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# JAIL ADMINISTRATION

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## Instructor Manual



# Lesson Plan

<b>Initiative:</b> Jail Administration	
<b>Program:</b> Jail Administration	
<b>Module 1: Introduction and Overview</b>	<b>Time: 1 ½ hours</b>

## 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.

**Target Population** 20 – 36 Jail Administrators or a team composed of the jail administrator and agency head (e.g. sheriff) or the jail administrator and assistant administrator.

## 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.

## Equipment and Supplies

Chart pads, markers, masking tape, computer/laptop with DVD capability, LCD projector, powered speakers, screen, *Beyond the Myths* video, Key Elements poster, participant materials for distribution (one per participant): Participant Manual, Action Plan Workbook, Program Materials CD, NIC publications – *Beyond the Myths* DVD, *Resource Guide for Jail Administrators*, *Jail Resource Issues: What Every Funding Authority Needs to Know*

**Development Date: April 2008**  
**Revised: July 2010**

## Module 1 – Introduction and Overview

### PRESENTATION GUIDE

#### Program Staff Introductions: 5 minutes

Hello and welcome to the *Jail Administration* program. My name is \_\_\_\_\_, and I am a Correctional Program Specialist with the National Institute of Corrections Jails Division. I'll be working with you throughout the program. This course has been designed for administrators of jails with less than 1,000 beds.

### TRAINER'S NOTES

Slide 1: Jail Administration

**Note to instructor:** Briefly introduce yourself, describing your background in corrections and with NIC. Ask other NIC staff and the program instructors to briefly introduce themselves.

Slide 2: National Institute of Corrections

#### Overview of NIC Services: 5 minutes

**Note to instructor:** Direct participants to the Participant Manual and mention that the information that we are covering is in Tab 1.

Slide 3: NIC Divisions

I'd like to take a few minutes to provide an overview of the services that NIC provides. The National Institute of Corrections is a small federal agency within the Department of Justice, Bureau of Prisons. We were established about 30 years ago to be the primary federal source of assistance to state and local correctional agencies.

Slide 4: NIC Assistance

NIC is organized into seven divisions including jails, prisons, community corrections, the academy, the office of offender workforce development, research and evaluation, and administration.

The Jails Division helps local jails across the country by providing training, technical assistance, and information services. Our services are provided at no cost to the requesting agency.

**Note to instructor:** Describe each type of assistance (training, technical assistance, and information services), including accessing the NIC Information Center.

You will have many opportunities to learn more about our services this week. We encourage you to ask our staff about our services and those of other NIC divisions. We'll be happy to discuss issues you might have in your jail and possible services we could provide.

## Module 1 – Introduction and Overview

<b>Housekeeping Information: 5 minutes</b>	
<p><b>Note to instructor:</b> Review information related to altitude awareness (if in Colorado), meals and hotel information, cell phones, smoking rules, emergency data form, name badges, location of break rooms and restrooms, and other as necessary (depending on location of the program).</p> <p>Ask the participants to arrive a few minutes early each morning, so we can start on schedule. Note that, each morning, beginning on Tuesday, we will change the seating arrangements so each participant has the opportunity to interact with as many of his/her classmates as possible.</p> <p>Let the participants know that there are 10-minutes breaks scheduled throughout each day. Ask them to return from breaks on time, since the schedule is quite full. Also let them know that they should feel free to use the restroom or get up to stretch between breaks, if necessary.</p> <p>Circulate the master participant list and ask participants to check and correct their names, titles, addresses, and phone numbers. The master list can circulate among participants during the remainder of the module and is returned, with corrections, to the program specialist by the end of the module.</p>	Slide 5: Housekeeping
<b>Participant Introductions: 10 minutes</b>	Slide 6: Participant Introductions
We'd like to get acquainted with each of you. We'll go around the room and have each person introduce him or herself. Tell us your name, the location and size of your jail, how long you have worked in corrections and/or law enforcement, and how long you have been a jail administrator.	
<p><b>Note to instructor:</b> The size of each jail and years of experience will be posted on a flip chart by another instructor who will add the totals. After participant introductions are complete, point out that there is a wide variety of experience in the room and that in addition to the information that is presented by the instructors, participants are likely to learn from their classmates as well.</p>	
Often, our program participants cite the interaction with other participants as one of the most valuable experiences they have during the week. Throughout the program, we ask you to share your experiences with each other as we discuss administering our jails.	

## Module 1 – Introduction and Overview

### ***Beyond the Myths* Video: 25 minutes**

We'll be discussing effective jail operations throughout the week. We'll begin by watching a video developed by NIC to help jail administrators provide the public with information about jails. After the video, you will have an opportunity to talk with your classmates about keys to effective jail operations and the role of the jail administrator in ensuring effective jail operations.

Slide 7: Beyond the Myths

**Note to instructor:** Show the *Beyond the Myths* video. After the video, briefly ask participants if the video accurately represents jail functions and issues and introduce the small group exercise.

### **Keys to Effective Jail Operations and the Role of the Jail Administrator: 25 minutes**

Take a few minutes now in your table groups to discuss the range and complexity of operations in your jails and your role as jail administrator in ensuring effective jail operations. Working as a group, develop a list of the things that are critical to ensuring a jail operates effectively. Record your list on the chart pad to share with the large group.

Slide 8: Small Group Exercise

**Note to instructor:** Ask each group to identify a **recorder** (to compile and record the list of keys to effective jail operations on the chart pad), a **timekeeper** (to keep the group on schedule), and a **reporter** (to report on the list) to the large group. Note that these roles must be filled by three individuals. One person cannot serve in more than one role. Explain that this is the model that will be used for group exercises throughout the program.

Tell the participants that they will have **10 minutes** to complete their discussion and compile their report. The reporter for each group will then take **2 - 3 minutes** to share the list with the large group.

*Expected items on the lists may include: safe/secure facilities, adequate physical plant, adequate staffing, staff training and supervision, policies and procedures, inmate classification, inmate supervision, compliance with standards and laws, effective use of resources, effective leadership.*

Facilitate the report outs by highlighting commonalities among the groups. You will link the report outs to program goals and topics in the final block of instruction for the evening.

Introduce the poster listing the key elements of effective jail operations discussed in the NIC document, *Jail Resource Issues: What Every*

## Module 1 – Introduction and Overview

*Funding Authority Needs to Know*, by Gary M. Bowker:

- Adequate staffing levels
- Well-trained and supervised staff
- Current, written operational directives
- A systematic and documented inmate classification process
- Effective supervision of inmates
- Adequate levels of inmates services and programs
- Fair treatment of inmates
- Adequate bed space capacity
- Compliance with standards, regulations, and codes
- A safe, clean, and well-maintained physical environment

This small group exercise serves several purposes:

- Participants begin to interact and become acquainted.
- Participants discuss keys to effective jail operations and jail administrator responsibilities early in the program and see issues that they have in common.
- Participants' lists of keys to effective jail operations will be used to introduce the overview of the program goals, topics, and agenda.
- Participants are introduced to the model used for small group exercises.

### **Program Overview: 10 minutes**

Jail administrators have an extremely important role in ensuring that jail operations are conducted in a safe, secure, humane, and legal manner. Over the course of the week, this program is designed to provide you with information and tools you can use to fulfill this role.

Slide 9: Program Overview

**Note to instructor:** As you discuss program goals and topics, refer back to the lists that the small groups created, highlighting how the tools presented in the program reflect and will help address the keys to effective jail operations that participants identified.

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

- Action planning,
- Using jail standards,
- Managing risk,
- Developing and assessing policy and procedure,
- Determining staffing needs,
- Managing the workforce
- Managing inmate behavior,

## Module 1 – Introduction and Overview

- Developing a fire, safety, and sanitation plan,
- Managing the budget,
- External role of the administrator, and
- Assessing jail operations.

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.

You will get an opportunity at the end of each module to analyze the strengths and weaknesses in your own jail and develop strategies to address identified weaknesses when you return home. At the end of the program, you will prepare an action plan to help you get started on the priorities you have identified. You will then share your priorities and action plan in a presentation to a small group of your fellow participants. We will be discussing action planning and your end-of-the-program presentation in more depth in our next module.

Slide 10: Program Goals

**Note to instructor:** After reviewing the program goals and topics, briefly refer participants to the materials they have been given. Describe the participant manual, the action planning workbook, and supplemental materials.

Slide 11: Program Materials

### Closing Questions and Remarks: 5 minutes

**Note to instructor:** Ask participants if they have any questions about the course or their accommodations (hotel, meals, etc.). Let them know we look forward to a great week together.

Slide 12: Questions

### Break: 10 minutes before the next module



# Lesson Plan

**Initiative: Jail Administration**

**Program: Administering the Small and Medium-Sized Jail**

**Module 2: Introduction to Action Planning      Time: 1 hour**

## 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.

**Target Population**    20 – 36 Jail Administrators or a team composed of the jail administrator and agency head (e.g. sheriff) or the jail administrator and assistant administrator.

## 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 and the end of each remaining module of the program.

## Equipment and Supplies

Chart pads, markers, masking tape, computer/laptop, LCD projector, screen, participant manual and action plan workbook, poster-size report-out sheets for Developing an Action Plan exercise, if available.

**Development Date: April 2001**

**Revised: July 2010**

## PRESENTATION GUIDE

### Anticipatory Set (10 minutes)

#### Lecture/Large Group Discussion: 10 minutes Why Action Planning?

We have been talking about the keys to effective jail operations. As jail administrators, you identified where we need to be in our jails.

**Note to instructor:** Refer to the lists compiled the groups during the Introduction/Overview module.

**Ask participants:** So, how do we get there?

**Anticipated response:** Identify the issues in our jails and take action to move us toward more effective operations.

We also talked about the jail administrator's role in promoting effective jail operations.

**Ask participants:** What is your role in improving the effectiveness of your jail's operations?

**Anticipated responses:** It is my responsibility to move us forward; I'm the leader of the effort; I need to make it happen.

We also said that this program would focus on providing you with tools that you can use to improve the effectiveness of your jail's operations. This module introduces action planning as a primary tool that you can use as a jail administrator.

We will use action planning throughout the program to help you identify issues in your jail and identify the steps you need to take to increase the effectiveness of your operations.

The central theme of action planning is really very simple:

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

This theme goes hand in hand with the concept that:

- 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.

## TRAINER'S NOTES

Slide 1: Introduction to Action Planning

Slide 2: Theme of Action Planning

## Module 2 – Introduction to Action Planning

This doesn't mean that you want to be in a constant state of flux, but it does mean that change can be good.

As a jail administrator, you need to bring about positive change and solve problems in your jail. You need to have a plan and you need to take action, so what you really need is an ACTION PLAN. An action plan is something you can use to help assure that your thoughts get turned into actions, and therefore, results.

**Ask participants:** What are some examples of things that might require an action plan?

**Possible responses:** How to develop and produce this workshop, how to obtain more staff for the jail, how to upgrade sanitation in the jail.

**Ask participants:** Do you always need to have a written plan to make a change?

**Desired response:** No. Simple adjustments or changes won't or don't require the use of an action plan. However, more complex changes will.

Let's take a look at what we are going to accomplish during the rest of this module.

- Given a brief lecture and large group discussion, participants will correctly 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 and the end of each remaining module of the program.

### Instructional Input (20 minutes)

#### Lecture: 10 minutes

##### Seven-Step Problem Solving Process

An action plan, when you look at it, is really part of a seven-step problem solving process. You may be surprised to find that this formal process is actually how most of you instinctively solve problems in your daily lives.

###### 1. Identify the problem or need.

**Ask participants:** How can you identify your problems or needs?

Slide 3: To Bring About Positive Change and Solve Problems

Slide 4: What are some examples...

Slide 5: Module Objectives

Slide 6: Seven Step Problem Solving Process (1 – 3)

## Module 2 – Introduction to Action Planning

**Possible responses:** By looking at data, observing behavior, being informed of an issue.

Be sure that the problem or need you have identified is the true problem or need. Don't put plans into place just to treat the symptoms and expect the problem to go away. This brings us to the second step of the problem solving process.

**Note to instructor:** Provide an illustration of using the first several steps of the problem-solving process to avoid “treating the symptoms” rather than solving the problem – for example, you have identified that your car has frequent mechanical problems.

### **2. Analyze the problem.**

Take the problem apart and really look for the causes. Most people try to jump to the solution without really understanding the problem. Take the time to, as, “how can you fix it if you don’t know what’s broke?”

**Note to instructor:** Continue the example by asking participants to suggest possible causes for frequent mechanical problems – the car is old, the car is a “lemon”, your mechanic is incompetent or untrustworthy.

Don't feel that you are alone on a project. Analyze the problem with other staff whose judgment you've come to trust. Have them help you examine the problem and use their expertise to identify possible solutions. This is the third step of the problem solving process.

### **3. Identify possible solutions.**

You've got a tremendous asset in the knowledge of the staff working with you; don't be afraid to use this knowledge. Have staff help you look for a solution to the problem. Bring them together and brainstorm possible solutions. Remember, your staff do the job every day, so don't be limited in your thoughts. Once you have several solutions to choose from, move on to the next step of the problem solving process.

**Note to instructor:** Conclude the example by asking participants what possible solutions there are to solve the problem of the car with excessive mechanical problems – buy a new car, get a new mechanic.

### **4. Analyze possible solutions and select the “best” one.**

The “best” solutions are the ones that are realistic and achievable within your organization. They may be simple or complex. Only you can decide what is best to achieve your goal, but keep in mind that it may take a combination of solutions to solve the problem.

Slide 7: Seven Step Problem Solving Process (4 – 5)

## Module 2 – Introduction to Action Planning

Selecting the solution is only part of the process; now you need to put it to paper.

### **5. Write an action plan.**

The action plan needs to be a precise step-by-step strategy with specific action steps. This may require a task analysis to ensure that steps aren't left out. Again, remember the experience and knowledge that your staff can provide.

Once you are sure that you have all the steps in the right order, you need to implement the plan.

### **6. Implement the plan.**

As the plan is implemented, you must monitor and supervise each step. This is critical. All too often, great plans are written but nothing is ever done. Start the ball rolling and show something is being done. Follow and supervise the progress, holding progress meetings if necessary. Remember that this is your plan and you alone have the responsibility of ensuring its successful completion.

Once the plan is implemented, you need to make sure that it works, using the final step of the problem solving process.

### **7. Measure the results.**

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?" If the action plan did not result in meeting the goal, you need to determine why it didn't work. First, go back and make sure you analyzed the problem correctly. If you feel that you did analyze the problem correctly, you then can determine if you should:

- Start over with a different approach;
- Continue with the current action plan, but for a longer period of time;
- Decide if the goal was unrealistic (for example, "reduce sick time by 99%)

Your evaluation should be timely. Don't wait several years to determine if the need was met or the problem was solved. You need to evaluate and make adjustments as soon as you can so that you are making the most effective adjustments. Don't be afraid to listen to feedback from your staff.

Slide 8: Seven Step Problem Solving Process (6)

Slide 9: Seven Step Problem Solving Process (7)

## Module 2 – Introduction to Action Planning

Remember that the problem solving process we've discussed is on-going and circular. The cycle needs to be repeated and your progress re-evaluated with the passage of time.

### Lecture: 10 minutes

#### Developing an Action Plan

Now that we've looked at the seven-step problem-solving process, let's look at how you are actually going to develop an action plan, using an action planning form. The action planning form is a step-by-step plan to address problems and achieve solutions for goals that you have identified. It takes the form of a written work plan that is based on specific action steps.

**Note to instructor:** Refer participants to the sample action plan form in the participant manual and review the steps in completing the form.

#### 1. Write the goal.

In this step, you establish your target and set your goal.

**Ask participants:** Why would it be important to write your goal?

**Possible responses:** Keep everyone involved on target, ensure that everyone is clear on just what the goal is, provide direction if mistakes occur.

Remember that meeting your goal means that you have affected or solved the identified problem or need. It is important that your goal is well thought out and attainable. When writing a goal statement, make sure it is:

- Clearly written
- In a measurable form
- Includes a time frame
- Indicates a direction or change (for example, increase, decrease, reduce...)

Once the goal is written, then you need to develop specific steps to meet the goal.

#### 2. Create action steps.

Identify every step required to achieve your goal. You may want to use a group approach to allow for ownership of the product and provide less chance for errors.

Slide 10: Seven Step Problem Solving Process (Circle)

Slide 11: Developing an Action Plan (Write the goal)

Slide 12: Developing an Action Plan (Create action steps/Identify resources required)

## Module 2 – Introduction to Action Planning

Once you've determined the steps necessary to meet your goal, you need to determine what it is going to take to make those steps happen.

### **3. Identify resources required.**

The goal here is to make sure you have, or are able to obtain, the resources to complete each step of the plan. This will allow you to plan for budget requests, reassignment of equipment or resources, or simply obtaining the necessary resources. Remember, if you can't come up with the resources to implement your plan, you will need to bring your group back together and look for alternatives that will work without the missing resources.

Once you have determined the resources you need and are sure that they can be acquired, you need to look at assigning responsibilities.

### **4. Assign responsibility for each task.**

Make sure that you assign responsibilities realistically. When making assignments, make sure that the person you are assigning to a task:

- Has the skills required to complete the task
- Is under your supervision
- Agrees to accept the task

**Ask participants:** Why would you want to ask the person if they will agree to accept the assignment?

**Possible responses:** That person will have a greater stake in achieving the goal; you can evaluate the person's willingness to complete the task.

Remember, you must delegate – you can't do it all by yourself.

Once you have assigned responsibility for each task, you need to set some timelines for completion. Ask the assigned staff how long they think the assignment will take.

### **5. Assign deadlines.**

**Ask participants:** Why would you want to ask the person you delegated a task to for a timeframe for completion?

**Desired response:** This is your project and you need to be able to track its progress. By having your staff report to you and provide you with a projected timeline, then you both know when the task has to be completed.

Slide 13: Developing an Action Plan (Assign responsibility/Assign deadlines)

## Module 2 – Introduction to Action Planning

Again, you must be realistic. Remember, everybody already has a full-time job to do. Remember:

- If you set too long a deadline, people will delay starting
- If you set too short a deadline, people won't have enough time to complete the assignment

### **Guided Practice (20 minutes)**

#### **Small group exercise: 20 minutes**

##### **Developing an Action Plan**

Now that you have an idea of what goes into an action plan, I want to give you an opportunity to put this information into practice, using a non-corrections topic.

Each table group will be assigned an exercise. Analyze your assignment and develop an action plan based on the information provided. Select a recorder to put your plan on the report-out sheet and a reporter to report out on your action plan to the large group. Be ready to report out in approximately 10 minutes.

Slide 14: Small Group Exercise

**Note to instructor:** Direct each table group to an action plan assignment in the participant manual. If available, distribute one poster-size action plan report out sheet to each group.

