanitation Inspections)

1-CORE-1A-05 (Water Supply)

Group 4

1-CORE-1C-02 (Evacuation Plan)

1-CORE-1C-03 (Immediate Release of Inmates)

Small Group Exercise

Topics in Fire, Safety, and Sanitation

In your small groups, review your assigned topic, and develop your product on the easel pad. Select a spokesperson and be ready to report out in 20 minutes.

Group 1: Develop a series of comprehensive internal weekly and monthly fire, safety, and sanitation **inspection forms**. Include all the specific items and areas that must be inspected. Include any signatures required, who will review and approve the form, and who will review and respond to the completed forms. Discuss how identified deficiencies will be addressed.

Group 2: Develop a detailed plan for conducting **fire drills** in the facility. The plan should address frequency of drills, timing of drills, who will conduct the drills, documentation of drills, staff debriefing, involvement of outside agencies, and how identified problems will be addressed.

Group 3: In the last six months, you have had five staff out of work with job-related worker compensation injuries. The injuries have ranged from sprained ankles to knees requiring surgery. Your sheriff has asked you to develop a comprehensive plan for **reducing loss-time injuries** in staff and increasing workplace safety in the jail. The plan should include the role staff, administration, inmates, and outside agencies will play in achieving the goal.

Group 4: The jail is excessively dirty. Develop a plan to bring the jail up to an **acceptable level of sanitation**. Include how facility cleanliness will be maintained at that acceptable level. Include how facility cleanliness will be maintained at that acceptable level. The plan should address all areas of the facility and include the role staff, administration, inmates, and outside agencies will play in achieving and maintaining sanitation.

DEVELOPING A JAIL FIRE, SAFETY, AND SANITATION PLAN

By Mark D. Martin

Safety is a primary concern in jail operations. Clearly, jails are concerned with safety as it relates to security. As a jail administrator, you are responsible for providing public safety by securely detaining the individuals under your authority. However, you are also responsible for providing a safe and healthy environment for staff, inmates, and others who visit or use the facility.

As in any work environment, there are hazards present in the jail that can endanger staff, inmates, or others. These hazards are due to the nature of the site as well as to the activities or behavior of those occupying the facility. Common categories of hazards present in jails may include the following:

- **Chemical Exposure:** From inappropriate use or handling of toxic or caustic substances in cleaning materials, insecticides, pharmaceuticals, acids, anti-freeze, or chemicals used in operating equipment
- **Fire and Explosion:** From fires intentionally set by inmates, spontaneous ignition of flammable materials, accidental ignition from work site activities, or from defective electrical wiring or malfunctioning equipment
- **Biologic Hazards:** Including blood-borne and airborne pathogens transmitted from infected persons, or from vermin or insects. Unsanitary facility conditions can also serve as a breeding ground for disease.
- **General Safety Hazards:** Including such hazards as holes or cracks, slippery floors, sharp objects, unstable surfaces, and clutter
- **Noise:** The noise of normal living and work activity is often amplified in the jail, where hard surfaces do not allow sound to dissipate.

These conditions can create an environment with a variety of hazards that must be eliminated or managed, including those that—

- Pose an imminent danger to life and health
- Are not immediately obvious or identifiable, but could pose problems in the future
- Vary according to location or to the task being performed
- Change as activities or work processes change

The jail administrator has primary responsibility for safety management. The administrator must plan, implement, and monitor a program to reduce the risk of fire, injury, or other events that could result in harm. The program must—

- Include provision for rapid and appropriate response to emergencies
- Provide comprehensive protection against all potential hazards
- Provide specific protection against individual known hazards
- Be modified continually as new information and conditions warrant

This document provides an overview of the elements of a fire, safety and sanitation plan in the jail setting.

Legal and Regulatory Requirements

General Liability Issues

Courts have ruled that keeping inmates in unsanitary or unsafe conditions constitutes cruel and unusual punishment. For example, courts have held that inadequate sanitation violates constitutional standards, whether it involves defective plumbing¹, infestation by vermin², or lack of cleaning or garbage disposal.³ The courts have stated that conditions must be sanitary enough that inmates are not exposed to an unreasonable risk of disease.⁴

Regarding fire safety, several courts have upheld that inadequate fire protection violates the Eighth Amendment.⁵ The court in one case⁶ found that multiple fire-related deaths had occurred due to the defendants' blatantly inadequate fire protection plan, resulting in Eighth Amendment violation. Failure to train detention staff in fire safety has also led to several legal actions, stemming directly from institutional fires.⁷

Unsafe environments and inadequate fire protection have also contributed to findings of negligence in tort suits filed against jails where incidents have resulted in harm.

Codes and Regulatory Requirements

Jails are governed by a variety of codes and regulatory requirements set at federal, state, and local levels, and within tribes. At the federal level, most notable are the standards set out under the **Occupational Safety and Health Act (OSHA)** of 1970. The law delegates authority to the Occupational Safety and Health Administration to set and enforce standards for safe and healthy workplaces. It also allows a state or tribe to develop and operate its own occupational safety and health program in lieu of federal oversight.

Federal law gives OSHA the authority to inspect work sites and to levy fines when violations are discovered. Since over 5 million workplaces are covered by the law, your facility may never have been inspected. OSHA establishes priorities, with situations involving imminent danger to workers receiving the highest priority. Bear in mind, however, that fatal accidents, major catastrophic events, or employee complaints could trigger an inspection.

OSHA requirements are incorporated by reference into the Bureau of Indian Affairs' (BIA) detention standards and in many state and professional standards. To comply with these standards, jails must provide evidence that they comply with OSHA requirements.

At the state and local levels and within tribes, safety and health requirements for jails may be established in several areas. States and tribes may establish their own occupational health and safety program. Fire safety, as a separate issue, is often regulated by **the state fire marshal** or by the BIA Office of Safety Management. State and tribal fire codes are often based on model codes, such as the Life Safety Code developed by the National Fire Protection Association (NFPA) or the Uniform Building Code.

1. Toussaint, *supra*; Blake v. Hall, 668 F 2d 52 (1st Cir. 1981); Ramos, *supra*.

2. Palmigiano, *supra*.

3. Ramos, *supra*, Palmigiano, *supra*, Dawson v. Kendrick, 527 F Supp. 1252 (S. WV 1981).

4. Grubbs, *supra*.

5. Toussaint, *supra*, Leeds v. Watson, 630 F 2d 674 (9th Cir. 1980).

6. Toussaint, *supra*.

7. Palmigiano v. Garrahy and Cotto et. al. v. Federal Bureau of Prisons.

State health departments often have authority to set standards for facility sanitation. However, this is sometimes delegated to local health departments. The Indian Health Services (IHS) or Tribal Environmental Health has regulatory oversight on sanitation issues in tribal jails.

States with **jail standards programs** typically have standards addressing sanitation, health, and safety. They may set out specific requirements or merely require compliance with some of the other codes.

Jail administrators should identify the health and safety standards that apply to their jail and verify the jail's compliance with these standards.

Elements of a Fire, Safety, and Sanitation Program

Here are some of the primary elements of an effective program.

- Management commitment
- Safe facilities
- Written policies and procedures
- Designated qualified safety officer and safety committee
- Comprehensive staff training
- System of ongoing internal inspections (daily, weekly, monthly, and annual)
- Periodic independent inspections by external auditors
- Hazard prevention, elimination and control
- Prompt follow-up and correction of problem areas
- Adequate sanitation and hygiene
- Preventive maintenance
- Adequate fire protection, detection, and suppression capabilities
- Emergency response plans and capabilities
- Adequate control and handling of flammable, combustible, toxic, and caustic materials
- Complete records and documentation

Guidelines for Developing A Health and Safety Management Program

Elements of an Effective Program

OSHA has issued guidelines to help employers to develop a comprehensive health and safety management program. They describe an effective program as one that includes provisions for the systematic identification, evaluation, and prevention or control of general workplace hazards, specific job hazards, and potential hazards that could arise from foreseeable conditions. They encourage employers to address all hazards in a way designed to prevent injuries and illness, regardless of whether compliance with the law is at issue. There are four major elements of an effective program:

1. Management commitment and employee involvement

The jail administrator's support provides the motivation and resources to organize and control activities within the jail. The administrator must regard the health and safety of inmates and workers as a fundamental value to the organization and make health and safety protection a priority. Involved workers express their commitment to safety and health protection by complying with established policies.

2. Work site analysis

Jails must have an ongoing system of inspections to identify existing and potential hazards. Ignorance of hazards due to failure to examine the work site indicates that safety and health policies or practices are ineffective. The key is to anticipate and prevent occurrences.

3. Hazard prevention and control

When it is determined that a real or potential hazard exists, efforts should be focused on preventing injury or illness by eliminating or controlling the hazard in a timely manner.

4. Safety and health training

Employees should be trained to identify potential and existing hazards in their workplace, and to prevent or control hazards to avoid illness or injury.

Establishing and Maintaining the Program

Here is an outline of the steps to establish and maintain an effective health and safety program, based on these four elements.

Set Objectives

Whether you are developing a comprehensive health and safety program for the first time or updating an existing program, begin by establishing objectives for sanitation, safety, and health in the jail. Describe what it is that you want to accomplish that will improve sanitation and safety in the jail. Share these objectives with the entire staff and solicit their input and support.

Appoint a Safety Officer

Appoint a safety officer to have overall responsibility for developing, implementing, and maintaining the health and safety program. Provide that officer with enough on-the-clock time, training, resources, and authority to get the job done.

Know the Standards That Apply

Get copies of the standards that apply to your facility. Applicable standards may include:

- ACA's Core Standards
- State jail standards
- BIA detention standards
- OSHA standards
- State or tribal fire codes
- NFPA Life Safety Code
- State, local, or tribal health and sanitation codes

Federal regulations such as OSHA standards or BIA detention standards can be obtained from the Government Printing Office or the Federal Register. Obtain state, local, and

tribal standards from the applicable regulating agencies. You should also get copies of the inspection checklist that external regulating agencies use.