**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.

Allow approximately 10 minutes for the groups to complete their assignments and 10 minutes for the small groups to report out. Have each group present their action plan and ask the other groups to determine if all the components discussed in this module are included in the plan. If necessary, provide feedback on steps left out, steps out of order, unworkable steps, or unworkable deadlines.

## Module 2 – Introduction to Action Planning

**Ask participants:** How can using an action plan help your next project?

**Possible responses:** It will help keep the project on track, it will allow my staff to be more involved, it will help me determine the steps needed to achieve the goal, it will allow me to determine if the goal can be met.

### **Instructional Input (5 minutes)**

**Lecture: 5 minutes**

#### **Action Plan Workbook and End-of-Program Assignment**

Now you know how to use action planning to make positive changes in your agency. At the end of each module this week, you will have an opportunity to assess how you are doing at your agency and identify three areas that may be in need of improvement. You will then select one of these areas, write a goal, and create an action plan to achieve the goal.

At the end of the program, you will present a summary of your action plans, along with a 30-day jumpstart action plan, in a small group.

Remember, you are writing one action plan for each module to reinforce the process. Your “action plan workbook” will be a starting point for all the new ideas you develop over the remainder of the program.

Slide 15: Your “Action Plan Workbook”

Slide 16: End-of-the-Program Assignment

**Note to instructor:** Refer participants to the action plan workbook and verify verbally that everyone understands what will be required for the end-of-program assignment.

### **Closure/Evaluation (5 minutes)**

Slide 17: Module Objectives

#### **Review of Performance Objectives**

Now let’s look at our performance objectives for this module to see if we have met them.

- Participants will identify the seven steps of the problem solving process.
- Participants will create an action plan following the action plan format.
- Each participant will be able to create individual action plans specific to his or her jail and the end of each remaining module of the program.

**Break:** 10 minutes before beginning the next module



# Lesson Plan

**Initiative: Jail Administration**

**Program: Administering the Small and Medium-Sized Jail**

**Module 3: Using Jail Standards**

**Time: 2 ¼ hours**

## 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.

**Target Population** 20 – 36 Jail Administrators or a team composed of the jail administrator and agency head (e.g. sheriff) or the jail administrator and assistant administrator.

## 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.

## Equipment and Supplies

Chart pads, markers, masking tape, computer/laptop, LCD projector, screen, participant manual and action plan workbook, one copy for each participant of *Jail Standards and Inspection Program Resource and Implementation Guide* and the American Correctional Association's *Core Jail Standards, 1<sup>st</sup> Edition*.

**Development Date: February 2001**  
**Revised: July 2010**

PRESENTATION GUIDE	TRAINER'S NOTES
<p><b>Anticipatory Set (10 minutes)</b></p> <p><b>Lecture/large group discussion: 10 minutes.</b></p> <p><b>Role and purpose of standards</b></p>	<p>Slide 1: Using Jail Standards</p>
<p>In this module we will be looking at jail standards and how they can be a tool for you, as jail administrator, to increase the effectiveness of your operations and achieve your jail's mission and goals.</p> <p><b>Mission</b> can be defined as the purpose of the jail – why it exists.</p> <p><b>Goals</b> are the results the jail hopes to achieve if it successfully carries out its mission.</p> <p><b>Ask participants:</b> What do you think are the primary mission and goals of a jail?</p> <p><b>Possible responses:</b> Keep inmates, staff, and the public safe, keep inmates secure, maintain order, use resources efficiently and effectively, treat inmates fairly, rehabilitation.</p>	<p>Slide 2: Mission and Goals</p> <p>Slide 3: What are the primary mission and goals...</p>
<p><b>Note to instructor:</b> Record participant responses on the chart pad. Later in the module, these goals will be compared to the goal areas listed in the American Correctional Association's <i>Core Jail Standards</i>.</p>	
<p>So far in this program we have talked about the keys to effective jail operations. So, how do jail operations relate to mission and goals? Does what goes on in the jail impact your ability to achieve your mission and goals?</p> <p>Let's take a look at the goal of <b>safety</b> as an example:</p> <p><b>Ask participants:</b> What conditions hamper your ability to maintain a safe facility?</p> <p><b>Possible responses:</b> Contraband, inmate violence, physical plant, sanitation.</p> <p><b>Ask participants:</b> What practices do we have in place to enhance safety?</p> <p><b>Possible responses:</b> Classification, rounds and cell checks, inspections.</p> <p>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. Jail standards are an instruction book. Standards</p>	<p>Slide 4: How do jail operations relate...</p> <p>Slide 5: Standards help identify effective practices</p>

## Module 3 – Using Jail Standards

establish requirements or levels of performance for jail functions, activities, and conditions that, if met, should produce the outcomes necessary to achieve the jail's mission and goals.

Jail standards can also help the jail administrator make effective operational decisions, develop a plan to assess operations, and identify and address operational deficiencies. In addition, standards can provide:

- A tool to direct staff and measure staff 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.

By using the standards as a reference and guide, many jail administrators find that they can provide a solid foundation for effective jail management. During this module we are going to explore jail standards, using the following 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.

### **Instructional Input (40 minutes)**

#### **Lecture: 10 minutes**

#### **Overview of jail standards**

Jail standards are specifications or benchmarks for jail operations and facilities. They may exist in the form of mandated rules and regulations established by law or voluntary guidelines established by professional associations. Jail standards typically consist of prescriptive statements that establish requirements or levels of performance for specific jail functions, activities, or conditions. Standards generally are intended to reflect legal requirements and what the field believes is “sound correctional practice.”

Standards are written by many states and by professional organizations. According to the 2007 NIC publication, *Jail Standards and Inspection Program Resource and Implementation Guide*, by Mark D. Martin, **32 states** have adopted jail standards. The federal government has also

Slide 6: Jail standards provide...

Slide 7: Module Objectives

Slide 8: What are jail standards?

Slide 9: Who writes jail standards?

## Module 3 – Using Jail Standards

developed standards for tribal jails through the Bureau of Indian Affairs and standards for facilities that contract to hold federal detainees. In addition, local fire, building, and health codes typically include rules and regulations that apply to jails.

**Note to instructor:** Mention that the *Jail Standards and Inspection Program Resource and Implementation Guide* contains additional information on the role, purpose, and history of jail standards, along with appendices listing states with jail standards.

### Statutory State Standards and Inspection Programs

As we mentioned, many states have statutes that provide for jail standards and inspection programs. These 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 the 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

Administrators should be aware of the support and resources that may be available through their state inspection program.

**Ask participants:** Does your state have a jail standards and inspection program? Other than inspections, do you know what resources or technical support are available from the state inspection agency?

**Possible responses:** Will vary.

### State-Specific Professional Standards

In some states not having a statutory state standards and inspection program, organizations such as state sheriffs’ associations have developed jail standards. Some state associations have partnered with the risk management entity in their state to offer voluntary inspections using peer inspection teams (e.g. Idaho, Oregon). Compliance with standards, even on a voluntary basis, is viewed favorably by risk management authorities as a proactive means to reduce the jail’s risk exposure.

Slide 10: Statutory State Standards and Inspection Programs (Administered by...)

Slide 11: Statutory State Standards and Inspection Programs (Resource...)

Slide 12: State-Specific Professional Standards

### National Professional Standards

Voluntary jail standards are also developed by professional organizations on a national level, such as the American Correctional Association (ACA) and the National Commission on Correctional Health Care (NCCHC). Jails are not required to follow these standards although courts may sometimes use professional standards as benchmarks in the absence of state standards or other guiding principles. Jails may choose to voluntarily comply with professional organizational standards to raise the level of professionalism in their organization, and may elect to be accredited under these standards.

Slide 13: National Professional Jail Standards

### **Lecture: 15 minutes**

#### **Performance-based standards**

Recently, some professional organizations have developed **performance based** standards for jails. The major difference between traditional jail standards and performance-based standards is that traditional standards focus on “practices” while performance-based standards focus on “results”. Traditional standards prescribe practices and activities that must be followed, while performance-based standards describe “conditions” or “outcomes” that demonstrate the extent to which the jail is achieving the goal to which each standard relates. Outcome measures are defined and tracked to monitor organizational performance.

Slide 14: Performance-Based Jail Standards

Performance-based standards don’t significantly change what the field has defined as good practice; rather they provide a means to connect that practice to the mission and goals of the organization and track how well the jail is performing relative to those goals.

For the rest of this module, we will be working with the American Correctional Association’s *Core Jail Standards, 1<sup>st</sup> edition*. We have provided each of you with a copy of the standards book. We are using these standards as a sample so that you can experience working with standards and using them to answer operational questions, assess operations, and resolve operational deficiencies.

**Note to instructor:** Emphasize that NIC is not advocating that jails seek ACA accreditation; we are using these standards as an example of performance-based standards.

## Module 3 – Using Jail Standards

The ACA standards are organized around seven jail goals:

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

**Ask participants:** How do these goals compare with the keys to effective jail operations we identified Sunday night and to the mission and goals of jails we identified at the beginning of this module?

Slide 15: ACA standards are organized...

Slide 16: ACA Standards Terms

**Note to instructor:** On the chart pad developed at the beginning of the module, match each ACA goal area to the goals listed by participants.

**Note to instructor:** Refer participants to the ACA *Core Jail Standards* book, p. 11; describe the terminology used throughout the book.

Let's take a look at the way the ACA standards book is organized.

**The goal statement** describes the ideal state if the organization were to fully achieve its mission. In our example, Safety is the broad goal and the goal statement is “Protect the community, staff, contractors, volunteers, and inmates from harm.”

For each goal, a number of **performance standards** are written defining the condition or result to be achieved and maintained. In our example, the first performance standard under the goal of Security is “Protection from Harm.”

“**Outcome measures**” are defined as measurable events, occurrences, conditions, behavior or attitudes that demonstrate the extent to which the condition described in the standard have been achieved. Outcome measures are still in the development process for the Core Jail Standards.

Specific statements of the standards are “**expected practices**.” Expected practices represent activities and practices that, if properly implemented, should produce the desired outcome. In our example the first expected practice is “The facility’s security, life-safety, and communications systems are monitored continuously from a secure location.”

## Module 3 – Using Jail Standards

The documentation used to guide implementation of expected practices (such as policy and procedure manuals, post orders, training curricula, inmate handbooks, etc.) are “**protocols**”. In our example, protocols include: “Written policy and procedure. Facility plans/specifications. Staff schedules.”

Documents confirming the proper implementation of expected practices (logs, checklists, reports, etc.) are “**process indicators**.” These are also the tools administrators use to monitor ongoing operations. In our example, the process indicators are: “Facility records and logs. Observation. Maintenance records.”

**Note to instructor:** Describe the numbering system used in the ACA *Core Jail Standards* so that participants will be able to use the standards book for exercises in this and future modules. Instructor may allude to the Dewey Decimal System as an example most participants will understand (DDS organizes library collections by class, division, and section in a hierarchical arrangement. The standards are organized in the same manner.)

Slide 17: ACA Standards Numbering Example

Each expected practice is assigned a number. In our example on p. 11, the number is **1-CORE-2A-01**. “1-CORE” refers to the 1<sup>st</sup> edition of the Core Jail Standards and is common to all standards in the book. “1A” refers to the **goal and performance standard**: The community, staff, volunteers, contractors, and inmates are protected from injury and illness in the workplace., and “01” is the first **expected practice** associated with the goal and performance standard.

Slide 18: Example: Using standards to make operational decisions

### Lecture: 15 minutes

#### Using standards for decision-making, assessment of operations, and as a foundation for policy development

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.

Let’s take a look at a quick 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?

**Note to instructor:** Refer participants to p. 27, **1-CORE-4A-02** and p.52, **1-CORE-5C-06** in the standards book and discuss the resolution to the question based on the expected practices.

## Module 3 – Using Jail Standards

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 are often included in the standards.

Slide 19: Example: Using standards to establish a program to assess jail operations

**Note to instructor:** Refer participants to pages 1-2 in the ACA *Core Jail Standards* and review the **Expected Practice: Sanitation** as an example:

Page 1:

**Frequency:** Standard 1-CORE-1A-01...**weekly** sanitation inspections of all facility areas by a qualified departmental staff member; comprehensive **monthly** inspections by a safety/sanitation specialist; at least **annual** inspections by federal, state, and/or local sanitation and health officials or other qualified persons.

**Methods and tools:** Process Indicators: Completed inspection checklists and reports. Documentation of corrective action. Inspection reports.

Not only can standards be used to help make operational decisions in your facility and assess your operations, standards can be used to help develop your policies. Standards are useful in policy development in several ways. Standards manuals are an excellent source for identifying many of the subject areas which should be addressed in the jail's policy manual and are often presented in a logical framework (e.g. all standards relating to health care are listed together).

Slide 20: Using standards as a foundation for policy development

Each standard essentially defines a condition or level of performance that is required for the subject area that it addresses. That is basically the purpose a policy statement serves within the jail's policies and procedures manual. Accordingly, standards (or "expected practices" in the case of the performance-based standards) are often easily adapted into policy statements.

**Note to instructor:** Mention that we will be covering assessing operations and assessing policy and procedure in more depth later in the program.

After the break, you will get an opportunity to use the standards to make operational decisions and resolve operational deficiencies in several jail scenarios.

**Break (10 minutes)**

## **Guided Practice (55 minutes)**

### **Small Group Exercise #1: 25 minutes Using standards to make operational decisions**

Break into your small groups. Each small group has been assigned a scenario involving a contemplated change in how a service or function is delivered in your jail. Use the ACA 1<sup>st</sup> edition 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.

**Note to instructor:** Assign each table group a scenario. Allow 15 minutes for the groups to complete their work and 10 minutes for the report out. During the report out, ensure that groups have identified the standards and requirements applicable to the assigned scenario.

**Group 1:** You are considering contracting for food services. Use the standards to help outline the requirements and scope of the contract.  
**(Food Service standards are covered in Section 4A)**

**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. **(Standards relating to Classification include 2A-16-18)**

**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. **(Standards relating to Sexual Assault include 4D13-16)**

**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. **(Standards relating to Staff Training include 7B-02 – 06)**

Slide 21: Small Group Exercise #1 (Using standards to make operational decisions)

**Small Group Exercise #2: 30 minutes**

**Using standards to resolve operational deficiencies**

In this exercise, we'll look at using standards to help resolve an operational deficiency. Each group has been 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.

Slide 22: Small Group Exercise #2 (Using standards to resolve operational deficiencies)

**Note to instructor:** Assign each group a topic. Make sure that participants understand that they should identify the related **ACA goal, desired outcome, and expected practice** that applies to the assigned situation, along with the proposed **corrective action**. Allow 20 minutes for the groups to complete their work and 10 minutes for the report out.

**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. (**Standards relating to Sanitation and Housekeeping include 1A-01-04**)

**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. (**Standards relating to Inmate Property include 2A-14**)

**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. (**Standards relating to Recreation and Exercise include 5C-01-03**)

**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. (**Standards relating to Health Care Access include 4C-01-03, 07-09 and 11-12**)

## Closure/Evaluation (5 minutes)

To take best advantage of the standards, jail administrators should make a concerted effort to learn about the standards which apply to jail operations and use the standards to help make decisions, assess operations, and resolve identified deficiencies.

Let's take a look at our performance objectives for this module:

- 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.

Slide 23: To take best advantage of the standards...

Slide 24: Module Objectives

### **Independent Practice (15 minutes)**

Now let's take a few minutes for you to set some priorities for your jail in terms of using jail standards. Please turn to your Action Plan Workbook. Using what you have learned in this module, complete the assessment items, list three items in need of improvement, select your top priority, and write an action plan for that item.

Slide 25: Action Plan Workbook



# Lesson Plan

<b>Initiative:</b> Jail Administration	
<b>Program:</b> Jail Administration	
<b>Module 4: Managing Risk</b>	<b>Time: 2 hours, 50 minutes</b>

## 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.

**Target Population**      20 – 36 Jail Administrators or a team composed of the jail administrator and agency head (e.g. sheriff) or the jail administrator and assistant administrator.

## 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.

## Equipment and Supplies

Chart pads, markers, masking tape, computer/laptop, LCD projector, screen, participant manual and action plan work book, one copy for each participant of *Managing Risk in Jails*, by Mark D. Martin and Claire Lee Reiss, National Institute of Corrections, 2008.

**Development Date:** June 2005

**Revised:** July 2010

## PRESENTATION GUIDE

### Anticipatory Set (5 minutes)

#### Lecture/large group discussion: 5 minutes. Overview and performance objectives

It is difficult to find a public function that poses more risk than operating a jail.

**Ask participants:** Why are jails generally considered such “risky business”?

**Anticipated responses:** Inmates pose risks – they are potentially violent and/or needy. Inmate populations are diverse and can change rapidly. Jails are complex systems with many components that all need to function well together. Inmates have specific rights defined by federal, state, and constitutional law.

When we fail to manage risk in jails, the consequences can be severe.

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

**Anticipated responses:** Injuries to staff/inmates, illnesses, property damage, escapes.

Unmanaged risks can lead to significant losses.

**Ask participants:** What is the impact on the jail and its ability to do business?

**Anticipated responses:** Expenses for litigation defense, judgments, loss of income, overtime, personnel replacement, facility repairs or replacement, boarding; loss of staff productivity; increased external oversight; reduced public safety; loss of public support and good will.

Because risk is inherent in every activity, it cannot be totally eliminated, but it can be managed. One of the jail administrator’s primary roles is to manage the effect of risk on jail operations. In this module, we’ll be looking at strategies to effectively manage risk in our jails, using the following 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.

## TRAINER'S NOTES

Slide 1: Managing Risk

Slide 2: Dealing with Risk in the Jail (Why is the jail...)

Slide 3: Dealing with Risk in the Jail (What kinds of things...)

Slide 4: Module Objectives

## Module 4 – Managing Risk

- 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.

### Instructional Input (20 minutes)

#### Lecture: 5 minutes

##### Definitions of risk and risk management

Ask participants: “What is risk?”

**Note to instructor:** After soliciting several responses, provide the following definition:

*“A risk is defined as the chance of something happening that will threaten your organization’s ability to accomplish 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.

If **risk** is the uncertainty of outcome, **risk management** is the process of identifying, managing, and controlling risk to minimize negative risk consequences and maximize positive ones.

#### Lecture: 10 minutes

##### Benefits of risk management

The benefits of risk management include:

- Enhanced ability to achieve the jail’s mission.

We discussed mission in our last module and defined mission as the purpose of the jail – why it exists. A formal risk management process enables jail administrators to identify, manage, and control the uncertainty inherent in jail operations to increase the ability to achieve the jail’s stated mission.

Slide 5: What is Risk? (Risk may be defined...)

Slide 6: What is Risk? (Risk may also be viewed...)

Slide 7: What is Risk Management?

Slide 8: Benefits of Risk Management

## Module 4 – Managing Risk

- Preservation and enhancement of key resources.
- Avoidance of litigation and liability costs.

Litigation is probably the most familiar consequence of poor risk management. The costs of a lawsuit can be substantial.

- Reduction in turnover and lost work time and increase in staff productivity.

Any organization's most valuable – and costly – resource is its people. Because most jail staff positions require a variety of specific skills and knowledge of procedures, it is not easy to replace jail staff members. Excessive staff turnover, lost work time, and diversion of staff to non-mission-related work all adversely affect the human resources that are available to meet the jail's mission. Effective risk management helps the jail control these losses.

- Decrease in costs to repair or replace facilities, vehicles, and equipment.

Damage to or destruction of jail property can result in major financial losses.

- Avoidance of revenue interruption or extra expense.

The jail may suffer a loss of revenue or an increase in expenses if a negative event damages property and prevents normal operations. For example, a fire might render the jail building wholly or partially uninhabitable.

- Preservation of goodwill and favorable public perception.

The nature of a jail's business can make it difficult to cultivate a positive reputation in its community. Negative publicity about risk events makes it even harder. A strong risk management program will reduce the number of events that result in adverse publicity.

**Ask participants:** What are the jail's key resources?

**Anticipated responses:** Staff, physical plant, annual budget, image.

Key resources are tangible or intangible assets that are important to the jail's ability to achieve its mission and goals. The jail's key resources generally fall into the following categories:

- Human resources – staff, volunteers, inmates, and contract service

Slide 9: What are the jail's key resources?

## Module 4 – Managing Risk

providers.

- Financial resources – funds received from the governing body, fees for services, and internal revenue-generating services such as inmate telephones and commissary.
- Property – buildings, equipment, security systems, information technology systems, and vehicles.
- Partners – agencies, organizations, vendors, and contractors that provide services and supplies to the jail.
- Reputation – the jail’s image and standing in the community.

**Ask participants:** How are they critical to achieving the jail’s mission?

**Anticipated response:** Without our resources, we cannot achieve our mission.

Effective risk management preserves and enhances these resources. The consequences of risk are often self-reinforcing. Negative risk consequences drain resources needed to achieve the jail’s mission while positive risk consequences may enhance resources.

### Lecture: 5 minutes

#### Key risk management terms

Let’s look now at a few 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. 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

Slide 10: Key Risk Management Terms

## Module 4 – Managing Risk

major, on jail operations.

### Guided Practice (10 minutes)

#### Small Group Exercise: 10 minutes

##### Identifying risk events

Within your small groups, brainstorm a list in response to the following question...

**“What am I concerned about happening in my facility?”**

Select a recorder to write the list on a chart pad. You will have just 5 minutes to complete your work.

**Note to instructor:** Encourage the groups to brainstorm a list very quickly and get it on the chart pad. Briefly review the lists generated by the groups, highlighting commonalities and differences. Pick one or two and ask the large group to describe the impact a related risk event might have on the jail’s key resources.

Slide 11: Small Group Exercise

### Instructional Input (15 minutes)

#### Lecture: 5 minutes

##### Overview of the risk management process

Being a risk manager is one of the key roles of an effective jail administrator. It is the jail administrator’s responsibility to identify, address, and manage risks that may affect the jail’s ability to achieve its mission. Jail administrators must provide a disciplined environment for proactive decision making to continuously assess both opportunities and threats to the jail’s operations, determine which risks are most important to manage, and implement strategies to maximize the potential for positive outcomes and minimize the potential for negative ones.

Slide 12: Jail Administrator’s Role

Let’s look at a tool the jail administrator can use to manage risk - the six-step risk management process. This risk management process includes both **risk assessment** and **risk control**. The purpose of risk assessment is to identify and evaluate the likely effect of risk on the jail. Risk assessment includes **risk identification, risk analysis, and risk prioritization**. Risk control is the “what to do about it” stage of the risk management process. Risk control includes **risk planning, risk resolution, and risk monitoring**. We’ll look at each step in more depth.

Slide 13: Risk Management Process

#### Lecture/large group discussion: 10 minutes

##### Step 1 – Risk identification

Slide 14: Step 1: Risk Identification

## Module 4 – Managing Risk

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. A jail that identifies how risk can affect its operations will avoid some negative risk events altogether, respond more effectively to those that do occur, and be better able to take advantage of opportunities when they present themselves.

Let's take a look at a look at the example of biological hazards in our jails. Biological hazards include bloodborne and airborne viruses, bacteria, and other microorganisms that can be introduced into the jail.

**Ask participants:** What are some potential sources of risk for biological hazards in our jails?

**Anticipated responses:** Infected/diseased individuals in the jail, vermin, accidental and intentional contamination of air, food, or water.

**Ask participants:** What are examples of risk events related to biohazards?

**Anticipated responses:** Disease outbreaks such as flu, MRSA, lice, or food poisoning; bioterrorist attacks; deaths of inmates or staff due to illness or contamination.

**Ask participants:** What are potential contributing factors to biohazard risk events?

**Anticipated responses:** Poor sanitation and hygiene, crowded conditions, contaminated food or water supply, no protocols for control of infectious and communicable diseases, lack of facilities for medical segregation, insufficient training in the use of universal precautions, inadequate intake assessment procedures, noncompliance with health and sanitation codes, uncontrolled access to the jail's water, air, or food supply.

**Note to instructor:** Ensure that the range of contributing factors, including those related to inadequate procedures, are discussed.

Risk identification often relies on imagination: What can happen? What would be the consequences? Usually a combination of approaches is required to identify risks. Some basic tools that the jail administrator can use to identify risks include:

- Review of the jail's loss history.
- Brainstorm emergency scenarios – what could happen?
- Survey staff and inmates – ask staff – what do you see?

Slide 15: Risk Identification Example

Slide 16: Risk Identification Tools

## Module 4 – Managing Risk

- Review operations and procedures – are there things we should be doing differently?
- Review past incidents and emergencies in the jail.
- Walk through the jail to visually identify potential problems – scheduled inspections should be looking for specific risks.
- Evaluation and audits of the facility by external experts – jail inspector, fire marshal, health inspector.
- Review the experiences of other jurisdictions – learn from others.

One way to begin the risk identification process is to examine each threat or concern individually. Ask yourself what can happen and under what circumstances?

Focusing on each threat or concern you have identified, work systematically through the jail using the various tools just described 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.

### **Break (10 minutes)**

### **Instructional Input (15 minutes)**

#### **Lecture/large group discussion: 10 minutes**

##### **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 a perfect world, all risk exposures would be addressed immediately. In the real world of budgetary and time constraints, a jail must prioritize based on estimated consequences. 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?

### Slide 17: Risk Identification

### Slide 18: Step 2: Risk Analysis

## Module 4 – Managing Risk

You can rate the *likelihood* of an adverse 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

You can rated 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.

**Ask participants:** Going back to 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?

**Anticipated responses:** Increase - poor sanitation; overcrowding, inadequate screening; etc. Decrease - proper sanitation and hygiene; effective screening; proper training; etc.

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

**Anticipated responses:** Increase - absence of protocols in handling communicable diseases; lack of medical segregation, inadequate medical

Slide 19: Risk Analysis – Rating “Likelihood”

Slide 20: Risk Analysis – Rating “Consequences”

Slide 21: Risk Analysis

Slide 22: Risk Analysis Example

## Module 4 – Managing Risk

care. Decrease - adequate health care resources; proper training

**Ask participants:** How would you rate the likelihood and consequences of a disease outbreak in a jail?

**Anticipated responses:** The likelihood depends on the level of exposure and contributing factors. Consequences depend on what risk controls are in place to mitigate consequences.

As you analyze the risks facing your jail, you can put them in a **risk matrix**, based on the combined likelihood and consequences of each potential risk event.

**Note to instructor:** Review the risk matrix analysis slide and place the example of a biohazard – disease outbreak on the matrix, based on the likelihood and consequences identified by the participants.

With risk analysis in place, you are ready to move on to risk prioritization.

### Lecture: 5 minutes

#### 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

**Note to instructor:** Review the risk matrix prioritization slide and identify the risk priority of the biohazard – disease outbreak example based on input received from participants.

The jail administrator can systematically follow the risk management process to rank all of the risk exposures for the jail, including positive opportunities. When this process is complete, priorities will be

Slide 23: Risk Matrix

Slide 24: Step 3: Risk Prioritization

Slide 25: Risk Prioritization

Slide 26: Risk Prioritization (Matrix)

Slide 27: Risk Prioritization (Use the matrix...)

## Module 4 – Managing Risk

established and the jail's current risk assessment will be completed.

### Guided Practice (20 minutes)

#### Small Group Exercise: 20 minutes

##### Assessing risk

Each table group will be assigned a *risk event* jail scenario. Using the worksheet in your 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.

Slide 28: Small Group Exercise

**Note to instructor:** Assign each table group a risk event scenario. Allow 10 minutes for the groups to complete their work and 10 minutes for the report out. During the report out, ask each group how they would reduce the level of risk for the assigned risk event – point out that minimizing the contributing factors will lead to reducing the level of risk.

#### 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

## Module 4 – Managing Risk

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.

## **Instructional Input (15 minutes)**

### **Lecture/large group discussion: 10 minutes**

#### **Step 4 – Risk planning**

Once the jail has completed the **risk assessment** steps of the risk management process, the focus can turn to **risk control**. Risk control is the “what to do about it” stage of the risk management process. As we discussed briefly at the end of our last exercise, many of the jail’s risk control activities will focus on minimizing the contributing factors that increase the likelihood or magnitude of a risk event.

Risk control includes steps 4 through 6 in the risk management process:

- Step 4 – Risk planning
- Step 5 – Risk resolution
- Step 5 – Risk monitoring

Slide 29: Risk Management Process

## Module 4 – Managing Risk

Let's look at step 4, **risk planning**. For each priority risk event identified in the risk assessment, the jail must identify risk control options and select the risk control measures that it will 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.

**Ask participants:** Is risk avoidance very realistic for jails – can we completely eliminate our exposure to risk?

**Anticipated response:** No.

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

**Ask participants:** In our disease outbreak example, what are some of the ways that we can reduce either the likelihood or level of consequences of this event?

**Anticipated response:** Adequate sanitation, emphasis on hygiene, training in universal precautions, medical assessment at intake, ability to isolate contagious individuals, effective procedures for food handling, ensuring a secure air, food, and water supply.

**Note to instructor:** Point out that the loss reduction strategies focus on reducing or eliminating the contributing factors to the risk event and that loss reduction is a key **risk control** strategy for jails.

- Risk sharing and risk retention – Risk **sharing** means that the jail shares risk exposure with another organization, for example insurance or risk pool membership. Risk **retention** means that the jail retains sole responsibilities for the consequences of a risk event.

**Note to instructor:** Point out that risk sharing can reduce, but not eliminate, risk consequences for a jail.

Once the jail has identified possible risk control options, it needs to evaluate and select the measure or measures it will adopt. 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

Slide 30: Step 4: Risk Planning

Slide 31: Risk Control Options

Slide 32: Selecting Risk Control Measures (In selecting risk control measures...)

## Module 4 – Managing Risk

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.

Some criteria for selecting a risk control measure include:

- Is the measure mandated by legal and regulatory requirements?
- Is the measure compatible with other jail objectives and sound correctional practice?
- Are there 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 strategy or action 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?”*

**Ask participants:** Let's go back to our disease outbreak example – What control measures should you have in place to avoid/manage a disease outbreak in the jail?

**Anticipated responses:** Will vary.

**Lecture/large group discussion: 5 minutes**

### 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.

Slide 33: Selecting Risk Control Measures (Examples of root causes...)

Slide 34: Selecting Risk Control Measures (Is the measure...)

Slide 35: Selecting Risk Control Measures (The bottom line...)

Slide 36: Selecting Risk Control Measures (Given our previous example...)

Slide 37: Step 5: Risk Resolution

**Break (10 minutes)**

**Guided Practice (20 minutes)**

**Small Group Exercise: 20 minutes**

**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.

Slide 38: Small Group Exercise

**Note to instructor:** Allow 10 minutes for groups to complete their work and 10 minutes for the report out. Monitor the groups' progress and adjust report out time if groups need additional time to complete their work. If time permits, each group should report on their completed risk control action plan worksheet. If time is short, ask each group to share the risk event, control measure selected, and how they would monitor the results of their risk control efforts.

**Instructional Input (10 minutes)**

**Lecture/large group discussion: 5 minutes**

**Step 6 – Risk monitoring**

A risk management program is never completed. The jail is constantly evolving and facing new risk exposures that must be identified, analyzed, and addressed. In addition, the risk control measures that are selected may perform differently than expected or become less productive or cost effective over time. Therefore, a risk management program must be evaluated and adapted to changing needs so that it continues to provide the benefits we identified at the beginning of the module.

**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

Slide 39: Step 6: Risk Monitoring

## Module 4 – Managing Risk

- Tracking trends
- Reviewing incidents

### Lecture: 5 minutes

#### Developing a risk management program

An effective risk management program provides jail administrators a disciplined approach to continuously assess risks associated with jail operation, determine which risks are most important to manage, implement strategies to control those risks, evaluate the effect of their efforts, and make adjustments as need.

Slide 40: Developing a Risk Management Program  
(Establish risk management objectives...)

**Note to instructor:** Mention that the NIC document, *Managing Risk in Jails*, by Mark D. Martin and Claire Lee Reiss, 2008, forms the basis for much of the information in this module and provides greater details on developing a formal risk management program, including sample worksheets and descriptions of a variety of risk management resources available to jails.

The first action in developing a formal risk management program is to establish **risk management objectives**. Examples of risk management program objectives include:

- 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

The second action in developing a formal risk management program is to establish **responsibility for risk management**. The jail administrator is ultimately responsible for all facets of risk management, but is likely to delegate specific responsibilities to one or more staff members. In large jails, risk management is often coordinated by a risk manager or a risk management department that has several employees. In smaller jails, one or more employees may handle risk management issues part time. Some jails may handle risk issues internally and other may receive assistance from the local government's risk management office.

Slide 41: Developing a Risk Management Program  
(Establish responsibility...)

**Note to instructor:** Point out that an effective risk management program cannot be fully implemented by a risk manager alone, or even by a risk management department. All staff members must be responsible for managing risk within the scope of their duties.

## Module 4 – Managing Risk

The third action in developing a formal risk management program is to ***put into practice*** the six steps in the risk management process:

- Risk identification
- Risk analysis
- Risk prioritization
- Risk planning
- Risk resolution
- Risk monitoring

The final action in a risk management program is ***documentation***. A risk management program is more likely to succeed if it is documented in writing. Documentation provides the structure for directing implementation, establishing accountability, monitoring progress, making required changes, and reporting to the jail administrator and funding authority.

### Closure/Evaluation (5 minutes)

Some final thoughts -- A sound risk management program does not have to be implemented overnight. Begin your efforts with the areas of operations that present the greatest risks. Then on an on-going basis, integrate risk management processes into your jail's daily operations.

Let's review our performance objectives for this module:

- 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.
- 

### Independent Practice (15 minutes)

Now let's take a few minutes for you to set some priorities for your jail in terms of risk management. Please turn to your Action Plan Workbook. Using what you have learned in this module, complete the assessment items, list three items in need of improvement, select your top priority, and write an action plan for that item.

Slide 42: Final Thoughts

Slide 43: Module Objectives

Slide 44: Action Plan Workbook

## Module 4 – Managing Risk



# Lesson Plan

<b>Initiative:</b> Jail Administration	
<b>Program:</b> Jail Administration	
<b>Module 5: Developing and Assessing Policy and Procedure</b>	<b>Time: 4 hours</b>

## 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.

**Target Population** 20 – 36 Jail Administrators or a team composed of the jail administrator and agency head (e.g. sheriff) or the jail administrator and assistant administrator.

## 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.

## Equipment and Supplies

Chart pads, markers, masking tape, computer/laptop, LCD projector, screen, participant manual and action plan workbook, sample Scenario Planning Worksheet handout, one copy for each participant of *Developing and Revising Detention Facility Policies and Procedures*, Mark D. Martin, June 1996, revised April 2002.

**Development Date: May 2004**  
**Revised: July 2010**

## PRESENTATION GUIDE

### Anticipatory Set (10 minutes)

#### Lecture: 5 minutes.

#### Function of policy and procedure

In previous modules, we have talked about the importance of achieving the jail's mission and goals. We have looked to jail standards to help us identify our mission and goals, and we have seen how an effective risk management process can help us stay on track in achieving our mission and goals. In this module we will be looking at how well-written policies and procedures contribute to effective jail operations and achieving mission and goals.

All organizations need a method to formally communicate information to staff regarding mission, goals, and operations, and well-written policies and procedures provide the jail administrator with an effective means of communicating these critical pieces of information.

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

#### Lecture: 5 minutes

#### Role of the jail administrator in developing, implementing, and maintaining policy and procedure

As jail administrator, you have a key role in ensuring that your jail's policy and procedure manual is well-written and effectively implemented. Although you may not directly write the policies and procedures, you have a responsibility to ensure their effective development, implementation, and maintenance and to assess their quality by asking the following questions:

- 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 provide clear direction to staff in carrying out the various

## TRAINER'S NOTES

Slide 1: Developing and Assessing Policy and Procedure

Slide 2: Policies and Procedures

Slide 3: Role of the Jail Administrator

## Module 5 – Developing and Assessing Policy and Procedure

- functions and activities in the jail?
- Do they help us achieve our mission and goals and get the results we desire?

In this module, we will be looking at a process for developing, implementing, and maintaining well-written policy and procedure, with a particular emphasis on key features to look at when reviewing and assessing policies and procedures for approval.

Let's review our module 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.

Slide 4: Module Objectives

**Note to instructor:** Refer participants to the NIC document, *Developing and Revising Detention Facility Policies & Procedures* by Mark Martin, as a valuable resource in developing and maintaining a policy and procedure manual.

### Instructional Input (45 minutes)

**Lecture: 5 minutes**

**Key terms**

The terms **policy** and **procedure** have distinctly different meanings. A **policy** is a definitive statement of an organization's position on an issue of concern to the effective operation of the organization.

Slide 5: Definition: Policy

**Note to instructor:** Point out that the definition of policy emphasizes the importance of the jail administrator's involvement in policy and procedure development – to avoid the confusion that staff writers are determining agency policies, the policies must be drafted under the direction of the administrator.