You will need these standards for reference material and as the baseline for your internal inspections. Standards also help you determine what specific changes must be made when hazards or unhealthful conditions are discovered.

Clean Up the Jail

Poor housekeeping not only contributes to accidents and an unhealthy environment; it also tells inmates and staff that there is a lack of concern about the quality of the jail environment and that sloppy work is tolerated. Get rid of rubbish and provide proper waste containers. See that flammable, toxic, and caustic materials are properly stored. Make sure that exits are not blocked and that passageways are marked and adequately lit.

Request a Consultation from Inspectors

Request a consultation visit from your state or tribal inspection programs covering fire, safety, and sanitation, to get a full survey of existing and potential hazards in your facility. This survey should include an evaluation of all conditions with respect to safety and health regulations, and should generally recognize safe and healthful work practices. The person conducting the evaluation should check on the use of hazardous materials, observe jail activities and work processes, and discuss safety and health problems with staff.

The information from the evaluation will help you identify the strengths and weaknesses of your health and safety program. If a major problem is identified during the evaluation, take immediate corrective action and develop a plan for controlling it. Make a record of what you have done to correct the problem.

Set Up a System of Internal Inspections

Set up a system of routine internal health and safety inspections. Develop a checklist of items and locations unique to your facility. Establish a procedure for recording and reporting findings and correcting deficiencies. ACA and BIA standards require a weekly inspection by a designated staff member, a monthly inspection by a qualified fire and safety officer, and annual inspections by independent, qualified auditors. Staff should also conduct daily spot inspections of their work areas and note their findings in a log.

Fire, safety, and sanitation inspection are often combined into one activity and checklist. Generally, the purpose of these combined safety and sanitation inspections is to ensure that

- 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 bathing facilities, sinks, toilets, and laundry facilities, is functioning properly
- All identified deficiencies are promptly reported and corrected

Provide a way for all employees to let you know when they see hazards. Consider establishing a safety committee to work with the safety officer to address identified issues.

Create Hazard Prevention and Control Systems

Set up systems and procedures to prevent and control hazards identified in your initial survey of routine inspections. In addressing problems, OSHA's recommended actions include, in order of preference:

- Eliminate the hazard or condition
- Diminish the hazard by limiting or controlling exposure
- Train staff and inmates to be aware of hazards and to follow procedures to avoid them
- Provide personal protective equipment to staff to protect against the hazard

OSHA recommendations can be accomplished by

- Making physical plant modifications
- Providing sufficient training and direction so each employee thoroughly understands his/her job and work process
- Enforcing rules for safe work procedures
- Conducting preventive maintenance on equipment to prevent breakdowns
- Providing regularly scheduled drills and simulations of possible emergencies, so that if the real thing happens, people know what to do
- Providing protective equipment and training staff on its purpose and use

The jail administrator should be aware of potential hazardous situations that can be created by the inmate population, through carelessness or misbehavior. Studies show that most jail fires are deliberately set by inmates. The jail's inmate supervision plan should support the health and safety program by screening and identifying inmates who are potential arson or escape risks and those who may be emotionally disturbed. Inmates who present particular risks should be assigned to appropriate housing and monitored carefully.

Create Emergency Response Systems

Set up systems and procedures to respond to emergencies in timely, effective ways. Be sure that—

- Fire detection, suppression, and protection systems are in place and in working order
- Evacuation routes are identified and publicly posted
- There is an immediate means for releasing inmates from locked areas
- Local fire departments are prepared to respond effectively to fires in the jail
- Contingency plans are in place for other emergencies (bomb threats, escape, natural disaster, hostage situations, riots, etc.)

Set up a process for critical incident review and debriefing when things do go wrong and someone gets sick or injured. This will help you find ways to prevent recurrences.

Write Policies and Procedures for the Program

Write policies and procedures for the health and safety program to ensure clear communication of policies and priorities, and for consistent and fair application of the rules. Topic areas should include, at a minimum:

- Sanitation and hygiene
- Fire, safety, and sanitation inspections
- Pest control
- Housekeeping
- Issue of personal hygiene articles
- Clothing and bedding issue, laundering, and exchange
- Access to bathing and personal hygiene facilities (showers, bathtubs, toilets, sinks)
- Food service sanitation and inspections
- Preventive maintenance
- Safety program
- Designated safety officer and assigned duties
- Designated safety committee and assigned duties
- Fire and life safety program
- Fire prevention procedures and equipment
- Fire response plan (including detection and suppression, coordination with local fire department)
- Evacuation plan
- Training
- Drills
- Inmate education
- Smoking and use of tobacco products
- Control and use of flammable, combustible, caustic, or toxic materials
- Other emergency response plans

Proper documentation and record keeping should be key features of all policies and procedures.

Train Workers in the Program

Establish and provide ongoing training for employees, supervisors, and managers in all aspects of the health and safety program. Policies and procedures are the core of an effective program, and training is essential to their implementation.

Qualified jail staff may conduct training on detention policies and procedures. For training in specific content areas (such as control of blood- and airborne pathogens) or skills (such as use of the fire extinguisher), consider asking for assistance from local fire departments, the state fire marshal's office, IHS health and sanitation officers, OSHA state consultation programs, state and local health departments, corrections training agencies, and professional organizations.

Specific areas in which staff should be trained include:

- First aid, CPR, and use of universal precautions
- Use of self-contained breathing apparatus and other personal protective equipment

- Evacuation and other emergency procedures
- Fire reporting procedures
- Equipment maintenance
- Identification, control, and proper use of hazardous substances
- Facility inspections
- Use of fire suppression equipment (extinguishers, hoses, etc.)
- Coordination with local emergency response agencies

Be sure the safety officer has more specific training in the application of jurisdictional codes and regulations, such as those from the Environmental Protection Agency (EPA), OSHA, NFPA, ACA, and state, local, or tribal fire and sanitation codes. This person should also be trained in conducting inspections.

Inmate training and education are critical, because inmates are the other primary users of the facility. Inmate orientation should include information about the dangers of smoke, fire, and other hazards in jails, and how to prevent or minimize their exposure to these hazards. Inmates should be told how to protect themselves from hazards and how to conduct themselves in an emergency.

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. They also exercise the response of the local fire protection service. Standards and fire codes require at least quarterly fire drills, which should be alternated across shifts. The safety officer should observe and critique each drill to discover any flaws in the facility’s response efforts and suggest areas for improvement.

The safety officer should discuss the critique with the jail administrator, and together they should ensure that problems are corrected. The critique and recommended improvements should also be shared with staff, so that they can learn from the experience. Memoranda developed relating to the drills should be kept as evidence of compliance with emergency plan requirements.

Document Program Activities

Document your activities in all aspects of the program. Keep records of policies and procedures, inspection findings, work orders, corrective actions, incidents, training sessions, memoranda, and information on potential hazards. Documentation provides evidence of directives and actual practice, and may be mandated by the standards you are required to follow. Good documentation:

- Provides evidence of adherence to standards, which can be used to demonstrate “good faith” if you are challenged in an audit or lawsuit
- Helps you to review the jails safety and health activities, the better to control operations and plan improvements

Regulatory agencies have specific requirements for the types of records that the jail should maintain relative to the health and safety program. Be aware of these requirements and incorporate them into your overall plan.

Develop an Action Plan

Develop an action plan for building your health and safety program based on the steps outlined here. The action plan serves as a “road map” to get your program where you want it to be. It should include:

- A list of major changes and improvements, in priority order, needed to make the health and safety program effective
- A *specific plan* for each change or improvement, including what you want to accomplish, the steps required, the resources needed, the persons responsible, and the target completion date

Action plans are typically required by regulatory agencies in response to deficiencies cited in an official inspection or audit. Safety issues that present an imminent danger to life or health may have to be corrected immediately, or the objectionable portion of the facility closed until correction is complete. Regulatory agencies expect all other items to be corrected according to an agreed-upon plan including the details above.

Summary

The nature and function of jails present many challenges to maintaining the health and safety of those who occupy and use them. Fire and other serious incidents can lead to disastrous consequences such as illness, injury, loss of life, and property damage. Jails are mandated by law and regulation at several levels of government to provide for the safety and well-being of staff, inmates, and others who may visit the facility. The jail administrator has primary responsibility for health and safety management.

Developing an effective health and safety program for the jail demands a multi-faceted approach incorporating physical plant and equipment, personnel, policy and procedure, inmate management and supervision, and education and training. Failure to provide an adequate health and safety program is against the law and can contribute to the finding of liability against the jail when a serious incident or disaster occurs. The cost and effort needed for an effective health and safety program are insignificant compared to the potential cost of a disaster that could have been avoided.

Module Overview

This module briefly introduces participants to the budget process and describes the role of the jail administrator in managing the budget, including planning expenditures, monitoring expenditures, analyzing costs, and controlling expenditures. In small groups, participants analyze a sample budget document to identify areas of spending concern, apply cost analysis information to identify possible reasons for spending deviations, and develop recommended solutions to control spending. Individually, participants create individual action plans to address managing the budget in their own jails.

Performance Objectives

- After a brief lecture and large group discussion, participants will describe the budget process and the jail administrator's role in managing the budget.
- Given small group exercises, participants will analyze a sample budget document, apply cost analysis information, and develop recommended solutions to control spending.
- After completing this module, using the action planning workbook, each participant will create an individual action plan to address managing the budget in his or her jail.

Budget Process

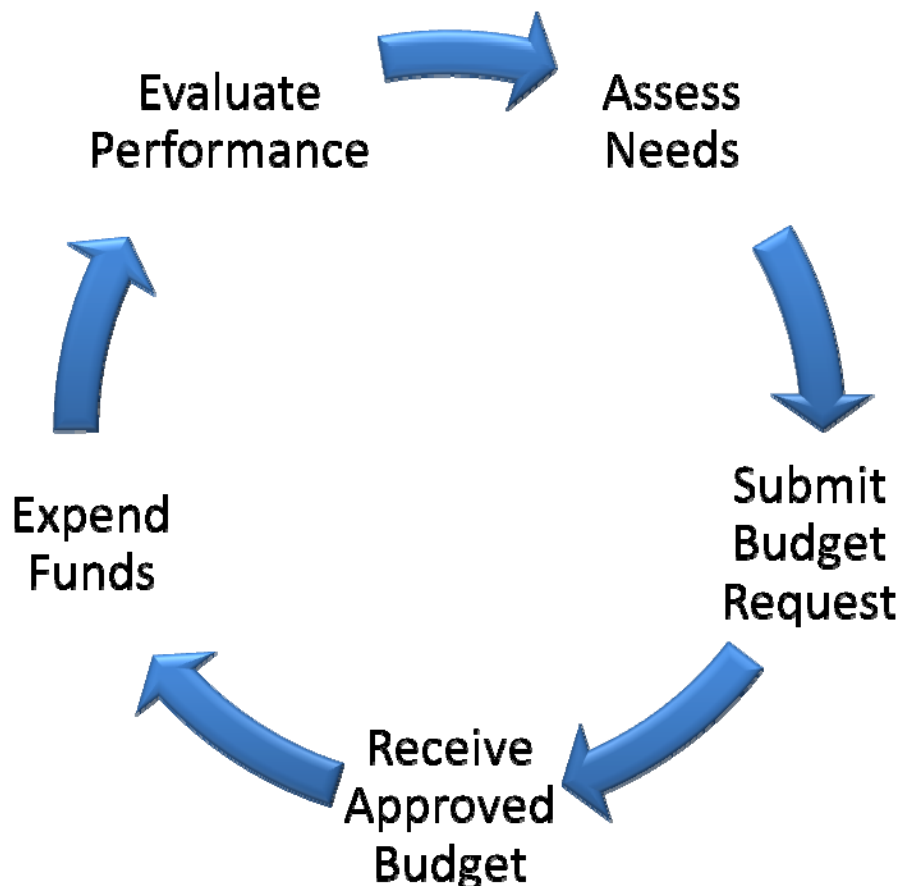
The budget process is defined as the activities necessary to prepare the legal document that appropriates funds over a fixed period for a local government's various functions and services.

The budget is typically authorized for a fiscal year corresponding to the calendar year or another 12-month period.

The budget process, however, takes place over a longer period that starts well before the actual fiscal year begins.

Budget Cycle

The budget cycle is the period from initial budget preparation through approval, implementation, and evaluation of the adopted budget.



Budget Development

- Assessing needs
- Reviewing current and past expenditures
- Projecting future expenditures
- Preparing the budget document
- Submitting the budget package
- Presenting the budget

Budget Management

- Planning and monitoring expenditures
- Analyzing and controlling expenditures
- Making budget adjustments as necessary

Regardless of the jail administrator's role in developing the budget, he or she is ultimately responsible for spending the funds appropriately and staying within the budgeted amounts.

Effective Budget Management

- Increases credibility
- Provides means of implementing philosophy
- Focuses resources on priorities
- Maximizes staff productivity
- Increases support for the jail
- Increases potential for achieving goals and objectives

Planning and Monitoring Expenditures

- Develop spending forecasts
- Set benchmarks
- Compare actual spending with forecasts

What might be some red flags to look for in the budget report?

Analyzing and Controlling Expenditures

Once you have identified areas of potential concern in the budget report, you need to determine why expenditures are not meeting your forecasts, and what you can do to address problem areas.

What are some possible reasons for expenditures that are higher than forecasted?

What additional factors might explain expenditures that are higher than the percent of time elapsed in the budget?

What about the mechanics of the budget?

Analyzing and Controlling Expenditures

Depending on the reasons you identify for budget variations, the appropriate response for managing and controlling expenditures will be different.

What are some strategies if costs or the number of inmates needing an item have risen?

What about if you discover misuse or mismanagement of an item?

Making Adjustments

- Transfer surplus funds from one budget category to cover shortfalls in another category.
- Seek budget increases to pay for unexpected expenses.

Involve Staff in Managing the Budget

- Provide feedback to staff on the budget status
 - Creates a sense of ownership and responsibility.
 - Allows staff to contribute by maximizing productivity, deferring purchases, and adjusting work processes to stay within the budget.

Cost Analysis

- Calculate unit costs for jail expenditures
- Look at how costs are changing over time
- Compare your costs to those of other jails
- Communicate information about jail operations and expenditures

Cost Analysis

AVERAGE COST PER EMPLOYEE (Includes salary, benefits, overtime): The total personnel cost divided by the total number of personnel.

MEDICAL COST, PER DIEM, PER INMATE (Includes supplies, staff, and services): The total cost of medical services divided by the total number of inmates; divided by 365 days.

FOOD COST, PER MEAL, PER INMATE (Includes food product, staff and supplies): The total cost of food services, divided by the total number of inmates, divided by 365 days, divided by 3 meals per day.

UTILITY COST, PER DIEM (Includes water, sewer, electric, telephone): The total cost of utilities, divided by 365 days.

PER DIEM INMATE COST: Total operating cost, divided by the total number of inmates, divided by 365 days.

RATIO OF STAFF TO 100 INMATES: Total number of staff, multiplied by 100, divided by the total inmate population.

STAFF TO INMATE RATIO: Total number of staff, divided by the total number of inmates.

PERCENTAGE OF TOTAL OPERATING COST APPLIED TO STAFFING: Total staffing cost, divided by the total budget.

Small Group Exercise – Monitoring Expenditures

- In your small groups, review your assigned budget report and note any red flags in expenditures.
- Discuss possible reasons for unexpected expenditure amounts.
- Select a recorder, a timekeeper, and a reporter.
- Prepare a report on the chart pad listing the red flags that you noted and the possible explanations that you discussed.
- You will have 10 minutes to complete your work.

Group 1**Farmland County Monthly Budget Report – Department: Sheriff Division: Detention***Fiscal Year Beginning: January 1, 2009 Report Date: March 31, 2009 Percentage of Time Elapsed: 25%*

Budget Category	Annual Budget	Expenses for this Month	YTD Expenses	Outstanding Encumbrances	YTD Expenses/Encumbrances	Remaining Budget	% of Budget Committed
Personnel							
Permanent Full-Time	\$ 3,600,000	\$ 250,000	\$ 750,000	-	\$ 750,000	\$ 2,850,000	21%
Permanent Part-Time	\$ 60,000	\$ 10,000	\$ 30,000	-	\$ 30,000	\$ 30,000	50%
Overtime	\$ 36,000	\$ 100,000	\$ 300,000	-	\$ 300,000	\$ (-264,000)	833%
Health Insurance	\$ 720,000	\$ 50,000	\$ 150,000	-	\$ 150,000	\$ 570,000	21%
Dental Insurance	\$ 180,000	\$ 12,500	\$ 37,500	-	\$ 37,500	\$ 142,500	21%
Workers' Comp Ins	\$ 240,000	\$ 16,600	\$ 49,800	-	\$ 49,800	\$ 190,200	21%
Employer Medicare	\$ 48,000	\$ 3,300	\$ 9,900	-	\$ 9,900	\$ 38,100	21%
Employer Group Life	\$ 18,000	\$ 1,250	\$ 3,750	-	\$ 3,750	\$ 14,250	21%
Subtotal Personnel	\$ 4,902,000	\$ 443,650	\$ 1,330,950	-	\$ 1,330,950	\$ 3,571,050	27%
Utilities							
Telephone and Cable	\$ 96,000	\$ 8,000	\$ 24,000	-	\$ 24,000	\$ 72,000	25%
Electricity	\$ 120,000	\$ 10,000	\$ 30,000	-	\$ 30,000	\$ 90,000	25%
Gas	\$ 480,000	\$ 40,000	\$ 120,000	-	\$ 120,000	\$ 360,000	25%
Water and Sewer	\$ 84,000	\$ 7,000	\$ 21,000	-	\$ 21,000	\$ 63,000	25%
Subtotal Utilities	\$ 780,000	\$ 65,000	\$ 195,000	-	\$ 195,000	\$ 585,000	25%
Food Services							
Food Costs	\$ 240,000	\$ 30,000	\$ 90,000	-	\$ 90,000	\$ 150,000	37.5%
Food Serv. Personnel	\$ 240,000	\$ 20,000	\$ 60,000	-	\$ 60,000	\$ 180,000	25%
Kitchen Supplies	\$ 12,000	\$ 1,000	\$ 3,000	-	\$ 3,000	\$ 9,000	25%
Subtotal Food Serv.	\$ 492,000	\$ 51,000	\$ 153,000	-	\$ 153,000	\$ 339,000	31%
Medical Services							
Medical Personnel	\$ 480,000	\$ 40,000	\$ 120,000	-	\$ 120,000	\$ 360,000	25%
Pharmacy	\$ 36,000	\$ 3,000	\$ 9,000	-	\$ 9,000	\$ 27,000	25%
Medical Supplies	\$ 12,000	\$ 1,000	\$ 3,000	-	\$ 3,000	\$ 9,000	25%
Hospital and Lab Serv.	\$ 144,000	\$ 96,000	\$ 120,000	-	\$ 120,000	\$ 24,000	83.3%
Subtotal Medical	\$ 672,000	\$ 140,000	\$ 252,000	-	\$ 252,000	\$ 420,000	37.5%

Group 2**Mountain County Monthly Budget Report – Department: Sheriff Division: Detention***Fiscal Year Beginning: January 1, 2009 Report Date: March 31, 2009 Percentage of Time Elapsed: 25%*