A **procedure** is a detailed, step-by-step, description of the sequence of activities necessary for the achievement of the policy. It provides the

Slide 6: Definition: Procedure

## Module 5 – Developing and Assessing Policy and Procedure

<p>general guidelines for staff to follow in typical situations to carry out the policy.</p> <p>In general terms, a policy defines <b>what</b> an organization intends to do, on a consistent basis, with respect to a particular issue, and <b>why</b> it intends to take that action. A procedure describes <b>how</b>, <b>who</b>, <b>when</b>, and <b>where</b> the organization intends to implement the policy.</p> <p>Many jails also have <b>post orders</b>. 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.</p>	Slide 7: Definitions  Slide 8: Definition: Post Orders
<p><b>Lecture: 5 minutes</b></p> <p><b>Steps in developing policies and procedures</b></p>	Slide 9: 10 Steps in Developing Policies and Procedures
<p><b>Note to instructor:</b> <i>Do not</i> review the steps in developing policies and procedures here – simply show the slide and mention that there are ten steps in the process.</p> <p>As we mentioned, there is a process for developing, implementing, and maintaining a well-written policy and procedure manual. This process includes ten steps:</p> <ol style="list-style-type: none"><li>1. Define the scope of the effort</li><li>2. Establish the project team</li><li>3. Establish a work plan</li><li>4. Review and confirm the jail's mission</li><li>5. Draft the policies and procedures</li><li>6. Review and revise drafts</li><li>7. Approve final drafts</li><li>8. Format and compile the manual</li><li>9. Distribute the manual and train staff in new policies and procedures</li><li>10. Implement the policies and procedures and a regular review schedule</li></ol>	
<p>We will be focusing today on the key responsibilities of the jail administrator in this process. Remember your role is to <b>oversee</b> development, implementation, and maintenance of the policy and procedure manual, and to <b>review and assess</b> the quality of the policies and procedures.</p> <p><b>Lecture: 10 minutes</b></p> <p><b>Steps 1 – 4</b></p> <p><u><b>Step 1: Define the scope of the effort</b></u></p> <p>As jail administrator, you have a responsibility to determine if you need to develop new policies and procedures, revise existing policies and</p>	Slide 10: Step 1: Define the Scope

## Module 5 – Developing and Assessing Policy and Procedure

procedures, or establish a process to ensure that the existing policy and procedure manual remains well-written, current, and complete.

Jails vary – some do not have a policy and procedure manual specific to their jail – they may have no manual at all, or they may have a manual that was “borrowed” from another agency but was never modified to reflect the differences in their jail. Some jails have a policy a procedure manual that is specific to their jail, but that manual has not been reviewed or revised to reflect changes in operations or philosophy. And some jails have a formal process to keep their policy and procedure manual current.

To help determine the scope of the effort for your jail, consider the following characteristics of a well-written manual and apply them to your current policy and procedure manual:

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

### Step 2: Establish the project team

If you determine that you need to develop new or revise existing policy and procedure, it is then important to determine who will be involved in the effort, and what role each individual will play in the project.

The project should have a ***coordinator***, which may be you as the jail administrator, or a designated staff member on a full or part-time basis. Much of the content for your policies and procedures will come from various staff acting as ***subject matter experts***, including administration, security, food services, medical services, and inmate programs. Your project will also benefit from ***clerical support***, and will need periodic input from ***legal counsel***.

### Step 3: Establish a work plan

Once you have identified the team that will work on the policy and procedure effort, the next step is to establish a work plan. Depending on the scope of the project, you may need a plan to list tasks, assign responsibility, identify required resources, and establish a timetable for completion.

Slide 11: Characteristics of a Well-Written Manual

Slide 12: Step 2: Project Team (Who will be involved...)

Slide 13: Step 2: Project Team (Coordinator...)

Slide 14: Step 3: Work Plan

<p><b>Note to instructor:</b> Refer participants to the sample work plan in the participant manual.</p>	<p>Slide 15: Step 4: Confirm Mission</p>
<p><b>Step 4: Review and confirm the jail's mission</b></p> <p>We mentioned earlier that policies and procedures are a primary means of communicating the jail's mission and goals to staff and others. It is important to be sure the jail's mission is clear and that policies and procedures reflect the mission. Inattention to the relationship between the mission and policy and procedure may result in contradictory policies and procedures that do not support the achievement of mission and goals.</p>	<p>Slide 16: Step 5: Draft Policy and Procedure (Delegate...)</p>
<p><b>Lecture: 10 minutes</b></p> <p><b>Step 5</b></p> <p><b>Step 5: Draft policy and procedure</b></p> <p>As we mentioned, as jail administrator you are likely to delegate the actual drafting of new policies and procedures to one or more staff members. But, as jail administrator, you have a key role in directing the policy and procedure development effort.</p> <p>For each identified policy topic, it is important to <b>research content issues</b> by reviewing a variety of sources of information such as jail standards, fire safety, building, and sanitation codes, case law, information on prisoners' rights, best practices, and other facility's policies. As you review, take notes on specific issues that must or may need to be incorporated into your policies. Compare policy research results to current practices in your jail to confirm current practices and identify deficiencies that must be addressed in your new policies and procedures.</p>	<p>Slide 17: Research Content</p>
<p><b>Preparing a policy content outline</b> helps to organize your information in a way that facilitates development of your policy and procedures. The outline can provide reference information for policy development and document the sources of content included in your policies and procedures.</p>	<p>Slide 18: Content Outline</p>
<p>Before you begin drafting your policies and procedures, it is important to <b>establish a consistent format</b>. Policies and procedures should present information in a simple, clear, and straightforward manner. Information should be divided into short categories and short sentences.</p>	<p>Slide 19: Consistent Format</p>
<p><b>Ask participants:</b> Why is a simple, consistent format important?</p>	
<p><b>Anticipated response:</b> The manual needs to be user friendly, for staff to use the manual, it must be easy to find and understand information</p>	
<p>The format most commonly used in jail includes the following elements:</p>	

## Module 5 – Developing and Assessing Policy and Procedure

- Policy statements in traditional block paragraph style
- Procedures written in narrative outline format
- A header with standardized information included in each policy.

### Large group exercise: 10 minutes

#### Developing policy statements

As we mentioned earlier, a policy describes the guiding principles or general course of action adopted by the organization. A policy is a short simple statement of fact. A policy statement defines what is to be done and why. Let's take a look at a few examples.

**Note to instructor:** Ask participants to identify the *what* and *why* for example policy statement:

- 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 determine 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.

### Lecture: 5 minutes

#### Policy statement criteria

As we have been discussing, the policy statement tells you what will be done and why. It doesn't tell you how it will be done. When drafting or reviewing policy statements, keep in mind the following criteria:

**Policy** criteria include:

- Use complete sentences. Sentences should be direct and simple. Several short sentences are preferable to one long, complex sentence.
- Reflect action.
- Written in simple present or future tense.
- States the rationale for the policy; indicates why the directed action is to be taken.
- Is general, but directive. Clearly indicates the action to be taken, but leaves the details as to who, when, and how for the procedures.
- Concise.
- Clear and unmistakable in meaning – both new employees and

Slide 20: Reminder

Slide 21: Policy Statement Examples

Slide 22: Policy Statement Criteria

## Module 5 – Developing and Assessing Policy and Procedure

<p>seasoned veterans should be able to understand the policy.</p> <p><b>Break (10 minutes)</b></p> <p><b>Guided Practice (20 minutes)</b></p> <p><b>Small Group Exercise: 20 minutes</b> <b>Drafting a policy statement</b></p> <p>Break into your small groups. Draft a policy statement for the ACA standard assigned to your group. Select a recorder, timekeeper, and reporter. <b>Record your policy</b> on the chart pad, underlining the <b>what</b> and the <b>why</b>. You will have 10 minutes to complete your work.</p>	<p>Slide 23: Small Group Exercise</p>
<p><b>Note to instructor:</b> Assign each table group a standard. Allow 10 minutes for the groups to complete their work and 10 minutes for the report out.</p> <p><b>Group 1: 1-CORE-1A-01</b> – Sanitation Inspections</p> <p><b>Group 2: 1-CORE-4A-06</b> – Food Service Management</p> <p><b>Group 3: 1-CORE-6C-01</b> – Minor Infractions</p> <p><b>Group 4: 1-CORE-5C-01</b> – Exercise and Recreation Access</p> <p>During the report out, encourage the groups to offer suggestions to improve the policy statement. Review the policy statements to be sure they do not include the “how”. Ask about policy statements that are <b>vague</b> (look for words such as ensure or guarantee – ask “what does that look like in practice?”) or <b>restrictive</b> (look for words such as always – ask “are there situations where you would not want or have to complete the action?”).</p>	
<p><b>Instructional Input (20 minutes)</b></p> <p><b>Lecture: 5 minutes</b> <b>Drafting procedures</b></p> <p>Policy statements tell us what is to be done and why it is to be done, but do not give us information on the actions needed to complete the tasks. Procedures provide the necessary information for action. 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.</p> <p><b>Procedure</b> criteria include:</p>	<p>Slide 24: Reminder</p> <p>Slide 25: Procedure Statement Criteria</p>

## Module 5 – Developing and Assessing Policy and Procedure

- Procedures exist only in conjunction with policies.
- Procedures are 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 in the completion of the procedure.
- Identify situations in which staff may use discretion.

### Lecture: 10 minutes

#### Using scenarios to develop procedures

Before procedures can be written, you need to understand what is involved in carrying out a policy. 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. Developing a scenario requires you to walk through the steps of an activity to be sure you know all the tasks that are required to accomplish the 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** – list the steps that need to be taken to accomplish the activity.
- **Identify the people involved** – identify all persons who will participate in the activity including staff from your department, other agency staff, contract staff, inmates, volunteers, members of the public and/or professionals.
- **Identify the resources needed** – what equipment, supplies, and documents or forms are needed to accomplish the activity?
- **List “what ifs”** – as you are developing your scenario, you will inevitably come up with DWI questions (Duh, What If?). These questions often deal with events that may occur or have occurred only in very rare circumstances.

Obviously, your procedures cannot cover every possible event that may occur during a scenario. Some events may call for a different policy. In this case, you will develop alternative scenarios for the “what-if”.

Other events may occur so rarely that you will decide to leave them up to a staff member or supervisor’s judgment if they do occur. In this case, when you develop the procedure, you will document the discretion allowed.

- **Check the scenario “on-site”** – actually perform the scenario to

Slide 26: Using Scenarios

Slide 27: Scenario Development

## Module 5 – Developing and Assessing Policy and Procedure

<p>determine if it works or if any revisions are necessary. Recheck any revisions on-site.</p> <p>Once you have completed a scenario for an activity, you have the basis for your procedure.</p>	Slide 28: Sample Scenario Planning Worksheet
<p><b>Note to instructor:</b> Distribute and review the sample Scenario Planning Worksheet.</p> <p><b>Lecture: 5 minutes</b></p> <p><b>Writing procedures</b></p> <p>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.</p>	Slide 29: Writing Procedures
<p>Helpful hints for writing procedures include:</p> <ul style="list-style-type: none"><li>• Use the information developed in your scenarios to write the procedures.</li><li>• Present procedure steps in logical order.</li><li>• Write to the reader's level of knowledge of the subject.</li><li>• Avoid jargon.</li><li>• Use simple words – “talk” vs. “converse.”</li><li>• Stick to the point.</li><li>• Be as brief as possible.</li></ul>	Slide 30: Small Group Exercise
<p><b>Guided Practice (20 minutes)</b></p> <p><b>Small Group Exercise</b></p> <p><b>Writing scenarios and procedures</b></p> <p>Using your policy statement from your previous exercise, brainstorm the first few steps of a typical scenario for the activity and write the first three procedure statements for the activity. Select a recorder, timekeeper, and reporter. Record your procedure statements on the chart pad. You will have 10 minutes to complete your work.</p>	Slide 30: Small Group Exercise
<p><b>Note to instructor:</b> Allow 10 minutes for groups to complete their work and 10 minutes for the report out. Ask groups how they found the process – what was difficult, what was easy, what worked, what didn't work?</p>	Slide 30: Small Group Exercise
<p><b>Break (10 minutes)</b></p>	

## Instructional Input (40 minutes)

### Lecture: 10 minutes

#### Steps 6 – 7

##### Step 6: Review and revise

When policy and procedure statements have been drafted, the jail administrator should ensure that they are **reviewed and revised**.

First, **decide who should review the policies and procedures**.

Reviewers may include departmental staff (subject matter experts at the line level and above) and supervisors, legal counsel, local government representatives, and service providers.

Next, **determine the method for review**, including the following:

- Provide questions for reviewers to address
  - Does the policy reflect the jail's mission and philosophy?
  - Is the procedure clear? If not, how can it be improved?
  - Is the policy and procedure practical and realistic – will it work?
  - Is the policy and procedure thorough – if not, what needs to be added?
  - 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 a 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?

Next, arrange for a **run through (field test) of the procedural steps** to see if the procedure works.

Finally, direct **revisions** based upon review comments. Several rounds of reviews and revisions may be required. Policies and procedures should not be considered final until users fully understand what the policy intends and directions are clear.

Slide 31: Step 6: Revise and Review (Decide who will review...)

Slide 32: Step 6: Revise and Review (Provide questions...)

Slide 33: Step 6: Revise and Review (Provide a format...)

Slide 34: Step 6: Revise and Review (Include a quality control...)

Slide 35: Step 6: Revise and Review (Arrange for a field test...)

## Module 5 – Developing and Assessing Policy and Procedure

### Step 7: Approve final drafts

When revisions are complete, the jail administrator should **approve final drafts**. Policies and procedures should be approved at the highest level of authority in the organization, and approval should be documented for each policy.

#### **Lecture: 10 minutes**

### **Step 8**

### Step 8: Format and compile the policy and procedure manual

When policies and procedures have been reviewed, revised, and approved, the jail administrator should also assess the format and compilation of the policy and procedure manual. The policy and procedure manual needs to be organized in a logical order under subject.

**Ask participants:** Why is it important to organize the manual?

**Anticipated response:** So that policies are easy to find when they are needed.

Arrange policies in chapters so similar topics are grouped together in ways that make sense to people, for example:

- Administration
- Admission and Release
- Safety and Security
- Support Services
- Inmate Programs
- Inmate Rights and Discipline

You will also want to assess the overall components of the policy and procedure manual. The manual may include the following:

- Title page
- Table of contents
- Mission Statement
- Administrator's message
- Key word index
- Policies and Procedures
- Appendices

#### **Lecture: 20 minutes**

### **Steps 9 - 10**

### Step 9: Distribute and train

The jail administrator has a responsibility to ensure that all staff members are knowledgeable about policies and procedures, both existing and new.

Slide 36: Step 7: Approve Final Drafts

Slide 37: Step 8: Format and Compile Manual (Organize by topic)

Slide 38: Format and Compile Manual (Manual components)

Slide 39: Step 9: Distribute and Train (Determine how

## Module 5 – Developing and Assessing Policy and Procedure

<p>This is accomplished in two ways: distribution and training.</p> <p>Policy and procedure manuals should be available to all staff working in the facility at all times.</p> <p><b>Ask participants:</b> How should manuals be made available to staff?</p> <p><b>Anticipated responses:</b> Issue each staff person a manual, manuals available at each post, manuals centrally located for checkout, manuals available on staff personal computers or the agency network.</p> <p>Also consider if and how you will distribute your policy and procedure outside of the agency – to other agencies, service providers, and/or contractors. For staff and outside recipients, maintain documentation and when and to whom policies and procedures were distributed.</p> <p>Staff must be trained and tested on new or revised policy and procedure. It is also important to document what steps were taken to train staff on policies and procedures and to document that staff can implement the policies and procedures.</p> <p><b>Ask participants:</b> What are some ideas for training staff on policy and procedure?</p> <p><b>Anticipated responses:</b> Formal classroom training, roll call training, field training (OJT), video training, provide copies for review.</p> <p><b>Ask participants:</b> What are some ideas for testing staff on policy and procedure?</p> <p><b>Anticipated responses:</b> Written pre-test/post-test, demonstration checklist, interview/discussion.</p> <p><b>Step 10: Implementation</b></p> <p>Finally, the jail administrator is responsible for <b>implementing</b> policy and procedure. You can decide to implement new policies and procedures as they are finalized – individually or multiple policies under a general category. Or, you can implement an entire new manual at once.</p> <p>However you decide to implement new or revised policies and procedures, be aware of the following implementation issues:</p> <ul style="list-style-type: none"><li>• Document the effective date</li><li>• Document replacement of existing policies with new policies</li><li>• Maintain a master manual of signed, original policies and procedures</li><li>• Maintain an archive of discontinued policies and procedures</li><li>• Have a process for regular review and updating (at least annually)</li></ul>	<p>manuals...)</p> <p>Slide 40: Step 9: Distribute and Train (Document staff training...)</p> <p>Slide 41: Step 10: Implement (Document the effective...)</p>
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## Module 5 – Developing and Assessing Policy and Procedure

<ul style="list-style-type: none"><li>• Have a process for review on an “as-needed” basis</li><li>• Identify staff responsible for coordinating the on-going review of the policy and procedure manual</li><li>• Create a process to prioritize policies that need development and/or review</li></ul>	Slide 42: Step 10: Implement (Have a process for regular...)
<p><b>Note to Instructor:</b> Show the slide reviewing the 10 step process and ask if participants have any questions.</p>	Slide 43: Any Questions?
<p><b>Break (10 minutes)</b></p>	
<p><b>Guided Practice (35 minutes)</b></p>	Slide 44: Small Group Exercise
<p><b>Small Group Exercise: 35 minutes</b> <b>Assessing policy and procedure</b></p> <p>Now you will have an opportunity in your small groups to assess a sample policy and procedure and, as the jail administrator, decide whether to approve and sign-off on it or send it back for further work. Complete your review by reading the policy and procedure and considering the questions in your participant manual. 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. <b>You do not need to make any corrections – simply note areas that are currently unacceptable, if any.</b> You will have 20 minutes to complete your work.</p>	
<p><b>Note to instructor:</b> Allow 20 minutes for the groups to complete their work and 15 minutes for the report out. Monitor groups as they work to ensure that the focus is on assessing the policy and procedure and deciding if they will accept it as the jail administrator. Groups should not work on actually rewriting the policy and procedure. During the report out, ask each group if they approved the policy or sent it back for further work. Then, ask each group to provide one example of <b>either</b> a positive element of the policy and procedure or an issue they wanted corrected.</p>	
<p><b>Closure and Evaluation (5 minutes)</b></p> <p>Because well-written policies and procedures provide an effective means of communicating information about the jail’s mission, goals, and operations, it is critical that you as the jail administrator assess policy and procedure regularly to identify areas that need improvement.</p> <p>Let’s review our objectives for this module:</p> <ul style="list-style-type: none"><li>• After a brief lecture, participants will identify the function and</li></ul>	Slide 45: Summary  Slide 46: Module Objectives

## Module 5 – Developing and Assessing Policy and Procedure

- 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.

### **Independent Practice (15 minutes)**

Now let's take a few minutes for you to set some priorities for your jail in terms of assessing policy and procedure. Please turn to your Action Plan Workbook. Using what you have learned in this module, complete the assessment items, list three items in need of improvement, select your top priority, and write an action plan for that item.