Budget Category	Annual Budget	Expenses for this Month	YTD Expenses	Outstanding Encumbrances	YTD Expenses/ Encumbrances	Remaining Budget	% of Budget Committed
Personnel							
Permanent Full-Time	\$ 3,600,000.00	\$ 300,000	\$ 900,000	-	\$ 900,000	\$ 2,700,000	25%
Permanent Part-Time	\$ 60,000.00	\$ 5,000	\$ 15,000	-	\$ 15,000	\$ 45,000	25%
Overtime	\$ 36,000.00	\$ 3,000	\$ 9,000	-	\$ 9,000	\$ 27,000	25%
Health Insurance	\$ 720,000.00	\$ 60,000	\$ 180,000	-	\$ 180,000	\$ 540,000	25%
Dental Insurance	\$ 180,000.00	\$ 15,000	\$ 45,000	-	\$ 45,000	\$ 135,000	25%
Workers' Comp Ins	\$ 240,000.00	\$ 20,000	\$ 60,000	-	\$ 60,000	\$ 180,000	25%
Employer Medicare	\$ 48,000.00	\$ 4,000	\$ 12,000	-	\$ 12,000	\$ 36,000	25%
Employer Group Life	\$ 18,000.00	\$ 1,500	\$ 4,500	-	\$ 4,500	\$ 13,500	25%
Subtotal Personnel	\$ 4,902,000.00	\$ 408,500	\$ 1,225,500	-	\$ 1,225,500	\$ 3,676,500	25%
Utilities							
Telephone and Cable	\$ 96,000.00	-	-	\$ 24,000	\$ 24,000	\$ 72,000	25%
Electricity	\$ 120,000.00	\$ 10,000	\$ 30,000	-	\$ 30,000	\$ 90,000	25%
Gas	\$ 480,000.00	\$ 60,000	\$ 180,000	-	\$ 180,000	\$ 300,000	37.5%
Water and Sewer	\$ 84,000.00	\$ 7,000	\$ 21,000	-	\$ 21,000	\$ 63,000	25%
Subtotal Utilities	\$ 780,000.00	\$ 77,000	\$ 231,000	\$ 24,000	\$ 255,000	\$ 525,000	33%
Food Services							
Food Costs	\$ 240,000.00	\$ 20,000	\$ 60,000	-	\$ 60,000	\$ 180,000	25%
Food Serv. Personnel	\$ 240,000.00	\$ 30,000	\$ 90,000	-	\$ 90,000	\$ 150,000	37.5%
Kitchen Supplies	\$ 12,000.00	\$ 1,000	\$ 3,000	-	\$ 3,000	\$ 9,000	25%
Subtotal Food Serv.	\$ 492,000.00	\$ 51,000	\$ 153,000	-	\$ 153,000	\$ 339,000	31%
Medical Services							
Medical Personnel	\$ 480,000.00	\$ 44,000	\$ 132,000	-	\$ 132,000	\$ 348,000	27.5%
Pharmacy	\$ 36,000.00	\$ 3,300	\$ 9,900	-	\$ 9,900	\$ 26,100	27.5%
Medical Supplies	\$ 12,000.00	\$ 1,100	\$ 3,300	-	\$ 3,300	\$ 8,700	27.5%
Hospital and Lab Serv.	\$ 144,000.00	\$ 13,200	\$ 39,600	-	\$ 39,600	\$ 104,400	27.5%
Subtotal Medical	\$ 672,000.00	\$ 61,600	\$ 184,800	-	\$ 184,800	\$ 487,200	27.5%

Group 3**Metropolitan County Monthly Budget Report – Department: Sheriff Division: Detention***Fiscal Year Beginning: January 1, 2009 Report Date: March 31, 2009 Percentage of Time Elapsed: 25%*

Budget Category	Annual Budget	Expenses for this Month	YTD Expenses	Outstanding Encumbrances	YTD Expenses/ Encumbrances	Remaining Budget	% of Budget Committed
Personnel							
Permanent Full-Time	\$ 3,600,000.00	\$ 300,000	\$ 900,000	-	\$ 900,000	\$ 2,700,000	25%
Permanent Part-Time	\$ 60,000.00	\$ 5,000	\$ 15,000	-	\$ 15,000	\$ 45,000	25%
Overtime	\$ 36,000.00	\$ 3,000	\$ 9,000	-	\$ 9,000	\$ 27,000	25%
Health Insurance	\$ 720,000.00	\$ 60,000	\$ 120,000	\$ 60,000	\$ 180,000	\$ 540,000	25%
Dental Insurance	\$ 180,000.00	\$ 15,000	\$ 30,000	\$ 15,000	\$ 45,000	\$ 135,000	25%
Workers' Comp Ins	\$ 240,000.00	\$ 20,000	\$ 40,000	\$ 20,000	\$ 60,000	\$ 180,000	25%
Employer Medicare	\$ 48,000.00	\$ 4,000	\$ 12,000	-	\$ 12,000	\$ 36,000	25%
Employer Group Life	\$ 18,000.00	\$ 1,500	\$ 4,500	-	\$ 4,500	\$ 13,500	25%
Subtotal Personnel	\$ 4,902,000.00	\$ 408,500	\$ 1,130,500	\$ 95,000	\$ 1,225,500	\$ 3,676,500	25%
Utilities							
Telephone and Cable	\$ 96,000.00	\$ 16,000	\$ 48,000	-	\$ 48,000	\$ 48,000	50%
Electricity	\$ 120,000.00	\$ 10,000	\$ 30,000	-	\$ 30,000	\$ 90,000	25%
Gas	\$ 480,000.00	\$ 40,000	\$ 120,000	-	\$ 120,000	\$ 360,000	25%
Water and Sewer	\$ 84,000.00	\$ 7,000	\$ 21,000	-	\$ 21,000	\$ 63,000	25%
Subtotal Utilities	\$ 780,000.00	\$ 73,000	\$ 219,000	-	\$ 219,000	\$ 561,000	28%
Food Services							
Food Costs	\$ 240,000.00	\$ 30,000	\$ 90,000	-	\$ 90,000	\$ 150,000	37.5%
Food Serv. Personnel	\$ 240,000.00	\$ 20,000	\$ 60,000	-	\$ 60,000	\$ 180,000	25%
Kitchen Supplies	\$ 12,000.00	\$ 1,000	\$ 3,000	-	\$ 3,000	\$ 9,000	25%
Subtotal Food Serv.	\$ 492,000.00	\$ 51,000	\$ 153,000	-	\$ 153,000	\$ 339,000	31%
Medical Services							
Medical Personnel	\$ 480,000.00	\$ 40,000	\$ 120,000	-	\$ 120,000	\$ 360,000	25%
Pharmacy	\$ 36,000.00	\$ 3,000	\$ 9,000	-	\$ 9,000	\$ 27,000	25%
Medical Supplies	\$ 12,000.00	\$ 1,000	\$ 3,000	-	\$ 3,000	\$ 9,000	25%
Hospital and Lab Serv.	\$ 144,000.00	\$ 12,000	\$ 36,000	-	\$ 36,000	\$ 108,000	25%
Subtotal Medical	\$ 672,000.00	\$ 56,000	\$ 168,000	-	\$ 168,000	\$ 504,000	25%

Group 4**Ocean County Monthly Budget Report – Department: Sheriff Division: Detention***Fiscal Year Beginning: January 1, 2009 Report Date: March 31, 2009 Percentage of Time Elapsed: 25%*

Budget Category	Annual Budget	Expenses for this Month	YTD Expenses	Outstanding Encumbrances	YTD Expenses/ Encumbrances	Remaining Budget	% of Budget Committed
Personnel							
Permanent Full-Time	\$ 3,600,000.00	\$ 250,000	\$ 750,000	-	\$ 750,000	\$ 2,850,000	21%
Permanent Part-Time	\$ 60,000.00	\$ 10,000	\$ 30,000	-	\$ 30,000	\$ 30,000	50%
Overtime	\$ 36,000.00	\$ 100,000	\$ 300,000	-	\$ 300,000	(\$ 264,000)	833%
Health Insurance	\$ 720,000.00	\$ 50,000	\$ 150,000	-	\$ 150,000	\$ 570,000	21%
Dental Insurance	\$ 180,000.00	\$ 12,500	\$ 37,500	-	\$ 37,500	\$ 142,500	21%
Workers' Comp Ins	\$ 240,000.00	\$ 16,600	\$ 49,800	-	\$ 49,800	\$ 190,200	21%
Employer Medicare	\$ 48,000.00	\$ 3,300	\$ 9,900	-	\$ 9,900	\$ 38,100	21%
Employer Group Life	\$ 18,000.00	\$ 1,250	\$ 3,750	-	\$ 3,750	\$ 14,250	21%
Subtotal Personnel	\$ 4,902,000.00	\$ 443,650	\$ 1,330,950	-	\$ 1,330,950	\$ 3,571,050	27%
Utilities							
Telephone and Cable	\$ 96,000.00	\$ 8,000	\$ 24,000	-	\$ 24,000	\$ 72,000	25%
Electricity	\$ 120,000.00	\$ 10,000	\$ 30,000	-	\$ 30,000	\$ 90,000	25%
Gas	\$ 480,000.00	\$ 40,000	\$ 120,000	-	\$ 120,000	\$ 360,000	25%
Water and Sewer	\$ 84,000.00	\$ 28,000	\$ 42,000	-	\$ 42,000	\$ 42,000	50%
Subtotal Utilities	\$ 780,000.00	\$ 86,000	\$ 216,000	-	\$ 216,000	\$ 564,000	28%
Food Services							
Food Costs	\$ 240,000.00	\$ 20,000	\$ 60,000	-	\$ 60,000	\$ 180,000	25%
Food Serv. Personnel	\$ 240,000.00	\$ 20,000	\$ 60,000	-	\$ 60,000	\$ 180,000	25%
Kitchen Supplies	\$ 12,000.00	\$ 1,000	\$ 3,000	-	\$ 3,000	\$ 9,000	25%
Subtotal Food Serv.	\$ 492,000.00	\$ 41,000	\$ 123,000	-	\$ 123,000	\$ 369,000	25%
Medical Services							
Medical Personnel	\$ 480,000.00	\$ 44,000	\$ 132,000	-	\$ 132,000	\$ 348,000	27.5%
Pharmacy	\$ 36,000.00	\$ 3,300	\$ 9,900	-	\$ 9,900	\$ 26,100	27.5%
Medical Supplies	\$ 12,000.00	\$ 1,100	\$ 3,300	-	\$ 3,300	\$ 8,700	27.5%
Hospital and Lab Serv.	\$ 144,000.00	\$ 13,200	\$ 39,600	-	\$ 39,600	\$ 104,400	27.5%
Subtotal Medical	\$ 672,000.00	\$ 61,600	\$ 184,800	-	\$ 184,800	\$ 487,200	27.5%

Small Group Exercise: Using Cost Analysis

In your small groups, review and discuss the cost analysis information provided for your group. Answer the questions included in your exercise. Select a reporter, a timekeeper, and a reporter. Prepare a report summarizing your answers. You will have 15 minutes to complete your work.

Group 1: Farmland County Jail

At the end of the 1st quarter of the fiscal year, you notice that the jail has expended 31% of the food service budget. If spending continues at this rate, food service expenditures will be over budget by \$120,000.

Answer the following questions:

1. What is the 2008 1st Quarter Actual Food Cost, Per Meal, Per Inmate?
2. What is the most likely reason this expenditure is over budget?
3. What are your suggestions for controlling this expenditure for the rest of the fiscal year?

Fiscal Year	Amount Spent / Budgeted	Average Daily Population	Number of Days	Number of Meals Per Day	Food Cost, Per Meal, Per Inmate
2003 Actual	\$420,000	300	365	3	\$1.28
2004 Actual	\$430,000	310	365	3	\$1.27
2005 Actual	\$450,000	320	365	3	\$1.28
2006 Actual	\$465,000	330	365	3	\$1.29
2007 Actual	\$480,000	340	365	3	\$1.29
2008 Budget	\$492,000	350	365	3	\$1.28
2008 1st Quarter Actual	\$153,000	450	90	3	

Group 2: Mountain County Jail

At the end of the 1st quarter of the fiscal year, you notice that the jail has expended 27.5% of the medical services budget. If spending continues at this rate, medical services expenditures will be over budget by \$67,200.

Answer the following questions:

1. What is the 2008 1st Quarter Actual Medical Cost, Per Diem, Per Inmate?
2. What is the most likely reason this expenditure is over budget?
3. What are your suggestions for controlling this expenditure for the rest of the fiscal year?

Fiscal Year	Amount Spent / Budgeted	Average Daily Population	Number of Days	Medical Cost, Per Diem, Per Inmate
2003 Actual	\$580,000	300	365	\$5.30
2004 Actual	\$600,000	310	365	\$5.30
2005 Actual	\$620,000	320	365	\$5.30
2006 Actual	\$640,000	330	365	\$5.31
2007 Actual	\$660,000	340	365	\$5.32
2008 Budget	\$672,000	350	365	\$5.26
2008 1st Quarter Actual	\$184,800	390	90	

Group 3: Metropolitan County Jail

At the end of the 1st quarter of the fiscal year, you notice that the jail has expended 31% of the food service budget. If spending continues at this rate, food service expenditures will be over budget by \$120,000.

Answer the following questions:

1. What is the 2008 1st Quarter Actual Food Cost, Per Meal, Per Inmate?
2. What is the most likely reason this expenditure is over budget?
3. What are your suggestions for controlling this expenditure for the rest of the fiscal year?

Fiscal Year	Amount Spent / Budgeted	Average Daily Population	Number of Days	Number of Meals Per Day	Food Cost, Per Meal, Per Inmate
2003 Actual	\$420,000	300	365	3	\$1.28
2004 Actual	\$430,000	310	365	3	\$1.27
2005 Actual	\$450,000	320	365	3	\$1.28
2006 Actual	\$465,000	330	365	3	\$1.29
2007 Actual	\$480,000	340	365	3	\$1.29
2008 Budget	\$492,000	350	365	3	\$1.28
2008 1st Quarter Actual	\$153,000	350	90	3	

Group 4: Ocean County Jail

At the end of the 1st quarter of the fiscal year, you notice that the jail has expended 27.5% of the medical services budget. If spending continues at this rate, medical services expenditures will be over budget by \$67,200.

Answer the following questions:

1. What is the 2008 1st Quarter Actual Medical Cost, Per Diem, Per Inmate?
2. What is the most likely reason this expenditure is over budget?
3. What are your suggestions for controlling this expenditure for the rest of the fiscal year?

Fiscal Year	Amount Spent / Budgeted	Average Daily Population	Number of Days	Medical Cost, Per Diem, Per Inmate
2003 Actual	\$580,000	300	365	\$5.30
2004 Actual	\$600,000	310	365	\$5.30
2005 Actual	\$620,000	320	365	\$5.30
2006 Actual	\$640,000	330	365	\$5.31
2007 Actual	\$660,000	340	365	\$5.32
2008 Budget	\$672,000	350	365	\$5.26
2008 1st Quarter Actual	\$184,800	350	90	

Managing the Budget: Summary

- ☐ **Effectively managing the budget is a key responsibility of the jail administrator.**
- ☐ **By planning, monitoring, analyzing, and controlling expenditures, the jail administrator can direct resources to jail operations that contribute to achieving the overall mission and goals of the jail.**

Module Overview

This module describes the external role of the jail administrator, emphasizing the relationship of this role to achieving the jail's mission and goals. Participants are introduced to marketing strategies that can be used to enhance support for the jail. In the large group, participants create a map of typical jail stakeholders. In small groups, participants develop a marketing strategy to gain support from one critical stakeholder group. Individually, participants create action plans addressing the external role of the administrator in their own jails.

Performance Objectives

- After a brief lecture and large group discussion, participants will describe the importance of the administrator's external role in achieving the jail's mission and goals.
- After a brief lecture and large group discussion, participants will identify critical jail stakeholders and describe marketing strategies to enhance support from these stakeholders.
- Given small group exercises, participants will develop a marketing strategy for gaining the support of one stakeholder group.
- After completing this module, using the action planning workbook, each participant will create an individual action plan to address the external role of the administrator in his or her jail.

Marketing the Jail to Gain External Support

The most effective way to approach your external role is to be proactive – initiate positive interaction with external groups to increase understanding and support for the jail.

Marketing Questions

- What is our business/mission?
- Who are our stakeholders?
- How do our stakeholders view us?
- How do I gain support?

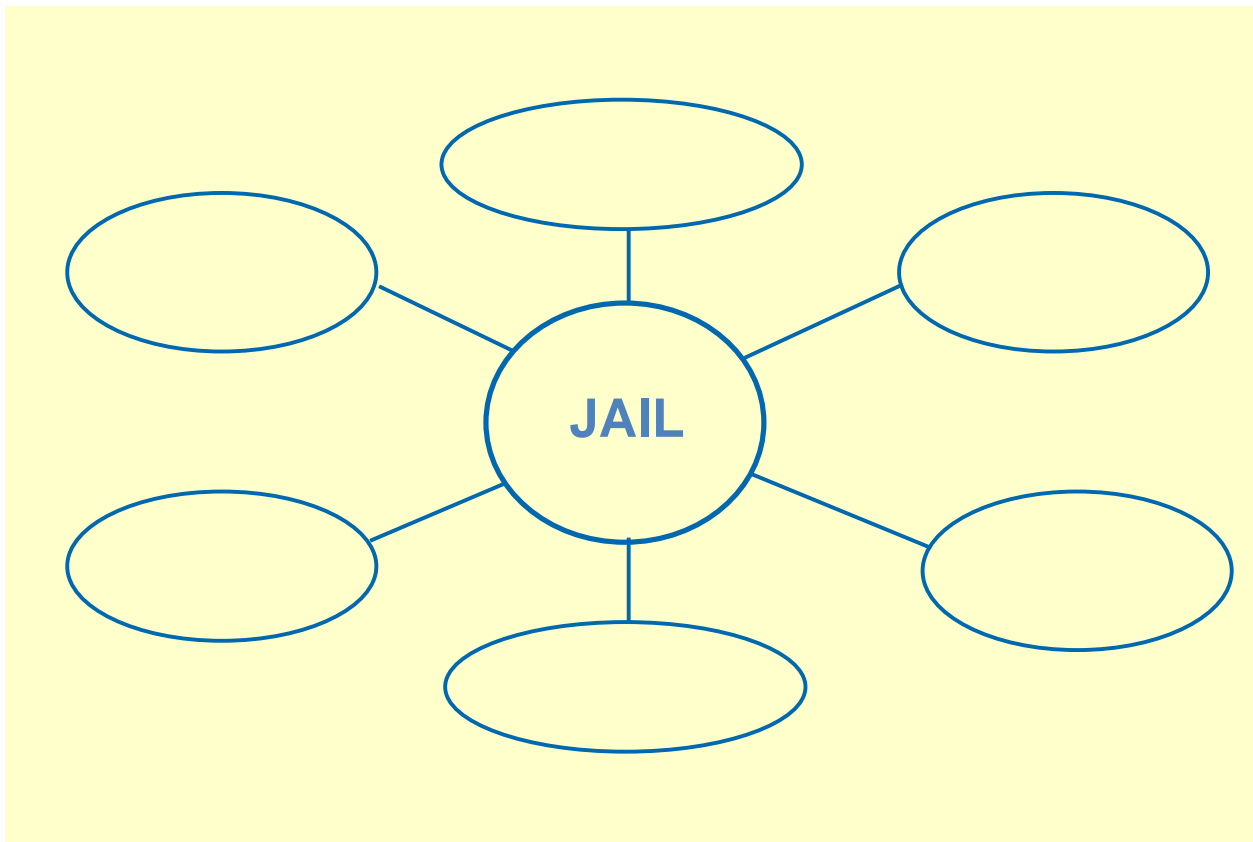
What is our business?

- Mission
 - The stated purpose of the jail
- What our stakeholders believe is our purpose
 - Why is what our stakeholders believe important?

Who are our stakeholders?

- **Stakeholders** are individuals or groups who “pay” for our services
 - Money and other support
- **Clients** use our services
 - Inmates are considered to be our clients

Stakeholder Mapping



■ Identify your priority stakeholders

Because your time and resources are limited, you need to identify which stakeholders are most critical to carrying out the mission of the jail and then develop a productive relationship with these stakeholders. Remember that you want to prioritize the stakeholders with the greatest influence (either positive or negative) on the jail.

How do our stakeholders view us?