Slide 47: Individual Workbook Assignment



# Lesson Plan

<b>Initiative:</b> Jail Administration	
<b>Program:</b> Jail Administration	
<b>Module 6: Determining Staffing Needs</b>	<b>Time: 4 hours</b>

## 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.

**Target Population** 20 – 36 Jail Administrators or a team composed of the jail administrator and agency head (e.g. sheriff) or the jail administrator and assistant administrator.

## 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.

## Equipment and Supplies

Chart pads, markers, masking tape, computer/laptop, LCD projector, screen, participant manual and action plan workbook, one copy for each participant of NIC's *Staffing Analysis Workbook for Jails, 2<sup>nd</sup> edition*, by Dennis Liebert and Rod Miller, Sample Activity Schedule handout, Staffing Needs Exercises handout packet, one poster per table of the poster-sized Net Annual Work Hours and Staff Coverage Plan worksheets, and blueprint from the sample jail.

**Development Date: September 2006**  
**Revised: August 2010**

## PRESENTATION GUIDE

### Anticipatory Set (10 minutes)

#### Lecture/Large Group Discussion: 10 minutes.

##### Benefits of Adequate Staffing

In this module we will be looking at determining staffing needs.

**Ask participants:** How many of you believe that your jail is currently adequately staffed?

**Anticipated responses:** Will vary.

**Ask participants:** For those of you that do **not** believe that your jail is currently adequately staffed, what are some of the problems you have experienced or seen in the jail as a result of inadequate staffing?

**Anticipated responses:** Lawsuits, escapes, assaults, fires, behavior problems, violations cited by jail inspectors, staff turnover, work not getting done, poor quality work.

Lets look at some of the benefits derived from adequate staffing:

- Increased safety
- Increased security
- Better programs and services
- Increased cost efficiency
- Decreased liability
- Better management and use of resources
- Increased staff morale and reduced turnover

We can all agree that having adequate staffing is critical for our jails. It is the responsibility of the jail administrator to determine the level of staffing needed to effectively operate the jail. In our module today we'll be looking at tools to help you fulfill this responsibility. Our objectives for this session include:

- 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.

## TRAINER'S NOTES

Slide 1: Determining Staffing Needs

Slide 2: Benefits of Adequate Staffing

Slide 3: Module Objectives

## Module 6 – Determining Staffing Needs

- 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.

**Note to instructor:** Mention that NIC has several resources available to assist in guiding the development of a staffing plan that provides adequate levels of staffing to operate a safe and constitutional jail. Point out that participants have been given a copy of the *Staffing Analysis Workbook for Jails* by Dennis Liebert and Rod Miller, and that this book is the basis for much of the material that we will cover in this module.

Slide 4: NIC Staffing Analysis Process

## Instructional Input (40 minutes)

### Lecture: 5 minutes

#### What is adequate staffing?

In determining staffing needs for the jail, it is important to keep in mind the primary mission of a jail. We have talked a lot this week about the mission of the jail – let's look at one suggested wording of the primary mission of a jail:

*“to keep prisoners – to keep them in, keep them safe, keep them in line, keep them healthy, and keep them busy – and do it with fairness, without undo suffering, and as efficiently as possible”*

Slide 5: Primary Mission

To carry out this mission requires staff. But what is appropriate staffing necessary to carry out this mission? Barbara Krauth in *Staff/Inmate Ratios: Why It's So Hard to Get to the Bottom Line* says adequate staffing is:

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

Slide 6: What is Appropriate Staffing?

Let's discuss these elements in a little more detail:

**The right number and type of properly trained staff** refers to the fact that not only do you have to determine how many staff are necessary to provide proper coverage to handle the workload, but also what kind of staff – clerical staff, custody staff, food service staff, maintenance staff, health services staff, supervisors, etc.

For example, take a look around your jail and start critical questioning – Do these jobs require a correctional officer? Do I really want correctional officer performing housekeeping or maintenance tasks?

## Module 6 – Determining Staffing Needs

The right number is also not a static figure. It assumes there is the right amount of staff for the anticipated workload. Some times are busier than others. There is such a thing as having too many staff – an example is a staffing plan where coverage is evenly distributed across shifts without the workload being evenly distributed.

**In the right place** refers to having staff assigned to a specific post or job. If a correctional officer's duty station is in the administrative area of the jail, he or she is not likely to be in a position to hear and respond promptly to emergencies in the inmate housing area.

**At the right time** refers to having staff assigned in a way that responds to the peaks and valleys in the workload.

**Doing the right thing** is a function of training, supervision and policy and procedures. For example, the “right thing” for a floor officer might be conducting 30-minute cell checks.

### Lecture: 10 minutes

#### Factors affecting staffing needs

Let's look at other factors that affect our staffing needs:

- **Court Decisions**

Court decisions have significantly impacted staffing needs by specifying minimum levels of services for inmates. The courts also hold us responsible for the safety of inmates. This means having staff available at all times to supervise inmates and manage their behavior.

- **Standards**

Standards often specify minimum levels of staffing as well as services.

- **Characteristics of the jail population**

The characteristics of the jail population can also have a significant impact on staffing depending upon such factors as the number of inmates, age, sex, security level, special needs, and length of stay.

- **Layout of the physical plant**

The layout of the physical plant has an impact on staffing in the following ways:

Housing separations – how inmates are separated impacts staff. More housing units generally require more staff.

Cell type – single occupancy cells can generally save staff positions, especially after lockdown at night.

#### Slide 7: Factors Affecting Staffing Needs

## Module 6 – Determining Staffing Needs

Sight lines – direct sight lines into living areas can reduce staff needs. Linear designs or areas with blind spots require more staff to circulate through the facility.

Security perimeter – all points of entry to the secure area should be electronically controlled. In this way the perimeter can be monitored and controlled remotely. A weak perimeter requires more staff to control.

Compartmentalization – allows inmates to some areas, but not others. This reduces the need for staff to escort inmates.

Circulation – decentralization, or bringing services to the inmates, can reduce the need for staff to escort inmates to centralized services. The location of control posts with direct views down movement corridors can also allow inmates to move to services unescorted.

Number of floors – Staffing is required for each floor of inmate housing. Multi-story buildings may require more staff.

- **Correctional philosophy**

The correctional philosophy of the department also affects staffing. For example, a jail that leans toward rehabilitation or reintegration may provide additional staff for education, treatment, and work programs. They may also allow additional opportunities for visitation, telephone, or other services to help reduce idleness.

- **Frequency of functions and activities**

Frequency of functions and activities affecting staffing levels. For example, the frequency and duration of exercise periods, visits, commissary, sick call, and similar activities can affect staffing needs, particularly if they require inmate movement. In some cases we can alter the activity to accommodate staffing while in others we simply must provide staffing to cover the activity.

**Ask participants:** What other factors impacting staffing levels have you encountered?

**Anticipated responses:** Union requirements, staff turnover, Americans with Disabilities Act (ADA)

We can see that there are a lot of factors that will affect the number of staff needed in our jails. As jail administrators, it is critical that we develop a formal **staffing plan** to inform ourselves, agency leaders, and funding authorities on the staffing levels needed to effectively operate our jail.

## Module 6 – Determining Staffing Needs

### Lecture: 10 minutes

#### Developing a staffing plan: gather information and materials

The first step in developing a staffing plan is to gather background information. Materials that should be available for our analysis include:

- 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
- Inspection reports
- Applicable court decisions
- MOA's and service contracts

In addition, basic information that *profiles the jail* is needed to develop a minimum post coverage plan. Helpful information and/or reference materials include:

- The facility's rated capacity
- Average daily population
- Data on admissions & releases
- Average length of stay
- Prisoner characteristics
- Description of all classification separations which are made between inmates in the facility
- Summary of critical incidents
- Problems with facility operations

### Lecture: 10 minutes

#### Developing a staffing plan: preparing a master activity schedule

After the profile is developed, a next step is to **examine the functions and activities of the jail's operation** to get some sense of the workload. One approach that can help you visualize and communicate the workload is to construct a master activity schedule. The master activity schedule:

- Charts out a typical one-week operation of the jail
- Includes a comprehensive list of the activities that take place in the jail arranged in chronological order each day
- Includes activities that are not scheduled but also are assigned to staff, for example population checks, searches, and inmate transports

Slide 8: Developing a Staffing Plan (Gather Information and Materials)

Slide 9: Developing a Staffing Plan (Profile the Jail)

Slide 10: Developing a Staffing Plan (Prepare a Master Activity Schedule)

## Module 6 – Determining Staffing Needs

To develop a master activity schedule:

- 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.

**Ask participants:** What are some of the functions and activities that you would include in a master activity schedule?

**Note to instructor:** Record participant responses on the chart pad.

Anticipated responses include:

- Meal services
- Peak periods of admissions
- Peak periods of releases
- Visiting
- Formal counts
- Exercise and recreation
- Sick call
- Administering medications
- Telephone access
- Mail delivery
- Commissary
- Religious services
- Court appearances
- Library access
- Work programs
- Counseling/self-help programming in the jail
- Staff meetings
- Staff training

### Lecture: 5 minutes

#### Developing a staffing plan: analyzing the master activity schedule

**Note to instructor:** Distribute the Sample Activity Schedule handout and discuss the sample activity schedule on the slide.

When all activities are charted, examine the schedule for:

- Periods of high and low activity
- Schedule conflicts
- Compliance with legal requirements

By analyzing the master facility schedule, you can tell how many and

Slide 11: Developing a Staffing Plan (Master Activity Schedule)

Slide 12: Developing a Staffing Plan (Master Activity Schedule)

Slide 13: Sample Activity Schedule

Slide 14: Developing a Staffing Plan (Master Activity Schedule – When all activities are charted...)

## Module 6 – Determining Staffing Needs

what kinds of staff you need to have working at various times during the day and week. It will also show where the peaks in workload are that might be leveled out through rescheduling of activities. You can make decisions that affect staffing by:

- Rescheduling certain activities that are flexible to level out peak and low activity periods
- Changing policies and procedures specifying the time or level of services
- Working with other agencies to match up their schedules with yours, for example program providers, contractors, and other law enforcement agencies
- Assigning additional staff if peak activity periods can't be adjusted.

### **Break (10 minutes)**

## **Instructional Input (15 minutes)**

### **Lecture: 10 minutes**

#### **Developing a staffing plan: determining required coverage**

Identify the number and type of positions needed for each shift given basic coverage needs and additional coverage needed to respond to intermittent activities such as those listed on the master activity schedule.

Assign tasks and functions to specific staff positions. This is a time when careful thought may be given to such issues as – How am I going to staff booking? Who will handle classification of inmates and manage the disciplinary process? How will supervision of special management inmates be provided? How will I utilize staff to cover such activities as visitation, outdoor exercise, inmate programs that may require inmate movement? What about food service or medical services which require staff with specific types of credentials and training?

For each position:

- Designate the type of each post (fixed, pull, shutdown)
- Determine the primary shift schedule (8, 10 or 12 hour shifts)
- Determine hours of coverage needed for each post/position
- Determine if post is to be relieved
- Assign tasks and functions

For each post/position, outline this information in a **position description narrative**. The narrative includes a brief description of duties and the amount of coverage that is required.

Slide 15: Developing a Staffing Plan (Master Activity Schedule – Adjust the schedule as necessary...)

Slide 16: Developing a Staffing Plan (Identify Posts and Positions)

Slide 17: Developing a Staffing Plan (Determine Staff Coverage Required)

Slide 18: Developing a Staffing Plan (Determine Staff Coverage Required)

## Module 6 – Determining Staffing Needs

<p><b>Note to instructor:</b> Discuss the sample position description narratives on the slide.</p>	
<p>Use your <b>floor plan to visualize your plan</b> using different colors to represent the different types of positions.</p>	Slide 19: Identifying Posts/Positions
<p><b>Note to instructor:</b> Demonstrate using the floor plan to visualize a staffing plan by reviewing the slide.</p>	
<p><b>Lecture: 5 minutes</b> <b>Sample post/position coverage plan</b></p> <p>Summarize your work in a post/position coverage plan where you can add in the actual availability of staff to arrive at a projection of total staffing needs.</p>	Slide 20: Staff Coverage Plan
<p><b>Note to instructor:</b> Review columns A through J of the Staff Coverage Plan worksheet on the slide. Mention that this worksheet is included in the <i>Staffing Analysis Workbook for Jails</i>.</p>	
<p><b>Column A: Position</b> is a list of each position or post that must be staffed in the facility. These posts may be part-time or full time, any number of hours, any days of the week. They are generally grouped by type such as administrative staff, security staff, program staff, or support staff.</p> <p><b>Column B: Job Class</b> indicates whether or not a position is sworn or non-sworn, or is used for a reference number to a narrative that explains each position.</p> <p><b>Column C: Meal Relief</b> indicates whether the post must be relieved for meals/breaks.</p> <p><b>Columns D, E, and F: Total Hours Columns</b> indicate how many staff hours are required to staff a particular post on each of the three shifts. May also indicate hours utilizing the 12 Hour Columns. It is possible that two or three persons may be needed for a position, but it could also only be part-time – indicated by a fraction.</p> <p><b>Column G: No. of Days Per Week</b> indicate how many days a week the post is staffed.</p> <p><b>Column H: No. of Hours Per Week</b> Total number of hours multiplied by the number of days/week the post is staffed.</p> <p><b>Column I: No. of Hours of Coverage Per Year</b> Number of weekly hours multiplied by 52.14 weeks (<math>365 \div 7 = 52.14</math>).</p>	

## Module 6 – Determining Staffing Needs

**Column J: Relief Needed** Is relief required for this position when vacant?

**Note to instructor:** Use the Jail Administrator position to illustrate whether a position requires relief.

### Guided Practice (45 minutes)

#### Small Group Exercise: 45 minutes

##### Developing a staff coverage plan

Now, working in your small groups, you will have an opportunity to develop a position/post coverage plan based on a sample floor plan we will provide.

As jail administrator, decide how many staff you need to run this jail based on this floor plan, inmate population and list of potential positions. **Don't consider any limitations that might be imposed by your own agency, sheriff, or commissioners.**

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

**Note to instructor:** Divide the class into four groups. Distribute the Staffing Needs Exercises handout packet. Distribute the poster-sized Staff Coverage Plan worksheet. Initially give 30 minutes for the exercise. If groups have not finished their work, extend the work period for 10 minutes.

If the groups have finished their work in 30 minutes, have each group's reporter present the group's coverage plan. If an activity has not been addressed, ask the group how they intended to manage the activity – for example: food service, classification, medical, transport, or programs. Solicit feedback on the process. Allow 15 minutes for this report out.

If groups use additional work time, reduce the report out by having each group share the total number of staff they determined was necessary and ask the large group how they found the process. Allow 5 minutes for this

Slide 21: Developing a Staffing Plan (Exercise...)

## Module 6 – Determining Staffing Needs

report out, for a total of 15 minutes including the extra work time.

### Break (10 minutes)

### Instructional Input (15 minutes)

#### Lecture: 15 minutes

##### Calculating net annual work hours

The fact that jails operate 24 hours per day, 365 days per year also affects staffing. Because a single **Full Time Equivalent (FTE) – 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. This is known as **Net Annual Working Hours (NAWH)**. It represents the number of hours staff are actually available to work, based on the contracted number of hours per year (for example, 40 hours per workweek x 52.14 weeks per year = 2086 hours), minus the average number of hours off per staff person per year.

Slide 22: Developing a Staffing Plan (Net Annual Work Hours – Because one person...)

**Note to instructor:** Explain that calculating net annual work hours is similar to using a shift relief factor, but results in a more accurate staffing coverage figure. Explain that we use 52.14 weeks per year because 365 days in a year, divided by 7 days in a week, equals 52.14 weeks.

The variables that determine net annual working hours include:

- The **number of hours** contracted per employee per year.
- Average **number of vacation hours off** per employee per year – the longer the tenure, the more vacation employees get.
- Average **number of compensatory hours off** per employee per year.
- Average **number of sick leave hours off** per employee per year.
- Average **amount of Workman's Comp time off** per employee per year.
- Average **amount of time off for military leave** per employee per year.
- Average **number of training hours** per employee per year.
- Average **number of personal hours off** per employee per year.
- Average **number of break hours off** per employee per year.

Slide 23: Developing a Staffing Plan (Net Annual Work Hours – Number of hours...)

## Module 6 – Determining Staffing Needs

- Average **number of holidays off** per employee per year.

**Ask participants:** Are there other absences that reduce staff availability?

**Anticipated responses:** Family leave, maternity leave, time to fill vacancies, disciplinary suspensions.

Once the variables are identified and quantified, we can determine the actual availability of staff to fill a full-time position. This is commonly referred to as the **Net Annual Working Hours (NAWH)**, but, in fact, can be used to establish required staffing for any position. Whether full-time or part-time, every position has a relief factor if it must be filled while someone is on vacation or sick. If a relief factor is not used, the jail will be short-staffed.

**Note to instructor:** Explain illustration of calculating NAWH on the slide. Verify that participants understand the **average** number of days off in a particular category – the total number used by all employees, divided by the total number of employees.

Slide 24: Net Annual Work Hours

### Guided Practice (25 minutes)

#### Small Group Exercise (25 minutes) Calculating net annual work hours

In your small groups:

- Review the personnel data memo
- Identify the variables in the memo that need to be included and write the number of hours 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 administration action that could increase the NAWH.
- On your Staff Coverage Plan worksheet, for every position that you answered “yes” in Column J, enter your calculation for NAWH in Column K
- You will have 15 minutes to complete your work.

Slide 25: Developing a Staffing Plan (Exercise Net Annual Work Hours)

**Note to instructor:** Distribute the poster-sized Net Annual Work Hours worksheet. Allow 15 minutes for groups to complete their work and 10 minutes for the report out. Each group’s reporter presents the calculated NAWH for each position. Ask what management action they might

## Module 6 – Determining Staffing Needs

suggest to increase the NAWH. Inquire as to any challenges they may have encountered in the exercise.

### **Break (10 minutes)**

### **Guided Practice (15 minutes)**

#### **Small Group Exercise (15 minutes)**

#### **Calculating full time equivalents (FTE's)**

**Note to Instructor:** Use the slide to demonstrate calculating full time equivalents (FTE's)

Determine the number of 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 results in Column L and Column M. Determine the total number of staff needed. You will have 5 minutes to complete your work.

**Note to instructor:** Allow 5 minutes for groups to complete their work, 5 minutes for the report out, and 5 minutes for your summary. Discuss how to round up and down and combining posts that can be covered by a single position, for example, corrections officer. Discuss providing for rounding down through overtime or part-time employees and remind participants not to short themselves when determining staffing needs by excessive rounding down.

Keep in mind that the relief factor anticipates an even distribution of absences. Even though many staff may wish to take vacation in the summer, to allow that would cause the jail to be short-staffed – even with the relief factor. Your job as jail administrator may involve making sure those absences over which you have control are distributed over the year.