- What is their current understanding of and support for the jail?
 - Observe what they say and write publicly
 - Ask others who interact with the stakeholder regularly
 - Ask the stakeholder directly
- Is the stakeholder's view accurate?
- What level of understanding and support do we want and need from these stakeholders?
 - Do they view us the way we want them to?

Small Group Exercise – How do our stakeholders view us?

- For one stakeholder, discuss the current level of understanding and support for the jail typically exhibited by this group.
- Then discuss the level of understanding and support desired from the stakeholder.
- Complete the first three columns on the worksheet in this manual.
- Select a recorder, a timekeeper, and a reporter.
- Summarize your discussions on the chart pad and prepare to report to the large group.
- You will have 10 minutes to complete your work.

Marketing Strategy for Gaining Stakeholder Support for the Jail

Stakeholder	Stakeholder Understanding of/ Support for the Jail		Strategy for Change	Action Steps
	Current	Desired		

How do I gain support?

- Make support for the jail a “win-win” situation
 - Both the jail and the stakeholder benefit from relationship
 - Examples?
- Communicate with the stakeholder
 - Educate the stakeholder about the jail
 - Emphasize common goals
 - Build partnerships

Small Group Exercise – Strategies for Gaining Support

- In your small groups, for the stakeholder you worked on in the previous small group exercise, discuss several possible strategies to enhance their level of support for the jail.
- Select one strategy and discuss the action steps necessary to implement the strategy.
- Complete the last two columns on the worksheet in your participant manual.
- Select a recorder, a timekeeper, and a reporter. Summarize your discussions on the chart pad and prepare to report to the large group.
- You will have 10 minutes to complete your work.

External Role of the Administrator



In order to achieve the jail's mission and goals, it is essential that the jail administrator be involved with external stakeholders to increase understanding of and support for the jail.

Module Overview

This module focuses on the importance of assessing jail operations to allow the jail administrator to assess compliance with standards and legal requirements, assess the degree to which policies and procedures are being followed, detect potential problems before they become major concerns, and track the jail's progress on key performance indicators. Participants are introduced to a six step internal assessment process. In small groups, participants apply the six step process for an assigned jail function. Individually, participants create action plans address assessing operations in their own jails.

Performance Objectives

- After brief lectures and large group discussions, participants will describe the importance, benefits, and steps for implementing an internal jail assessment process.
- Given small group exercises, participants will apply the six step internal assessment process for an assigned jail function.
- After completing this module, using the action planning workbook, each participant will create an individual action plan to address assessing operations in his or her jail.

Internal Assessment of Jail Operations

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

Internal assessment is important for all the administrative tools discussed during this program.

- Jail standards
- Risk management
- Policy and procedure
- Staffing plan
- Workforce management
- Inmate behavior management
- Fire, safety, and sanitation
- Managing the budget
- External role of the jail administrator

Benefits of an Ongoing Internal Assessment Process

- Monitor the jail's compliance with standards and legal requirements
- Monitor staff compliance with policy and procedure
- Determine if jail is meeting its' goals
- Identify areas needing change

Assign an Assessment Coordinator

- Ensure reviews are completed and corrective action taken when necessary
- Track issues, concerns, and trends
- Provide information on issues requiring immediate attention
- Provide information for the jail's strategic or budget planning process

Six Steps in Developing an Internal Assessment Process

1. Identify the key operational functions or activities to be assessed
2. Select the most effective method of reviewing each function or activity
3. Determination of the frequency of the reviews
4. Identify the appropriate position within the organization to conduct the review of each function
5. Establish a schedule for the reviews
6. Establish a process to correct identified deficiencies

Assessing Processes and Outcomes

■ Assessing Processes

- Have we established effective practices and are we implementing the practices?

■ Assessing Outcomes

- How well are our processes working – are they making a difference?

Step 1 – Identify Functions to Monitor

- ## ■ What major jail functions should be monitored?

[illegible]

For each function, identify the specific activities that need to be monitored on an on-going basis.

Small Group Exercise

Identifying Activities to be Monitored

- For your assigned function, using the first column on the worksheet in the participant manual, develop a list of the specific jail activities that should be assessed.
- Select a recorder, a timekeeper, and a reporter.
- Record your list on the chart pad and prepare to share your list with the large group.
- You will have 10 minutes to complete your work.

Group 1: Security

Group 2: Safety/Emergency Preparedness

Group 3: Sanitation/Hygiene

Group 4: Inmate Supervision/Behavior Management

Internal Assessment Worksheet			
Assigned Function:			
COLUMN 1	COLUMN 2	COLUMN 3	COLUMN 4
Activities	Review Method	Frequency	Reviewing Staff

Step 2 – Select the Best Method of Review

Once you have identified the key functions and activities that you want to monitor, select the most appropriate method of review. Review methods include:

- Regular review of management reports
- Periodic review and examination of records and logs
- Review of census information and other aggregate data collected
- Inspection of facilities, equipment, and furnishings
- Visual observation of activities

Use checklists to facilitate your reviews. Use the checklists to record problems discovered, confirm policy compliance, and rate performance. Keep a copy of the completed checklists as documentation of your internal assessment process.

Step 3 - Determine Frequency of the 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, semi-annual, or annual basis.

Jail Standards

Depending on the activity, frequency of review may be dictated by jail standards. For example, ACA standards require the following:

ACA 1-CORE-2A-03

- Facility Administrator visits living and activity areas at least **weekly**.

Coding System

Each assessment should be coded to denote the frequency and give the assessment a unique identifier.

D = Daily
W = Weekly
M = Monthly
Q = Quarterly
S = Semiannually
A = Annually

Example:

Q22: Are there policy and procedure manuals in all the duty stations, and available to all facility staff?

Step 4 – Assign Responsibility for Conducting the Review

The next step is to identify the person/position responsible for completing the review. The reviewer may have administrative responsibility for the function or activity being reviewed and/or may have special qualifications required for the review.

Master Assignment List

Once assignments are made, a master assignment list should be developed to maintain accountability. The master assignment list should include all review assignments, coded by frequency, with an indication of how the assigned individual must document completion of the review.

EXCERPTS: SAMPLE MASTER ASSIGNMENT CHECK LIST

DAILY:

D1 - GRAVEYARD SHIFT SUPERVISOR = SIGN OFF
D2 - CORRECTIONS SECRETARY = SIGN OFF

WEEKLY:

W1 THRU W 3 - SECURITY OFFICER = SIGN OFF + CHECKLIST + INTAKE LOG
W4 - SHIFT SUPERVISOR = SIGN OFF + CHECKLIST

MONTHLY:

M1 - INTAKE SERGEANT = SIGN OFF
M2 - CORRECTIONS SECRETARY = SIGN OFF + REPORT

QUARTERLY:

Q1 - TRAINING SERGEANT = SIGN OFF + REPORT
Q2 - NURSE = SIGN OFF + CHECKLIST

ANNUAL:

A1 - ADMINISTRATION = SIGN OFF + CHECKLIST
A2 - TRAINING SERGEANT = SIGN OFF + REPORT

Small Group Exercise

Method, Frequency, and Responsibility for Review

- Complete columns 2 - 4 on your worksheet by identifying the review method, frequency, and responsibility for the function and activities you identified earlier.
- Select a recorder, a timekeeper, and a reporter to share your decisions with the large group.
- Take about 10 minutes to complete your work.

Step 5 – Establish a Schedule for the Reviews

It is important to incorporate reviews into day-to-day operations of the jail. Scheduling reviews on the calendar allows you to:

- Hold assigned staff accountable for completing the reviews
- Stagger the reviews of the course of the week/month/year

Master Calendar

Once reviews are assigned and scheduled for each participating staff person, you can develop a master calendar of all of the scheduled reviews. Each participating staff should then have a list of review assignments, checklists or other documentation form for each review, and a calendar showing when the reviews are scheduled. They are then responsible for:

- Getting the reviews completed
- Documenting the results of the reviews
- Initiating whatever corrective action may be appropriate to the situation

Sample Master Calendar

Sun	Mon	Tue	Wed	Thu	Fri	Sat
	1 D1-7 W1-3 M1, 5-9, 10, 14 Q15, 23	2 D1-7 W6-7 M12	3 D1-7 W4,9 Q9	4 D1-7 W5,8,11	5 D1-7	6 D1,4-7
7 D1,4-7 W10	8 D1-7 W1-3 M3,11 Q5	9 D1-7 W6-7 Q4	10 D1-7 W4,9 Q1,16	11 D1-7 W5,8,11 Q8	12 D1-7	13 D1,4-7
14 D1,4-7 W10	15 D1-7 W1-3 Q11,20	16 D1-7 W6-7	17 D1-7 W4,9 Q3,10,17	18 D1-7 W5,8,11 Q13	19 D1-7	20 D1,4-7
21 D1,4-7 W10	22 D1-7 W1-3	23 D1-7 W6-7	24 D1-7 W4,9 Q18	25 D1-7 W5,6,11	26 D1-7 A21	27 D1,4-7
28 D1,4-7 W10	29 D1-7 W1-3 A-23	30 D1-7 W6-7 A4,5,10	31 D1-7 W4,9 M2,4 Q-2			

Step 6 - Establish a Process to Correct Identified Deficiencies

The final step of the internal assessment system is to establish a process to correct any identified deficiencies. The staff responsible for the function or activity may correct some deficiencies immediately. Other deficiencies may require additional resources or resolution at a higher level.

A corrective action plan may need to be developed to correct identified problems. The plan should include the following:

- Description of the deficiency
- Description of the measures necessary to correct it
- Persons responsible for completing corrective measures
- Expected completion date

How would you address the following deficiency identified through the review process using the corrective action planning process described in Step 6?

Your facility maintains a locked key box in master control. Staff members are required to sign keys out each day when they arrive at work and sign the keys back in to master control at the end of their shift. During the monthly review of the key log, the chief security officer notes a number of gaps on the log. The master control room operator indicates that when it is busy, staff frequently pass the keys on to the next shift without completing the sign in/out procedure.