### **Instructional Input (5 minutes)**

#### **Lecture: 5 minutes**

#### **Budget implications of staffing requirements**

Personnel costs amount to 70-80% of the budget. Any increases in personnel costs likely have an adverse impact on other areas of the jail operations. Since budget increases from year to year are generally minimal, it is incumbent upon the jail administrator to explore ways to make the most efficient use of available staffing resources.

Slide 26: Staff Coverage Plan

Slide 27: Developing a Staffing Plan (Exercise Calculating Full-Time Equivalents)

Slide 28: Developing a Staffing Plan (Strategies for Improving Staffing Adequacy)

## Module 6 – Determining Staffing Needs

If staffing needs and the budget don't match, the jail administrator must explore a wide range of strategies to get to adequate staffing.

### Strategies to Improve Staffing:

- Relocating existing personnel
- Altering facility design
- Utilizing audio or video surveillance
- Using volunteers or interns
- Using contractual services
- Improving productivity of existing staff
- Providing more training for staff
- Cross-training staff so they can handle multiple functions
- Adjusting operations
- Streamlining practices, policies and procedures
- Reducing or modify populations
- Reducing services
- Using inmate labor

Some of these strategies can be done administratively with little or no costs; some have one-time costs that will result in long-term savings (altering physical plant); still others come with some political risk (reducing populations) or increased liability exposure (reducing services).

### Guided Practice (15 minutes)

#### Small Group Exercise: 15 minutes Determining personnel budget costs

**Note to Instructor:** Use the slide to demonstrate determining personnel budget costs.

- Assign personnel costs (salaries and benefits) – generally benefits will equal 30-35% of staff salaries). Enter average cost per post/position in column N.
- Calculate a total personnel cost (Avg. cost per post/position x number of FTE). Add this in column O.
- You will have 10 minutes to complete your work

**Note to instructor:** Allow 10 minutes for the groups to complete their work and 5 minutes for the report out. Each group's reporter presents bottom line budget amount.

Slide 29: Staff Coverage Plan

Slide 30: Developing a Staffing Plan (Exercise Assigning Personnel Budget Costs)

## Module 6 – Determining Staffing Needs

### **Instructional Input (5 minutes)**

#### **Lecture: 5 minutes**

##### **Staffing analysis report format**

Combined with an introduction and narrative description of each position, the facility post/position coverage plan can be a very understandable explanation of staffing needs. It can be used to document your rationale for staffing and can support requests for funds for staffing to the governing body.

##### **Sample Report :**

1. Letter of Transmittal
2. Executive Summary
3. Table of Contents
4. Introduction
  - a. Purpose of the Report
  - b. Reasons for Conducting the Analysis
5. Staffing Analysis Methodology
  - a. Jail Characteristics and Issues
  - b. Staffing Analysis Concepts
  - c. Major Staffing Issues
6. Summary of Findings
  - a. Jail Profile
  - b. Facility Activity Schedule
  - c. Net Annual Work Hours
  - d. Staff Coverage Plan
  - e. Staffing Needs
  - f. Staffing Costs
7. Recommendations and Implementation Plan
8. Appendices

### **Closure/Evaluation (5 minutes)**

Many problems in the jail stem from having inadequate staffing. Yet jail administrators often have difficulty making a case to funding authorities for more resources. Developing a staffing plan is an effective way to document the need for a certain number and type of staff but also provides the rationale behind the staffing pattern.

Let's review our module 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

Slide 31: Staffing Analysis Report Format

Slide 32: Developing a Staffing Plan (Summary)

Slide 33: Module Objectives

## Module 6 – Determining Staffing Needs

- 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.

### **Independent Practice (15 minutes)**

Now let's take a few minutes for you to set some priorities for your jail in terms of determining staffing needs. Please turn to your Action Plan Workbook. Using what you have learned in this module, complete the assessment items, list three items in need of improvement, select your top priority, and write an action plan for that item.

Slide 34: Individual Workbook Assignment

# Lesson Plan

<b>Initiative: Jail Administration</b>	
<b>Program: Jail Administration</b>	
<b>Module 7: Managing the Workforce</b>	<b>Time: 4 hours</b>

## 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.

**Target Population** 20 – 36 Jail Administrators or a team composed of the jail administrator and agency head (e.g. sheriff) or the jail administrator and assistant administrator.

## 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.

## Equipment and Supplies

Chart pads, markers, masking tape, computer/laptop, LCD projector, screen, participant manual and action plan workbook, one copy for each participant of the DVD Video and Resource CD (4 disc set) *Building Agency Success: Developing an Effective FTO/OJT Training Program*, one copy for each participant of the sample annual training plan handout.

**Development Date: September 2008**

**Revised: August 2010**

## PRESENTATION GUIDE

### Anticipatory Set (10 minutes)

#### Lecture: 10 minutes

#### The jail administrator's role and responsibility for workforce management.

Throughout the week, we have been talking about the keys to effective jail operations and the jail administrator's role in ensuring that the jail achieves its mission and goals. In this module we will be looking at managing the workforce.

**Ask participants:** Think back to our first module – what was one of the most critical keys to the jail's success, discussed in both the *Beyond the Myths* video and in our list of the elements of effective jail operations?

**Anticipated response:** Having a quality staff.

So, we know that having a competent, well-trained, and dedicated staff is critical to our success. This makes effectively **managing** the workforce one of the jail administrator's most challenging and important responsibilities. In our module today, we will be looking at practical strategies that the jail administrator can use to do 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

Let's look at our objectives for this module:

- 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 exercise, 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

## TRAINER'S NOTES

Slide 1: Managing the Workforce

Slide 2: Managing the Workforce (Recruit...)

Slide 3: Module Objectives

Slide 4: Module Objectives

## Module 7 – Managing the Workforce

- 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.

### Instructional Input (40 minutes)

#### Lecture/large group discussion: 20 minutes Introduction to workforce management

Let's begin with an overview of some basic issues in managing the workforce. Every area of workforce management is governed by laws and regulations. In addition, collective bargaining agreements often spell out additional employment conditions and rights. The jail administrator must be aware of these requirements in managing the jail's workforce.

**Ask participants:** What are some of the state and federal laws that protect the interests of workers?

**Anticipated responses:** Fair Labor Standards Act (FSLA), Americans with Disabilities Act (ADA), Family and Medical Leave Act (FMLA), Occupational Safety and Health Act (OSHA), civil rights acts, workers' compensation laws, privacy laws.

**Note to instructor:** After participants have responded, show the laws on the slide and point out any laws listed that participants did not mention.  
**Explain that we will not be reviewing the specific content of the laws during this module,** but that additional information is available in the *Resource Guide for Jail Administrators*, from NIC, and likely from each agency's legal counsel.

Administrators also have certain responsibilities related to managing the workforce, known as ***affirmative duties***. Affirmative duties are functions administrators must carry out so that employees have the tools they need to perform appropriately on the job. The administrator's affirmative duties include:

- Provide written **directives** for staff – a good policy and procedure manual that staff can use to govern their behavior.
- Provide appropriate **training** for new and existing staff – an annual training plan that is written, funded, and implemented each year.
- Provide active **supervision** to staff in the form of guidance, coaching, and correction.
- Provide **effective hiring, placement, and retention** – weed out the obviously unfit, appropriately place and assign employees

Slide 5: Managing the Workforce (What are some...)

Slide 6: Affirmative Duties

## Module 7 – Managing the Workforce

within the organization, and take steps to remove unsuitable employees from the environment.

Given a breach of affirmative duty, an administrator can be held liable for the behavior of subordinates. This administrative liability is known as *indirect* or *vicarious* liability. To win a case, plaintiffs may need only to show a causal link between a constitutional violation and a reasonable assumption that it could have been prevented had the administrator fulfilled his or her affirmative duties.

**Note to instructor:** Point out that we have covered providing written directives to staff in the policy and procedure module, and will be looking at hiring, training, supervision, and retention in more depth during this module.

Before we move on, let's look at some general steps the jail administrator can take to manage the workforce while complying with personnel-related requirements:

- Establish **written personnel policies and procedures** that provide information about the jail's personnel practices, benefits, work hours, pay policies, and work rules. Just as policies and procedures are important for effective jail operations, written personnel policies and procedures establish clear expectations of job performance for both employees and supervisors and help document compliance with employment laws and regulations.
- Establish **written job descriptions** that specify the major job duties and responsibilities of each position and establish the minimum qualifications or core competencies required. Written job descriptions provide a basis for performance appraisals and determination of appropriate compensation levels.
- **Properly classify employees** as exempt or nonexempt. A non-exempt employee under the federal Fair Labor Standards Act (FSLA) is eligible for and must receive overtime pay for all hours worked over 40 hours in a work week. The jail is subject to fines and payment of back pay if nonexempt employees are found to have been inappropriately classified as exempt.
- Establish ongoing **employee performance evaluation**, documenting both positive and negative performance.
- **Consistently apply policies and procedures** to avoid claims of discrimination.
- **Follow rules carefully in disciplining staff** to avoid the overturning of disciplinary decisions. Jails should follow a disciplinary process that includes a range of sanctions (i.e., counseling, probation, suspension, termination), usually applied progressively and directed toward correcting specific behaviors.

Slide 7: Steps to Managing the Workforce

## Module 7 – Managing the Workforce

- **Maintain adequate documentation** in a personnel file for each employee.

### Lecture: 20 minutes

#### Recruiting staff

Once the basics are in place, the first element of managing the workforce is **recruiting** the best possible applicants for jail positions. The goal of the recruitment process is to locate and attract a diverse pool of qualified candidates.

**Ask participants:** What are some of the difficulties you experience in attracting qualified applicants?

**Possible responses:** Our pay is not competitive, applicants cannot pass our screening/background process, working in a jail is viewed negatively; some groups (women, minorities) don't think working in a jail is an option for them.

To increase the potential for success, the jail administrator should lead the development of a specific plan of action for recruiting efforts. A comprehensive recruiting plan includes:

- **Reviewing and/or developing accurate job descriptions.** As we mentioned earlier, job descriptions outline the minimum qualifications for a position. Beyond that, remember that to find what you want, you have to know what you are looking for. Clearly defining the job requirements, duties, and terms of employment helps both the administrator and the job candidate make informed decisions and will likely result in a more committed employee.
- **Using a recruitment committee** made up of representatives from the jail, other related departments such as human resources, and community groups such as schools, businesses, and employment offices. A recruitment committee can help develop the recruitment plan including setting recruitment goals, selecting recruitment strategies, and creating a system for monitoring the effectiveness of recruiting efforts.

**Ask participants:** What might be some goals of a recruitment plan?

**Anticipated responses:** Increase the number of qualified applicants, increase the diversity of qualified applicants, increase the number of qualified applicants from a particular group (women, minorities, bilingual), decrease in the number of unqualified applicants.

Slide 8: Recruiting Employees

Slide 9: Recruiting Plan

## Module 7 – Managing the Workforce

- **Developing effective recruiting materials.** Materials such as brochures, posters, videos, and web sites are essential to any recruiting effort. Brochures and posters can provide general information about the jail and positions in the jail, along with minimum qualifications and a description of the selection process. Videos can provide a candid, realistic look inside the jail. Web sites can provide information about job openings and allow for online applications.

To convey a consistent, effective message in all types of recruiting materials, consider soliciting assistance from marketing, public relations, and web-design specialists. Local college marketing, journalism, and computer science programs may be good sources of such assistance.

**Note to instructor:** Point out that when developing content for recruitment materials, it is important to remember that many jail officers report that they are challenged and excited by their careers and think *that* should be the core of a message to recruits.

- **Using a recruiting team.** Use existing staff as recruiters. Select recruiters who reflect the desired diversity of the organization and show their enthusiasm, job knowledge, and skill in working with the public. Provide training for recruiters so that they are knowledgeable about personnel policies, the selection process, training requirements, compensation and benefit plans, and career opportunities.
- **Developing effective recruiting strategies.** Many recruiting options are available to jails. The recruitment committee should select strategies according to the types of positions being filled, the available labor pool, and other factors unique to each jurisdiction. The most effective recruitment plans use multiple strategies to attract the largest pool of qualified candidates.

**Note to instructor:** The participant manual includes brief descriptions of a variety of possible recruitment strategies. *Ask participants to take about 5 minutes to read through the strategies.* Allow sufficient time for most participants to complete the reading before announcing the break.

**Break (10 minutes)**

**Guided Practice (25 minutes)**  
**Small Group Exercise: 25 minutes**  
**Developing a recruitment strategy**

Slide 10: Small Group Exercise

## Module 7 – Managing the Workforce

Now we are going to let you work on developing a recruitment strategy. Each small group has been assigned a job classification. 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.

**Note to instructor:** Allow 15 minutes for groups to complete their work and 10 minutes for the report out. During the report out, ask each group why they believe the selected strategies will work for their assigned job classification.

**Group 1:** Correctional Officer (line officer)

**Group 2:** Nurse

**Group 3:** Food Service Worker

**Group 4:** Program Coordinator (education, recreation, library services, etc.)

### Instructional Input (25 minutes)

**Lecture/large group discussion: 15 minutes**  
**Screening and selecting staff**

Merely recruiting the best applicants is not always going to result in you hiring the best applicants.

**Ask participants:** What happens if we hire the wrong people?

**Anticipated responses:** They quit shortly after being hired, they complete training at our agency and then quit to work elsewhere, they are the people we'd like to quit/they are poor performers.

The purpose of screening during the selection process is to assess an applicant's suitability for working in a jail environment and to determine whether the applicant's skill sets match the requirements of the position being filled. Screening should serve to funnel applicants using ***job-relevant*** and ***legally defensible*** screening, interviewing, and assessment methods and tools.

Slide 11: Screening and Selecting Staff

Slide 12: Purpose of Screening

Slide 13: Screening Basics

## Module 7 – Managing the Workforce

Many states have established minimum qualifications for jail officers. State laws or standards may also establish a standardized hiring practice. Be aware of the minimum qualifications established by your state and/or jurisdiction and periodically review job descriptions to see that they are consistent with these requirements.

Even in states that do not regulate screening and hiring, jail administrators would be wise to establish minimum qualifications for the agency, as these tend to screen out persons with undesirable backgrounds and to identify those who are trainable and more likely to add to the professionalism of the jail.

Screening processes typically include some combination of the following:

- **Written testing.** If written tests are used, they should be standardized and directly correlated with job performance.
- **Oral interviews.** An interview panel typically conducts the interview using a set of questions that are asked of every candidate. The questions should be job related and address the skills and abilities the position needs.

**Ask participants:** What types of skills and abilities do you look for in a jail officer?

**Anticipated responses:** Ability to work with all kinds of people, ability to manage inmates, ability to mediate disputes, ability to solve problems.

- **Background investigations.** A background investigation is an essential component of the screening process. The jail administrator should develop procedures for conducting background investigations to ensure they are performed consistently and thoroughly.
- **Physical testing.** Evaluate physical tests and rating criteria to be sure they are job-related and accurately reflect the physical traits essential to the job. It is also important that the physical standards be required throughout the employee's career. We cannot expect a new employee to reach higher physical standards than a veteran employee.
- **Psychological evaluations.** Some jurisdictions require psychological evaluations as part of the screening process, usually after a conditional offer of employment is made. Assessment instruments used in psychological evaluations should be validated and job-related and should be administered and interpreted only by certified individuals.
- **Medical examinations.** Again, if a medical exam is conducted as part of the screening process, it is typically after a conditional

Slide 14: Screening Processes

## Module 7 – Managing the Workforce

offer of employment is made. The physician performing the examination should be familiar with the position being filled and the types of physical activities it routinely entails as well as any automatic disqualifiers (for example, current drug use).

- **Assessment Centers.** In the assessment center process, a series of test situations derived from a detailed job analysis are constructed to provide assessors a means of observing how individuals would perform in specific situations.

The bottom line is that we want our selection process to actually measure the ability of the applicant to perform in the position and weed out those who are not a good fit for the position or the agency. By focusing on *job fit*, you increase the likelihood of selecting and retaining a capable employee.

### Lecture/large group discussion: 10 minutes

#### Orientation and training: introduction and benefits

Once we have hired our staff, we need to provide them with *orientation* and *training*. Let's look first at orientation. New employees tend to identify their level of comfort within the first three weeks on the job. Formal orientation helps to provide an appropriate first impression and helps the new employee feel like they are part of the team. Orientation should be separated from induction (filling out forms) and training, and should focus on clarifying employee expectations, explaining the role and value of the new employee to the organization, and fostering communication with fellow employees. Some organizations assign each new employee a mentor or contact person, giving the new employee someone to sit with in roll call and contact with questions and issues.

As we just suggested, orientation is separate from training. A good staff training and development plan is critical to effective jail operations. As we mentioned earlier, providing effective training is an affirmative duty of the jail administrator.

**Ask participants:** What are some of the benefits of effective staff training?

**Possible responses:** Training can correct performance problems, training tells staff what to do, training helps with consistency, training reduces the risk of successful litigation against the jail, well-trained employees are happier in their jobs, training meets state standards or statutes and helps maintain certification or accreditation.

**Note to instructor:** Add any benefits that participants do not mention. Then, explain that training cannot address every staff performance problem in the jail – if the problem is due to lack of administrative

Slide 15: Orientation

Slide 16: Training

## Module 7 – Managing the Workforce

leadership, inadequate direction to staff, faulty or non-existent policy, inadequate supervision, or inappropriate hiring, training cannot remedy the problems.

The goal of training is to change staff behavior to improve job performance. Although training needs for **new** employees are different from those of **existing** employees, the goal remains the same.

- **New employees.** For new employees, the focus of training is on building entry-level knowledge and skills in the core tasks the employee performs in the course of duty.
- **Existing employees.** For existing employees, the focus is on addressing deficiencies and performance issues identified through an individualized performance analysis or as improvements or innovations become available.

The jail's training program must address the training needs of both groups to be of maximum benefit.

### **Break (10 minutes)**

### **Instructional Input (35 minutes)**

#### **Lecture: 10 minutes**

##### **Developing a training program**

To develop an effective training program, follow the following steps:

- **Designate a training coordinator** to develop and implement an overall training plan, maintain training records, and provide information to the jail administrator. In small agencies, this duty may be added to an existing position. Larger agencies may be able to justify filling the position on a full-time basis.
- **Write a job description** for the training coordinator. If training coordination is an added duty to an existing position, be sure to add the duties to the existing job description.
- **Provide training to the training coordinator.** Training for the training coordinator should focus on developing coordination skills. The training coordinator, as the title implies, organizes training and sees that it is delivered, but may not necessarily do a lot of hands-on training.
- **Develop policies and procedures** for the training program.
- **Develop an annual training plan** that includes:
  - Training goals for the current year.
  - A summary of previous years' needs and problems.
  - A list of topics to be addressed in the current year.

Slide 17: Goal of Training

Slide 18: Developing a Training Program (Designate a training coordinator...)

Slide 19: Developing a Training Program (Develop an annual training plan...)