Summary

Develop a system to review jail operations on an ongoing basis to:

- Assess compliance with standards and legal requirements
- Assess the degree to which policies and procedures are being followed
- Detect potential problems before they become major concerns
- Track the jail's progress on key performance indicators

The ongoing observation, examination, and review of key functions can help you maintain control over your jail's operations and be in a position to address issues **before** they become major problems.

Module Overview

In this module, participants prepare an action plan summary and thirty-day jump start plan, based on the action plan workbook completed at the end of each module. Each participant presents the summary and thirty-day plan to a small group including an instructor and several peers.

Performance Objectives

- Given an individual exercise, participants prepare an action plan summary and thirty-day jump start plan, based on the action plan workbook completed at the end of each module.
- Given a small group exercise, each participant presents his or her action plan summary and thirty-day jump start plan and receives feedback from peers.

Action Plan Workbook

Your action plan workbook captures your assessment of your jail and potential strategies to address identified weaknesses for each of the areas we have discussed in this program.

- Using jail standards
- Managing risk
- Developing and assessing policy and procedure
- Determining staffing needs
- Managing the workforce
- Managing inmate behavior
- Developing a fire, safety, and sanitation plan
- Managing the budget
- External role of the jail administrator
- Assessing jail operations

Action Plan Workbook Final Assignment

1. Review your action plan workbook. Transfer the priority goal you identified in each module to the Action Plan Report Out sheet.
2. On the Short Term Action Plan page, develop a plan for the first few steps you will complete when you return home. Detail the things you can do over the next 30 days to get started on your priorities. You will use both sheets to make your presentation to your small group.
3. Presentations will be done in small groups, with an instructor. We will use the breakout rooms and each of you will be assigned to a group.
4. You will have **five** minutes to make your presentation. After your presentation, your colleagues and the instructor will have the opportunity to ask questions, provide feedback, and make suggestions on successfully achieving the improvements you want to make. There will be approximately **five** minutes for this.
5. Instructors are available to help you if you have questions as you are working on your assignment.

**NATIONAL INSTITUTE OF CORRECTIONS
JAILS DIVISION**

Jail Administration

ACTION PLAN WORKBOOK

NAME _____

EXAMPLE OF USE OF ACTION PLAN FORMAT

Problem: Staff not filling out **reports/forms** completely and accurately

Goal: To increase acceptance rate on reports/forms to 95% over a 30 day measurement period

Step by Step action plan to achieve your goal

	Action Step (Tasks)	Person Responsible	Resources Required	Completion Date
1	Collect all forms and reports for the last 30 days	Jail Receptionist	None	8/30/2008
2	Review and assess forms/reports for completeness	Jail Administrator	None	8/31/2008
3	Make copies of completed forms for each shift	Jail Receptionist	Photocopier	9/1/2008
4	Direct each shift to review and critique each form	Shift supervisors	Copies of forms	9/2/2008
5	Collect reviews and identify problems	Jail Administrator	None	9/8/2008
6	Schedule all-staff meeting	Jail Adm/Jail Recept.	Notice/Shift schedule	9/8/2008
7	Schedule meeting room in Courthouse	Jail Receptionist	Clerk's Office	9/13/2008
8	Conduct all staff meeting to report findings and deficiencies	Jail Administrator	Meeting room	9/16/2008
9	Schedule individual meetings with specific staff	Jail Adm/Jail Recept.	Notice/Shift schedule	9/17/2008 - 9/21/2008

ASSESSMENT CHECKLIST – USING JAIL STANDARDS

1. Does your jail have a current written mission statement? _____ Current written goals and objectives? _____
2. Are there agencies that inspect and regulate your jail? _____ Are current copies of each agency's standards available in the jail? _____
3. Based on the most recent inspection(s) of your jail, is your jail in full compliance with standards? _____
4. If not, is there a documented plan of action to correct deficiencies and comply with standards? _____
5. Does your jail have an internal review process to periodically review compliance with standards? _____
6. Does your jail comply with professional standards where possible? _____
7. Do you use state or professional standards to make decisions? _____ Assess operations? _____ Resolve operational deficiencies? _____

BASED ON YOUR ANSWERS, LIST UP TO THREE AREAS YOU WANT TO IMPROVE WHEN YOU RETURN HOME

ACTION PLAN – USING JAIL STANDARDS

1. Select one area that you want to improve and write it again here.

2. Identify the improvement you want to make – this is your **goal**.

3. Develop a **step-by-step action plan** to achieve your goal.

Action	Person Responsible	Resources Needed	Completion Date

4. How much **progress** do you believe you will make on this goal **in the next 3 months**:

☐ No Progress ☐ Slight Progress ☐ Moderate Progress ☐ Substantial Progress ☐ Exceptional Progress

ASSESSMENT CHECKLIST – MANAGING RISK

1. Does your jail have written risk management objectives? _____
2. Have duties/responsibilities for risk management been identified and assigned to specific staff? _____
3. Has your jail implemented a process for **risk assessment** that includes: Risk identification? _____ Risk analysis? _____ Risk prioritization? _____
4. Has your jail implemented a process for **risk control** that includes: Risk planning? _____ Risk resolution? _____ Risk monitoring? _____
5. Is there written documentation of your jail's risk management activities? _____

BASED ON YOUR ANSWERS, LIST UP TO THREE AREAS YOU WANT TO IMPROVE WHEN YOU RETURN HOME

ACTION PLAN – MANAGING RISK

1. Select one area that you want to improve and write it again here.

2. Identify the improvement you want to make – this is your **goal**.

3. Develop a **step-by-step action plan** to achieve your goal.

Action	Person Responsible	Resources Needed	Completion Date

4. How much **progress** do you believe you will make on this goal **in the next 3 months**:

☐ No Progress ☐ Slight Progress ☐ Moderate Progress ☐ Substantial Progress ☐ Exceptional Progress

ASSESSMENT CHECKLIST – DEVELOPING AND ASSESSING POLICY AND PROCEDURE

1. Does your jail have a current policy and procedure manual developed specifically for your jail? _____
2. Does your policy and procedure manual cover all aspects of the jail's operations? _____
3. Are your policies and procedures consistent with applicable jail standards? _____
4. Are your policies and procedures consistent with the jail's mission and goals? _____
5. Has your policy and procedure manual been reviewed by your agency's legal counsel? _____ Has your policy and procedure manual been approved at the highest level of authority for your agency? _____
6. Is your policy and procedure manual available to all staff? _____ Have all staff been trained in the policies and procedures? _____
7. Is a process in place to verify that policies and procedures are being followed on all shifts? _____
8. Is your policy and procedure manual reviewed and updated at least annually? _____ Is there a record of all reviews and updates to the policy and procedure manual? _____
9. Does your jail have written post orders for key posts and positions within the facility? _____

BASED ON YOUR ANSWERS, LIST UP TO THREE AREAS YOU WANT TO IMPROVE WHEN YOU RETURN HOME

ACTION PLAN – DEVELOPING AND ASSESSING POLICY AND PROCEDURE

1. Select one area that you want to improve and write it again here.

2. Identify the improvement you want to make – this is your **goal**.

3. Develop a **step-by-step action plan** to achieve your goal.

Action	Person Responsible	Resources Needed	Completion Date

4. How much **progress** do you believe you will make on this goal **in the next 3 months**:

☐ No Progress ☐ Slight Progress ☐ Moderate Progress ☐ Substantial Progress ☐ Exceptional Progress

ASSESSMENT CHECKLIST – DETERMINING STAFFING NEEDS

1. Does your jail have a current, written staffing plan? _____ Are all positions/posts listed in the staffing plan? _____ Is the staffing plan reviewed annually? _____
2. Does the jail have a master schedule of all jail functions and activities? _____ Have you analyzed the master schedule for opportunities to level out workload by adjusting times, days, frequency, and/or duration of activities? _____
3. Are the net annual work hours calculated for the jail? _____ Are the net annual work hours updated annually? _____
4. Are current staffing levels sufficient to accomplish the following: Provide full coverage of all posts? _____ Actively supervise inmates? _____ Cover all essential jail functions? _____
5. Are both male and female staff available in the facility when both male and female inmates are housed in the facility? _____
6. Are staff earning excessive amounts of overtime or comp time due to staffing shortages? _____
7. Is any current litigation related in whole or in part to staffing deficiencies? _____

BASED ON YOUR ANSWERS, LIST UP TO THREE AREAS YOU WANT TO IMPROVE WHEN YOU RETURN HOME

ACTION PLAN – DETERMINING STAFFING NEEDS

1. Select one area that you want to improve and write it again here.

2. Identify the improvement you want to make – this is your **goal**.

3. Develop a **step-by-step action plan** to achieve your goal.

Action	Person Responsible	Resources Needed	Completion Date

4. How much **progress** do you believe you will make on this goal **in the next 3 months**:

☐ No Progress
 ☐ Slight Progress
 ☐ Moderate Progress
 ☐ Substantial Progress
 ☐ Exceptional Progress

ASSESSMENT CHECKLIST – MANAGING THE WORKFORCE

1. Does your jail have written personnel policies and procedures? _____ Do written job descriptions exist for all positions? _____ Are all employees properly classified? _____ Do all employees receive meaningful performance evaluations on a regular basis? _____ Does the jail maintain adequate documentation for each employee in an individual personnel file? _____
2. Has the jail had a problem in recruiting qualified staff? _____ Does the jail have a formal recruitment plan? _____ Does the jail have written minimum qualifications for each position in the jail? _____
3. Does the jail have a formal process for screening applications for staff positions? _____
4. Does your jail have a designated training coordinator? _____ Does the jail have adequate training staff, facilities, equipment, and materials? _____ Does the jail have a specific budget allocation for training? _____
5. Does the jail have written policies and procedures addressing training? _____ Does your jail have an annual training plan? _____ Is the impact of training evaluated on both an individual employee and an agency basis? _____
6. Do supervisors provide active and on-going supervision of staff? _____ Are generational differences considered when analyzing workforce management problems in the jail? _____
7. Is there a problem with staff turnover in the jail? _____ Does the jail have a formal retention plan? _____

BASED ON YOUR ANSWERS, LIST UP TO THREE AREAS YOU WANT TO IMPROVE WHEN YOU RETURN HOME

ACTION PLAN – MANAGING THE WORKFORCE

1. Select one area that you want to improve and write it again here.

2. Identify the improvement you want to make – this is your **goal**.

3. Develop a **step-by-step action plan** to achieve your goal.

Action	Person Responsible	Resources Needed	Completion Date

4. How much **progress** do you believe you will make on this goal **in the next 3 months**:

☐ No Progress ☐ Slight Progress ☐ Moderate Progress ☐ Substantial Progress ☐ Exceptional Progress

ASSESSMENT CHECKLIST – MANAGING INMATE BEHAVIOR

1. Does your jail assess inmates for both risk and need in order to determine: Whether to accept them into the facility? _____ How to address critical issues in booking/intake? _____ How to classify and manage them if they remain in the jail? _____ If their risks and needs have changed during their stay? _____
2. Does your jail have a housing plan that addresses how inmates will be grouped and housed in order to manage their behavior? _____
3. Does your jail meet inmates' basic: Physical needs? _____ Safety needs? _____ Social needs? _____
4. Does your jail define and convey expectations for inmate behavior by providing: Formal inmate orientation? _____ Inmate handbook? _____ Incentives for positive behavior? _____ Documented disciplinary process? _____ Documented grievance procedure? _____
5. Does your jail have enough staff to supervise inmates adequately on all shifts? _____
6. Are staff encouraged to interact with inmates to more effectively supervise them and manage their behavior? _____
7. Are there barriers that prevent staff from effectively supervising inmates: Physical plant? _____ Staffing levels? _____ Staff placement? _____ Staff behavior? _____ Administrative commitment? _____
8. Does your jail provide productive inmate activities: Work inside the housing units? _____ Passive activities inside the housing units? _____ Structured activities inside the housing units? _____ Organized programs outside the housing units? _____

BASED ON YOUR ANSWERS, LIST UP TO THREE AREAS YOU WANT TO IMPROVE WHEN YOU RETURN HOME

ACTION PLAN – MANAGING INMATE BEHAVIOR

1. Select one area that you want to improve and write it again here.

2. Identify the improvement you want to make – this is your **goal**.

3. Develop a **step-by-step action plan** to achieve your goal.

Action	Person Responsible	Resources Needed	Completion Date

5. How much **progress** do you believe you will make on this goal **in the next 3 months**:

☐ No Progress ☐ Slight Progress ☐ Moderate Progress ☐ Substantial Progress ☐ Exceptional Progress

ASSESSMENT CHECKLIST – DEVELOPING A FIRE, SAFETY, AND SANITATION PLAN

1. Does your jail have a fire safety plan? _____
2. Does your jail have a designated and trained fire safety specialist? _____
3. Are fire drills conducted and documented at least quarterly? _____ Are staff debriefed on fire drills? _____
4. Are fire evacuation routes posted in all areas of the jail, including inmate housing areas? _____
5. Does your jail have fire protection equipment in place? _____ In working order? _____ Are staff trained in how to use it? _____
6. Does your jail have a housekeeping and sanitation plan for all areas? _____ Is the jail clean in all areas? _____
7. Does your jail have a designated sanitation officer? _____ Does your jail have a designated safety officer? _____
8. Is there a system of internal weekly and monthly fire, safety, and sanitation inspections for the jail? _____
9. Is there a process for correcting deficiencies identified during inspections? _____ Are inspections and follow-up actions documented? _____
10. Are there policy and procedures that address all areas of fire, safety, and sanitation? _____ Are staff trained in fire, safety, and sanitation policies and procedures? _____
11. Does your jail comply with all applicable codes and standards related to fire, safety, and sanitation? _____

BASED ON YOUR ANSWERS, LIST UP TO THREE AREAS YOU WANT TO IMPROVE WHEN YOU RETURN HOME

ACTION PLAN – DEVELOPING A FIRE, SAFETY, AND SANITATION PLAN

1. Select one area that you want to improve and write it again here.

2. Identify the improvement you want to make – this is your **goal**.

3. Develop a **step-by-step action plan** to achieve your goal.

Action	Person Responsible	Resources Needed	Completion Date

4. How much **progress** do you believe you will make on this goal **in the next 3 months**:

☐ No Progress ☐ Slight Progress ☐ Moderate Progress ☐ Substantial Progress ☐ Exceptional Progress

ASSESSMENT CHECKLIST – MANAGING THE BUDGET

1. Do you have access to policies and procedures related to budget management? _____
2. Do you have access to expenditure plans for the jail for the upcoming year? _____ Do you participate in developing the expenditure plans for the jail? _____
3. Do you have access to monthly expenditure reports for the jail? _____ Do you routinely monitor jail expenditures by reviewing monthly expenditure reports? _____ Do you have a strategy in place to analyze and respond to identified red flags in the jail budget? _____
4. Have cost analysis figures been calculated for the jail in the following categories: Employee costs? _____ Medical costs? _____ Food costs? _____ Inmate costs? _____

BASED ON YOUR ANSWERS, LIST UP TO THREE AREAS YOU WANT TO IMPROVE WHEN YOU RETURN HOME

ACTION PLAN – MANAGING THE BUDGET

5. Select one area that you want to improve and write it again here.

6. Identify the improvement you want to make – this is your **goal**.

7. Develop a **step-by-step action plan** to achieve your goal.

Action	Person Responsible	Resources Needed	Completion Date

8. How much **progress** do you believe you will make on this goal **in the next 3 months**:

☐ No Progress
 ☐ Slight Progress
 ☐ Moderate Progress
 ☐ Substantial Progress
 ☐ Exceptional Progress

ASSESSMENT CHECKLIST – EXTERNAL ROLE OF THE JAIL ADMINISTRATOR

12. Does the jail have a formal strategy to identify key stakeholders and work to increase their understanding and support for the jail? _____
13. Is the jail administrator (directly or through the sheriff) involved with the following key stakeholders specifically to increase understanding and support for the jail: Funding authority? _____ Local criminal justice agencies? _____ Concerned community members/groups? _____ Media? _____
14. Have any stakeholders demonstrated an interest in the effective operation of the jail or improved services for inmates? _____ Are any groups within the community strong advocates and supporters of the jail? _____ Are any individuals or groups within the community critical of the jail or the way in which it is operated? _____
15. Does the jail (or parent agency) have policies and procedures for dealing with the media? _____
16. Does the jail have a communication plan for working with the media and doing outreach to the community? _____

BASED ON YOUR ANSWERS, LIST UP TO THREE AREAS YOU WANT TO IMPROVE WHEN YOU RETURN HOME

ACTION PLAN – EXTERNAL ROLE OF THE JAIL ADMINISTRATOR

5. Select one area that you want to improve and write it again here.

6. Identify the improvement you want to make – this is your **goal**.

7. Develop a **step-by-step action plan** to achieve your goal.

Action	Person Responsible	Resources Needed	Completion Date

8. How much **progress** do you believe you will make on this goal **in the next 3 months**:

☐ No Progress ☐ Slight Progress ☐ Moderate Progress ☐ Substantial Progress ☐ Exceptional Progress

ASSESSMENT CHECKLIST – ASSESSING JAIL OPERATIONS

1. Does your jail have a formal internal monitoring system to provide timely assessment of critical jail functions? _____
2. Do you have a staff person assigned to coordinate the internal assessment process? _____
3. Does your internal assessment process include the following: Review of reports, records, and aggregate data? _____ Inspection of facilities, equipment, and furnishings? _____ Visual observation of activities? _____
4. Is your internal assessment process documented through the use of checklists specific to your facility? _____
5. Are specific staff assigned to assessment activities on a scheduled basis? _____
6. Has the jail documented corrective measures taken to resolve any deficiencies identified by the internal assessment process? _____

BASED ON YOUR ANSWERS, LIST UP TO THREE AREAS YOU WANT TO IMPROVE WHEN YOU RETURN HOME

ACTION PLAN – ASSESSING JAIL OPERATIONS

1. Select one area that you want to improve and write it again here.

2. Identify the improvement you want to make – this is your **goal**.

3. Develop a **step-by-step action plan** to achieve your goal.

Action	Person Responsible	Resources Needed	Completion Date

4. How much **progress** do you believe you will make on this goal **in the next 3 months**:

☐ No Progress ☐ Slight Progress ☐ Moderate Progress ☐ Substantial Progress ☐ Exceptional Progress

ACTION PLAN REPORT-OUT

DIRECTIONS: Please transfer the goals you developed for each module to the summary form below. For each goal indicate how you intend to measure progress, and how much progress you expect to make over the next 90 days, where:

1 = no progress; 2 = slight progress; 3 = moderate progress; 4 = substantial progress; 5 = exceptional progress.

Name: _____

MODULE	GOAL	How you will Measure Progress	Estimated Progress in 90 Days
USING JAIL STANDARDS			1 2 3 4 5
MANAGING RISK			1 2 3 4 5
DEVELOPING AND ASSESSING POLICY AND PROCEDURE			1 2 3 4 5
DETERMINING STAFFING NEEDS			1 2 3 4 5
MANAGING THE WORKFORCE			1 2 3 4 5
MANAGING INMATE BEHAVIOR			1 2 3 4 5
DEVELOPING A FIRE, SAFETY, AND SANITATION PLAN			1 2 3 4 5
MANAGING THE BUDGET			1 2 3 4 5
EXTERNAL ROLE OF THE JAIL ADMINISTRATOR			1 2 3 4 5
ASSESSING JAIL OPERATIONS			1 2 3 4 5

SHORT TERM “JUMPSTART” ACTION PLAN

You have just completed a comprehensive assessment of your jail and made significant action plans for addressing several issues. Now it is important to plan for the first few steps for when you return home. Please develop a short term (30 day) “jump start” plan. What are the things you can do over the next 30 days to enhance the chances that the action plans in this booklet will be successfully implemented?

Action	Person Responsible	Resources Needed	Completion Date