## Module 7 – Managing the Workforce

- A proposed master schedule.
- A total training budget.
- A plan for evaluating the impact of training.
- **Implement** the annual training plan.
- **Evaluate** the results of the training provided.

Remember that 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.

Slide 20: Support the Training Program

**Note to instructor:** Hand out the Training Checklist and the Sample Annual Training Plan handout. Explain that while we will not be going into greater depth on developing effective training in this module, NIC has a variety of resources available to assist jail administrators interested in improving the quality and effectiveness of their training programs. Point out that the *Jail Administrator's Resource Guide* has several chapters that address managing the workforce, including developing effective staff training. Also refer participants to their copy of the DVD Video and Resource CD (4 disc set) *Building Agency Success: Developing an Effective FTO/OJT Training Program*.

### Lecture: 5 minutes

#### Managing and supervising staff

So far we have recruited, selected, and trained our workforce. Now, it is critical to provide active, ongoing *supervision of staff* to ensure that the knowledge and skills developed in training are used in the jail, policies and procedures are being followed, and the jail is operating effectively.

Slide 21: Managing and Supervising Staff

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

- Provide staff with the appropriate and necessary training and provide opportunities for professional development.
- Conduct meaningful performance reviews or see to it that employees regularly receive such reviews and not just to correct performance or on an annual basis.
- Schedule staff and assign work in a fair and equitable fashion.
- Establish timely mediation processes to resolve staff problems, complaints, grievances, and labor relations issues.
- Recognize and honor staff for goal achievement.

Slide 22: Best Supervision Practices (Provide appropriate and necessary training...)

**Ask participants:** What methods do you use to recognize your staff?

Slide 23: Best Supervision Practices (Provide timely mediation...)

## Module 7 – Managing the Workforce

**Anticipated responses:** Will vary.

- Communicate jail, staff, and community issues up the chain of command on a regular basis.

**Lecture: 20 minutes**

### Generational differences

One key to effectively managing and supervising employees is to recognize the characteristics of the ***multi-generational workforce***. The age range of today's employees spans five decades and includes at least four “generations”.

- **Veterans** – members of the World War II generation were born before 1943 and comprise 5% of today's workforce (and shrinking).
- **Baby Boomers** – were born between 1943 and 1965 and account for 45% of workers.
- **Generation Xers** – were born between 1965 and 1980 and make up about 40% of the workforce.
- **Millennials** (sometimes called Generation Y) – were born between 1980 and 2000 and consist of 10% of our current workforce (and growing).

By understanding generational differences and how these differences translate into varying personal characteristics, values, beliefs, and behaviors on the job, the jail administrator can more effectively manage and supervise the workforce.

It is important to remember that although these differences will offer insights that may be helpful in managing the workforce, generational characteristics are not absolutes. Patterns typical of an entire generation will not necessarily be descriptive of every individual within it.

**Note to instructor:** Tell participants that the basis for the information presented on the multigenerational workforce is the NIC training curriculum, *Effectively Managing a Multi-generational Workforce in Corrections*, by Susan W. McCampbell and Paula N. Rubin, and that the entire curriculum is available from the NIC Information Center.

Let's take a look at some of the generational differences. We'll look first at historical events, or ***defining moments***, and ***social context*** for the different generations. Historical events and social context influence how we live our lives, mold our ethics, and are lenses through which we view the world. Every generation has them. These shared experiences are part of the mosaic that shape generational characteristics, values, and beliefs.

Slide 24: Generational Differences

Slide 25: Generational Differences (Remember...)

Slide 26: Defining Moments / Social Context

## Module 7 – Managing the Workforce

**Note to instructor:** Use the slide to describe and link the defining moments and social context for each of the generations.

### Veterans

#### *Defining Moments*

- Great Depression
- WWII and Korean War
- Television

#### *Social Context*

- Gender-based roles
- Racial segregation
- Respect for authority
- Save money
- Work hard and sacrifice

### Baby Boomers

#### *Defining Moments*

- Vietnam
- Assassinations
- Civil Rights

#### *Social Context*

- Women's movement
- Hippies
- Question authority
- Immediate gratification (buy now/pay later)
- Live to work

### Generation Xers

#### *Defining Moments*

- Challenger Explosion
- Watergate
- AIDS

#### *Social Context*

- Two-income households/latch-key kids
- Multiracial
- Indifferent to authority
- Independent/self-reliant
- Work to live

### Millenials

#### *Defining Moments*

- 9/11
- Oklahoma City
- Columbine

## Module 7 – Managing the Workforce

### **Social Context**

- Involved parents
- Culturally diverse
- No heroes
- Confident and hopeful
- Work to develop individual skills

Together the defining moments and social context help shape each generation's core values and beliefs in the workplace.

Slide 27: Generations in the Workplace

**Note to instructor:** Use the slide to describe the core values and workplace beliefs for each generation, reminding participants that these are general characteristics and may not apply to all individuals.

Veterans:

- Use a direct style
- Prefer command and control
- Delegate and want results
- Wary of technology and like the personal touch
- Work hard and expect others to work as hard

Baby Boomers:

- Try to prove themselves over and over
- Who you are is defined by what you do (worth = work)
- Desire consensus and harmony in the workplace
- Like to work for the “team”
- Want a fair playing field

Generation Xers:

- 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:

- Effectively multi-task - bored with repetitive tasks
- Achievement oriented
- Digitally connected
- Value inclusion and multiculturalism
- Open minded

**Ask participants:** Do you think that awareness of generational differences can help the jail administrator in all aspects of workforce

## Module 7 – Managing the Workforce

management – recruitment, selection, training, supervision, and retention?

**Anticipated response:** Yes.

**Ask participants:** Where do you fit into the generational groups?

**Anticipated responses:** Will vary, but it is anticipated that most participants will be Baby Boomers or Generation Xers.

**Ask participants:** Where does your staff fit?

**Anticipated responses:** Into all or most of the groups, primarily Generation Xers and Millenials.

There is value in understanding the characteristics of each of the generational groups and in recognizing how your own generational perspective shapes how you interact with others.

### **Guided Practice (25 minutes)**

#### **Small Group Exercise: 25 minutes** **Generational differences**

Let's look at how we can use information about the generations in the workplace to better manage and supervise our workforce. In your small groups, discuss where each of you might fit into the generational groups and where you feel the greatest percentage of your staff might fit. Then, 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.

Slide 28: Small Group Exercise

**Note to instructor:** Allow 15 minutes for groups to complete their work and 10 minutes for the report out.

### **Break (10 minutes)**

### **Instructional Input (15 minutes)**

#### **Lecture: 5 minutes** **Retaining staff**

Slide 29: Retaining Staff

## Module 7 – Managing the Workforce

As we have mentioned throughout this module, retention of quality employees is critical to effective jail operations. When the workforce is competent and committed, work is performed properly, goals are accomplished, the mission is achieved, and the public interest is served.

**Ask employees:** What are the costs of employee turnover?

**Anticipated responses:** Lost productivity, employee replacement expenses, lost expertise, lower employee morale, diminished quality of services.

Why employees leave and why they choose to stay are not simply the opposite sides of the same issue. Turnover is more often associated with ***job dissatisfaction*** while retention is more closely associated with the employee's ***commitment*** to the organization.

Job dissatisfaction typically occurs when the “fit” between the employee and his or her workgroup, immediate supervisor, or the overall organizational culture is not good. Research suggests that most voluntary resignations in organizations occur because of a problem with the manager-employee relationship.

Some of the primary reasons employees commit to organizations include having the opportunity to learn and develop, fair compensation for their work, opportunities for career growth, feeling like the work they do makes a difference, and being recognized for their contributions.

Effective retention, therefore, needs to address both aspects of this issue – to eliminate those factors that lead to ***job dissatisfaction*** and incorporate strategies that ***increase commitment***.

### Lecture: 5 minutes

#### Why employees leave

So let's look more closely at 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

Slide 30: Why Employees Leave and Why They Stay

Slide 31: Retaining Staff

Slide 32: Why Employees Leave

## Module 7 – Managing the Workforce

- Substandard equipment, tools, or facilities.

**Ask participants:** Looking at this list, are these factors present in the jail environment? If so, how?

**Anticipated response:** Participants are likely to say that at least some of these factors are present in the jail environment.

If the jail is having difficulty retaining quality employees, the administrator can assess the situation to determine if any of the factors we have just discussed are contributing to the decision to leave the jail.

### Lecture: 5 minutes

#### Strategies for retaining

It may be worthwhile or necessary to develop a formal retention plan. Let's look now at some strategies that have been found to be effective:

- 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

A successful retention plan usually incorporates a combination of strategies, depending on the jail administrator's assessment of the reasons underlying the retention problem.

**Ask participants:** Is retention at all costs a good policy?

**Anticipated response:** No.

**Ask participants:** What types of employees is it a mistake to retain?

**Anticipated response:** Employees who do not perform well, employees who do not follow policies and procedures, employees who are unhappy with their jobs, employees who are openly negative or confrontational.

Slide 33: Retention Strategies  
(Begin with recruitment...)

Slide 34: Retention Strategies  
(Provide training and educational opportunities...)

Slide 35: Retaining Staff

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At a minimum, these employees may negatively affect morale and productivity. And, as we discussed, there is a potential liability arising out of negligent retention. The jail administrator must be prepared to take appropriate action, within the staff disciplinary policy, to address staff behavior that is contrary to the interests of the organization.

### Guided Practice (25 minutes)

#### Small Group Exercise: 25 minutes

##### Developing a retention plan

In your small groups, discuss turnover in your jails. Who is leaving? Are particular *job classifications* experiencing high turnover, such as detention officers, nurses, or food service workers? Or are employees with particular *characteristics* (for example gender, race, ethnicity, or age) difficult to retain? What factors might be contributing to the decision to leave? As group, select one type (job classification or employee characteristic) 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.

Slide 36: Small Group Exercise

**Note to instructor:** Allow 15 minutes for groups to complete their work and 10 minutes for the report out. Monitor the groups as they work, and if necessary, point out that there are factors outside of generational differences that contribute to retention issues.

### Closure/Evaluation (5 minutes)

Slide 37: Summary

We have covered a lot of information in this module, focusing on the importance of effectively managing the workforce to achieve the jail's mission and goals. It is critical that the jail have a plan 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

**Note to instructor:** Remind participants that NIC has a variety of resources available to assist with the different phases of managing the workforce, including the *Resource Guide for Jail Administrators* by Mark D. Martin and Thomas A. Rosazza and the *Sheriff's Guide to Effective Jail Operations* by Mark D. Martin and Paul Katsampes.

Slide 38: Module Objectives

## Module 7 – Managing the Workforce

Let's review our objectives for this module:

- Participants will identify the role and responsibilities of the jail administrator in managing the workforce.
- Participants will identify strategies for recruiting, selecting, training, supervising, and retaining jail staff.
- Participants will develop recruiting strategies for an assigned job classification.
- Participants will develop strategies to manage and supervise staff representing one generation in the workforce.
- Participants will identify one type of employee that presents a retention problem and develop a retention plan for that type of employee.
- Each participant will create an individual action plan to address managing the workforce in his or her jail.

Slide 39: Module Objectives

## Independent Practice (15 minutes)

Slide 40: Action Plan Workbook

Now let's take a few minutes for you to set some priorities for your jail in terms of managing the workforce. Please turn to your Action Plan Workbook. Using what you have learned in this module, complete the assessment items, list three items in need of improvement, select your top priority, and write an action plan for that item.



# Lesson Plan

**Initiative: Jail Administration**

**Program: Jail Administration**

**Module 8: Managing Inmate Behavior**      **Time: 4 hours**

## 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.

**Target Population**      20 – 36 Jail Administrators or a team composed of the jail administrator and agency head (e.g. sheriff) or the jail administrator and assistant administrator.

## 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.

## Equipment and Supplies

Chart pads, markers, masking tape, computer/laptop, LCD projector, screen, participant manual and action plan workbook, participant handout *22 Strategies for Inmate Supervision*.

**Development Date: December 2005**

**Revised: August 2010**

**PRESENTATION GUIDE****TRAINER'S NOTES****Anticipatory Set (25 minutes)****Large Group Discussion: 10 minutes.****Indicators of whether inmate behavior is under control**

Let's review our performance objectives for this module:

- 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, participant 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.

**Ask participants:** How many of you think you really manage inmate behavior well, that you really have inmate activities and behavior under control in your jail at all times?

**Note to instructor:** Ask for a show of hands. It is likely that few participants will feel like they have this level of control.

**Ask participants:** What are some of the things inmates **do** that tell you that you really do not have the inmates' behavior under your control?

**Note to instructor:** Solicit “rapid-fire” responses and record them on easel pads. Make sure the participants are identifying **behaviors**, such as:

- They don't take care of their personal hygiene.
- They don't keep their cells or living areas clean.
- They assault each other or staff.
- They are rude to staff.
- They vandalize the jail.
- They make weapons.
- They hoard food.
- They steal from each other.

**Ask participants:** How many of you don't have any of these problems in your jails? Are these problems rare?

Slide 1: Managing Inmate Behavior

Slide 2: Module Objectives

Slide 3: Module Objectives

Slide 4: What Do Inmates Do...

## Module 8 – Managing Inmate Behavior

**Anticipated response:** Participants are likely to agree that they do have many or all of these problems in their jails.

**Large group discussion: 10 minutes**

**Benefits of managing inmate behavior**

So, since we have agreed that these inmate behavior problems do exist in our jails, consider this question:

**Ask participants:** If you were able to better manage and control inmate behavior, what are some specific benefits the jail might see?

**Note to instructor:** Record responses on an easel pad. Add/suggest benefits if necessary.

- Reduce assaults
- Reduce contraband
- Reduce vandalism
- Reduce escape
- 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

So, we could see some very real and tangible benefits if we could better manage and control inmate behavior.

**Lecture: 5 minutes**

**Physical containment vs. behavior management**

**Ask participants:** If we could achieve all these benefits from effectively managing behavior, why do you think we see so many jails whose inmates are out of control?

**Possible responses:** Will vary.

Slide 5: What Are the Benefits?

Slide 6: The Question Then Becomes

## Module 8 – Managing Inmate Behavior

In fact, 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 and staff, planned escapes, set fires, 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.

So, 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 achieve all these benefits you just listed! We can be in control of our jails and better ensure the safety and security of the staff, inmates, and community.

## Instructional Input (30 minutes)

### Lecture: 10 minutes

#### Six integrated elements of a formal inmate behavior management plan

To effectively manage inmate behavior, jails need a thoughtfully developed and comprehensive plan. In this module, we're going to look at the six essential elements in an inmate behavior management plan.

These include:

1. Assessing the risk and need each inmate presents at various points in his or her detention.
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 occupied with productive activities.

Some of you might say you already do some or all of these things. And you might. That's great. But most often, we don't do these things as part of a **deliberate and formal plan** – a plan based on the recognition that:

Slide 7: Physical Containment

Slide 8: Inmate Behavior Management

Slide 9: Developing a Plan

Slide 10: Six Elements

Slide 11: Six Elements

Slide 12: Inmate Behavior Management Plan

## Module 8 – Managing Inmate Behavior

- All of these elements are closely related,
- The elements are integrated building blocks,
- Decisions made in one of these 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 the parts! You can do these things as smaller, individual operation components and see some benefit. But you will have a much greater potential for success – for **achieving the benefits** you have listed – if you implement all these elements as part of a larger plan.

### Lecture: 10 minutes

#### Assessing risk and need

You have now seen a list of the six elements of the inmate behavior management plan. We're going to start with a discussion of the **FIRST ELEMENT** – assessing the risk and need each inmate presents.

Let's make sure we are all working from the same definitions of risk and need. **We're going to define “risk” as a measure of dangerousness.** We must assess how dangerous the inmate is – to himself or others. And how much of an escape risk is he?

**We're going to define “need” as a physiological or psychological requirement for well-being.** We have to assess what the inmate needs in terms of medical care and mental health care, for example.

It is critical to 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.** For example, planning and carrying out an escape is behavior we want to prevent. So, an inmate who is a serious escape risk will be managed to prevent this behavior. We are going to house the high escape risk inmate in very secure housing and supervise him very closely.

An inmate who is mentally ill has a need for care. If we don't identify and address that need, he could become a serious behavior problem. An inmate who is developmentally disabled may display behavior that leads other inmates to take advantage of him. Now we have a behavior problem with the other inmates and potential behavior problems with the developmentally disabled inmate.

**Assessing risk and need is simply 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

Slide 13: The Whole is Greater Than Its Parts

Slide 14: Inmate Behavior Management Element #1

Slide 15: Definitions

Slide 16: Assess Both Risk and Need

Slide 17: Assessment

## Module 8 – Managing Inmate Behavior

related to security, supervision, services, and programs. So, this information gives us a foundation for our inmate behavior management plan. We focus on risk and need because these factors go to the heart of jail security and the safety of staff, inmates, and the community.

### Lecture: 10 minutes

#### Reasons to assess

As we said, we assess risk and need to know who the inmates are so that we can manage them. There are four points at which we need to assess and inmate's risks and needs.

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. This needs to be done **before** the arresting officer leaves your jail.

**Ask participants:** What do we base our accept/not accept decision on? What, in terms of risk and need, would cause us to not accept an arrestee?

**Note to instructor:** Solicit answers from the large group. After discussion, the group should conclude that the primary issue to be assessed is whether the arrestee has immediate, critical **medical needs** that must be addressed at a medical facility. Mention that, once the jail accepts an inmate with untreated critical needs, it also accepts responsibility (and associated liability) for addressing those critical needs.

2. To determine how to manage the inmate in the booking and intake area.

After we accept an arrestee, we want to identify and respond to **critical** issues that may come up while he is in the booking and intake area, waiting for release or transfer to inmate housing.

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

If the arrestee is not going to be released in the immediate future and will be staying in the jail, we need to assess him to determine how to manage him. We are now concerned with **longer-term** management of the inmate's behavior in the jail.

4. Periodically during his stay, we need to **reassess** the inmate.

Circumstances may cause an inmate's risks and needs to change while he is in jail.

Slide 18: Three Reasons to Assess

## Module 8 – Managing Inmate Behavior

**Note to instructor:** Explain that we do not have the time in this class to look at how risk and need assessments are conducted. Refer participants to NIC assistance in terms of documents, training, and technical assistance. Specifically mention that NIC has a new on line training course *Objective Jail Classification: Assessing Inmate Risk and Needs*.

**Break:** 10 minutes

**Instructional Input** (25 minutes)

**Lecture: 10 minutes**

**Assigning inmates to housing**

The **SECOND ELEMENT** of inmate behavior management is assigning inmates to housing. We have said that assessing risk and need for each inmate gives us valuable management information on individual inmates. It also allows us to sort the total inmate population into groups. Once inmates are sorted, we can place them into more-or-less homogeneous groups, making it easier to manage them.

**Ask participants:** Why do you think it might be easier to manage inmates when we group like inmates together?

**Possible responses:** It's easier to target supervision strategies, services, and programs to groups of inmates who have similar levels and types of risk and needs; If we separate serious troublemakers from inmates who follow jail rules, the troublemakers will not be able to negatively influence others; separating very vulnerable inmates from predatory inmates prevents vulnerable inmates from being victimized; staff who have capabilities for managing certain types of inmates may be assigned where they can be most effective.

When we assign inmates to housing, we are sorting them into like groups. We combine our knowledge of who the inmates are with what our facility is like to develop a **housing plan**. A housing plan causes inmates to be placed into specific housing areas logically, consistently, and on purpose.

**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.**

**Ask participants:** Is it possible for a 15-bed jail with one 12-bed housing unit and three single cells to have a housing plan?

**Possible responses:** Answers will vary, but will likely include "no" and "yes, with difficulty" or "yes, but very limited."

Slide 19: Inmate Behavior Management Element #2

Slide 20: Why do you think...

Slide 21: All jails...

Slide 22: Strategies for Small Jails

## Module 8 – Managing Inmate Behavior

I've presented you with a very difficult situation, but I have also said that every jail needs to have a housing plan. Some strategies for small jails are:

- Assign cells based on visibility
- Time phase use of common areas
- Develop “flex” or “swing” housing, to house different types and classifications of inmates depending on the changing makeup of the jail’s population
- Use non-jail options when possible (for example, electronic monitoring or day reporting)
- Develop cooperative agreements with neighboring jails.

Slide 23: Inmate Behavior Management Element #3

### Lecture: 5 minutes

#### Maslow's hierarchy of needs

The **THIRD ELEMENT** of inmate behavior management focuses on basic inmate needs, basic things that inmates (and all human beings) need for survival and well-being, and the relationship between unmet needs and behavior.

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.

Slide 24: Maslow's Hierarchy of Needs

Let's look first at Maslow's entire five-level hierarchy. Then we'll focus on the bottom three levels of need for our discussion of meeting inmates' **basic** needs.

**Note to instructor:** During this portion of the lecture, discuss human needs in general; after the review of Maslow's five-level hierarchy, participants will discuss the specific application to jails and inmates' needs.

The first level of human needs is **physical**.

This includes items that sustain life and ensure a baseline of human comfort. They are the basic physical requirements we talked about earlier, such as adequate and nutritious food, protection against the elements, adequate warmth, physical exercise, care and remedies for various types of illness, and adequate personal hygiene and sanitation.

The second level of human need is **safety**.

This includes protection from harm, including personal injuries resulting from assault or unsafe environmental conditions.

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The third level of human need is **social**.

This includes maintaining contact with family and friends and the opportunity to have positive interaction with others.

The fourth level of human need is **esteem**.

This includes both self-esteem which results from competence or mastery of a task, and attention and recognition from others.

The fifth level of human need is **self-actualization**.

This level of need is defined as “the desire to become everything one is capable of becoming,” or maximizing one’s potential. This may include seeking knowledge, peace, esthetic experiences, self-fulfillment, or oneness with God.

### **Large Group Discussion: 10 minutes**

#### **Relationship of meeting basic needs to inmate behavior**

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

**Ask participants:** Looking at **physical needs**, what jail operations or activities relate to meeting these basic inmate needs?

**Possible responses:** Food service, medical service, physical plant (airflow and temperature, sanitation), recreation, provision of personal hygiene products

**Ask participants:** What are some negative behaviors we might see if the jail fails to meet the inmates’ physical needs?

**Possible responses:** Hoarding food, blocking air vents

**Ask participants:** Turning to **safety needs**, what jail operations or activities relate to meeting these needs?

**Possible responses:** Security operations (maintaining separations), classification (identifying predators), supervision (preventing assaults), physical plant (environmental conditions)

**Ask participants:** What are some negative behaviors that we might see if the jail fails to meet the inmates’ safety needs?

Slide 25: Meeting Physical Needs

Slide 26: Meeting Safety Needs

## Module 8 – Managing Inmate Behavior

**Possible responses:** Making weapons, paying other inmates for protection, withdrawing from activities

**Ask participants:** Looking at **social needs**, what jail operations or activities relate to meeting these needs?

**Possible responses:** Mail, telephone, visiting, dayroom time (interacting with staff and inmates), programs.

**Ask participants:** What are some negative behaviors we might see if the jail fails to meet the inmates' social needs?

**Possible responses:** Manipulation of staff (to mail letters, make phone calls), developing inappropriate relationships with other inmates, forming or associating with gangs.

We are required by law to meet many of the basic needs we've been discussing. However, we also want to meet these needs to better manage and control inmate behavior.

It is important to realize that negative inmate behaviors are not always caused by negative motivations. They may be caused by unmet needs. If we don't meet the inmates' needs, they try to find a way to meet their needs on their own – they steal, make weapons, hurt themselves or others.

**Ask participants:** Are we in control of inmate behavior when they meet needs on their own terms?

**Anticipated response:** No.

The reality is that we are not in control of inmate behavior when they meet needs on their own terms. In fact, we often are in a position of reacting to their negative behavior, wasting staff time and resources on negative behavior that could have been prevented.

### Guided Practice (25 minutes)

**Small group exercise: 25 minutes**

**Identifying and responding to unmet basic needs**

Let's look more closely at the connection between unmet basic needs and negative inmate behavior. Each table group will review and discuss a scenario and identify the unmet basic need that may be contributing to negative inmate behavior.

Determine what action you will take to meet the basic need, and prepare a

Slide 27: Meeting Social Needs

Slide 28: Why Meet Basic Needs?

Slide 29: Small Group Exercise

## Module 8 – Managing Inmate Behavior

report using your report out sheet. **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 the strategies to meet the need in order to reduce the negative behavior.** Be prepared to report out on your findings in about five minutes.

**Note to instructor:** Assign one case study scenario to each table group. During the report out, be sure the groups have identified the unmet need and a strategy to meet the need, rather than other strategies to correct negative behavior, such as disciplinary action.

### Scenario 1

As the jail administrator, you are reviewing disciplinary reports. During the last four days, one inmate has received eight minor rule violation reports, including:

- Using paper to block the vent in her cell
- Having 3 extra pairs of socks, 2 extra shirts, and one extra blanket
- Being in bed at 1500 hours, in violation of the rules
- Switching to a lower bunk without authorization
- Using paper to block the vent in her cell
- Wearing a t-shirt on her head
- Being in bed at 1130 hours, in violation of the rules
- Using paper to block the vent in her cell

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

### Scenario 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 to this inmate's negative behavior?  
What actions will you take to meet the basic need?

## Module 8 – Managing Inmate Behavior

### **Scenario 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 the 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 and 1730. Telephones are turned on in the housing units between 1000 and 1600 hours.

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

### **Scenario 4**

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

- Inmate’s roommate accused him of stealing his Ramen noodles.
- Inmate had an orange from the 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 this inmate’s negative behavior?  
What actions will you take to meet the basic need?

**Break: 10 minutes**

**Instructional Input (50 minutes)**

**Lecture/large group discussion: 25 minutes**  
**Defining and conveying expectations**

The **FOURTH ELEMENT** of inmate behavior management is defining and conveying expectations for inmate behavior.

Slide 30: Inmate Behavior Management Element #4

## Module 8 – Managing Inmate Behavior

**Ask participants:** How have someone else's expectations influenced **your** behavior?

**Possible responses:** Will vary

**Note to instructor:** Provide a personal example of when someone has expressed confidence – or lack of confidence – in you (in school, in sports, at work), and the effect this had on your behavior.

**Ask participants:** How does our environment set expectations for our behavior?

**Possible responses:** Will vary.

**Note to instructor:** Provide an example from day-to-day life that illustrates that we alter our behavior based on the environment and expectations. Mickey's Pub vs. National Cathedral: do we behave the same way in a bar and in a church? Why not? The environment sets and conveys an expectation.

**Ask participants:** What behaviors do we generally expect from inmates? What assumptions do we make about how most inmates will behave?

**Possible responses:** Negative behaviors, we set rules, but they don't follow them.

The real question is, does the self-fulfilling prophecy apply here? 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 believe that, given the right support, most inmates can temporarily act normally, be “situationally normal adults.” The majority of inmates, 90 – 95%, can adjust their behavior so that it meets our new, positive expectations.

We can create the environment where it is in the inmate's best interest to behave appropriately. Traditionally, we have not created such an environment, as we continue to focus our time and resources toward the 5 – 10% of inmates that can't or won't behave positively. Focusing on these inmates has instilled the belief that **all** inmates misbehave and this belief affects the way we:

Slide 31: Self-Fulfilling Prophecy

Slide 32: Self-Fulfilling Prophecy – a New Role for Inmates to Play

## Module 8 – Managing Inmate Behavior

- Build jails,
- Hire, screen, and train staff,
- Write policy and procedures,
- Operate our facilities

It's no wonder that we have so many problems with inmate behavior.

Think about this: if we want normal behavior, why do we create such an un-normal environment? (You will get what you expect.)

How can we begin to create different results in our jails? By changing our expectations of how inmates will behave and how staff will interact with them to create and reinforce these new behaviors. We will look at staff's role in a few minutes. But first we have to define and convey our new expectations.

**Defining expectations involves determining what the jail will consider acceptable inmate behavior.** It is important to set high, but attainable, behavior expectations for inmates. The jail should not only define the expectations for inmates, but also ensure that the inmates have the means to comply.

For example, if the expectation is that the housing units are clean and orderly at all times, the jail will need to supply sufficient cleaning supplies and equipment to facilitate this. If the expectation is that inmates will address their complaints about jail operations without destructive behavior, the jail will need to have a system through which inmates can report and receive timely responses to their complaints.

Once the jail has defined what it considers acceptable inmate behavior and has established the means by which inmates can comply with these behavioral expectations, the jail must convey its expectations to the inmates.

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

**Ask participants:** What are some examples of how we convey our expectations to inmates directly?

**Possible responses:** Inmate handbook, inmate orientation, staff tells inmates specifically how to behave

**Ask participants:** What are some examples of how we convey our expectations to inmates indirectly?

Slide 33: Defining Expectations

Slide 34: Conveying Expectations

Slide 35: Conveying Expectations Directly

Slide 36: Conveying Expectations Indirectly

## Module 8 – Managing Inmate Behavior

**Possible responses:** Physical plant (bars, locks, etc.), cleanliness, staff behavior

**Ask participants:** Who will convey expectations if we don't?

**Anticipated response:** Participants are likely to agree that other inmates will convey expectations if staff does not do so.

Once we have defined and conveyed our expectations, we must have a system in place that encourages inmates to meet our expectations.

We need both incentives for positive behavior and disincentives for negative behavior.

**Ask participants:** Why do we need both positive and negative reinforcement techniques?

**Possible responses:** We want to recognize and encourage positive behavior and hold inmates accountable for negative behavior.

### Lecture: 15 minutes

#### Inmate supervision

The **FIFTH ELEMENT** of inmate behavior management is supervising inmates. We have been talking about encouraging inmates to behave differently (positively) by changing our expectations of how they will behave. Now we'll be focusing 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 be effective in this new role.

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

There are two keys to effectively supervising inmates. **The first is to require active supervision of inmates by staff.** So, what needs to happen to achieve active supervision of inmates? The jail must:

- Increase staff presence by making sure staff can go anywhere in the jail at any time. No space in the facility should belong to the inmates; all space is staff space.
- Ensure that all space is staff space by making sure staff go into the housing units frequently.
- Ensure staff is present in inmate areas by eliminating staff congregation in specific areas such as control rooms and offices.
- Increase **positive** staff interaction with inmates by requiring staff to:

Slide 37: Conveying Expectations

Slide 38: A Final Piece

Slide 39: Inmate Behavior Management Element #5

Slide 40: Supervising Inmates

Slide 41: Require Active Supervision of Inmates by Staff

## Module 8 – Managing Inmate Behavior

- Observe, listen, and pay attention to inmates
- Treat inmates with respect and consideration and expect the same from inmates
- Act fairly toward all
- Solve small problems before they become large ones
- Resolve conflicts between inmates
- Motivate inmate cooperation

Staff interaction with inmates has a clear purpose – to obtain positive inmate behavior (compliance with jail rules) so that the goals of the inmate behavior management plan can be reached. The relationship in this interaction is supervisor (staff) to inmate.

**The second key to supervising inmates is to give staff both authority and responsibility.** The line staff is critical to achieving effective supervision of inmates. For staff to be effective supervisors they must have the authority to make decisions within the housing unit, following established guidelines.

**Ask participants:** How can we give staff the authority to make decisions in the housing units?

**Possible responses:** Make sure staff understand that their role is to make decisions, encourage supervisors to help staff make decisions instead of making the decisions for staff.

**Ask participants:** What do we mean by “following established guidelines”?

**Possible responses:** Following policy and procedures, acting within defined parameters

So, line staff must have the authority to make decisions within the housing units, but must act within your facility’s written policy and procedures.

**Ask participants:** Staff must also be held accountable for unit conditions. Why is this important?

**Possible responses:** If staff are held accountable for unit conditions, they will be motivated to hold the inmates accountable for their behavior in the unit; staff will have more ownership and more pride in their work.

And finally, the facility must recognize and reward staff behaviors that support the role of staff as supervisor.

**Ask participants:** How can you accomplish this?

Slide 42: Require Active Supervision of Inmates by Staff

Slide 43: Staff/Inmate Interaction With a Clear Purpose

Slide 44: Give Staff Both Authority and Responsibility

## Module 8 – Managing Inmate Behavior

**Possible responses:** Consider the ability to supervise inmates effectively as a criteria for evaluations, promotions, and recognition awards.

**It is important that staff see inmate supervision as their primary role, and the associated skills as critical to success.** Traditionally, jail officers have viewed their role more in terms of head counts, cell searches, and physically restraining inmates. The ability to do these things well remains important, but within the large context of inmate supervision.

### Lecture: 10 minutes

#### Barriers to supervision

Thus far, we've been talking about what we need to expect from staff and what staff needs to do to effectively supervise inmates. Next, we'll look at some of the barriers that prevent staff from fulfilling their role as supervisors of inmates.

There are various types of barriers that can prevent staff from interacting with inmates. Because supervision is dependent on staff interaction with inmates, the jail must develop strategies to decrease the barriers that prevent staff from interacting with inmates. Once the barriers are decreased, staff is better able to establish control over all areas of the jail.

We have grouped potential barriers into five categories:

1. Physical plant
2. Staffing levels
3. Staff placement
4. Staff behavior
5. Administrative commitment to staff interaction with inmates

Let's look first at **physical plant**. Because many jails were built in the era when physical containment was emphasized to the virtual exclusion of inmate supervision, the physical plant often presents barriers to inmate supervision.

Examples include security doors with limited or no view into the housing units, long corridors separating staff areas from inmate housing units, or multiple security doors.

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.

Slide 45: Staff Must See  
Inmate Supervision as a  
Primary Role

Slide 46: Barriers to  
Interaction

## Module 8 – Managing Inmate Behavior

There are two potential problems associated with the second barrier of **staffing levels:** staff assigned to other duties and not enough staff.

Staffing levels may present barriers to supervising inmates if there just aren't enough staff available to actively supervise inmates, if staff are responsible for multiple housing units and don't have time to interact with inmates, or if staff have non-supervision duties that reduce the time they have to interact with inmates.

The third potential barrier to effective inmate supervision is **staff placement.** This refers to where staff duty stations are located – are staff working where they can see, hear, and interact with inmates?

In all facility types the jail administrator needs to consider if staff duty stations are effectively located to facilitate staff and inmate interaction.

The fourth potential barrier to effective inmate supervision is **staff behavior.** In light of our traditional emphasis on physical containment of inmates and our negative expectations for inmate behavior, it is not surprising that staff behavior may also prove to be a barrier to inmate supervision and achievement of behavior management goals. Staff may not see their role as that of supervisors of inmates; they might instead see themselves as “guards” or “enforcers”.

We may be asking the staff to change not just what they do, but how they think about their role in the jail and what they believe about inmates.

**Note to instructor:** Distribute handout: 22 Strategies for Inmate Behavior Management.

The final potential barrier to effective inmate supervision is **administrative commitment.** Administrative commitment is essential to the success of all elements of inmate behavior management, but the administrator might want to be especially attentive to inmate supervision because of the significant change in staff behavior that may be required. 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.

So, we have briefly touched on the five barriers to active supervision of inmates. Remember, each jail will be able to address each barrier to a varying degree. It is important to look at your facility in terms of each barrier, and determine what changes you can make to enhance the level of inmate supervision. Next we'll look more at behavioral expectations and supervision, but first let's take a break!

## Module 8 – Managing Inmate Behavior

**Break:** 10 minutes

### **Guided Practice** (30 minutes)

Now that we have had an opportunity to discuss defining and conveying expectations for inmate behavior and effectively supervising inmates, you are going to have an opportunity to work in your small groups to solve some inmate behavior management issues. Each table group will have a different issue to discuss. Take about 10 minutes to discuss your issue, develop a report on the easel pad, and select someone who will report out on your discussions.

Slide 47: Small Group Exercise

**Note to instructor:** Assign each table group a discussion topic.

**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.

Allow 10 minutes for groups to complete their work and 20 minutes for the report out. Conduct the report out in group number order: first, how do we work with new inmates, second, now that they are in the facility, how will we supervise inmates, third, what are the tools we can give staff to help with supervision, and finally, how do we as administrators support the process.

### **Instructional Input** (10 minutes)

**Lecture/Large Group Discussion: 10 minutes**  
**Keeping inmates productively occupied**

Slide 48: Inmate Behavior Management Element #6

The **SIXTH ELEMENT** of inmate behavior management is keeping inmates productively occupied. Many jails provide programs to improve the inmates' ability to reintegrate into society or to decrease recidivism. At a more fundamental level, however, there are behavior management reasons

## Module 8 – Managing Inmate Behavior

to provide inmates with productive activities.

**Ask participants:** How do productive activities contribute to inmate behavior management?

**Possible responses:** Address needs, provide an incentive for positive behavior, opportunity for positive staff/inmate interaction, keep inmates busy with positive activities instead of negative activities.

Productive activities provide staff with tools they can use to keep inmate behave focused on the positive instead of the negative. Because access to many programs and activities can be based on continued positive behavior, they are a powerful incentive for inmates to behave according to facility expectations.

**Ask participants:** What happens if the jail does not provide inmates with productive activities?

**Possible responses:** Inmates will find ways to fill their time, often with activities that are destructive and jeopardize safety and security.

**Ask participants:** When we provide structured activities, we control the nature of the activity. When inmates control activities, who then controls the jail?

**Anticipated response:** Participants are likely to conclude that when inmates control activities, inmates control the jail.

So, 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.

Let's look at different types of productive activities:

### 1. Work inside the housing unit.

At the most basic level, inmates can be kept productively occupied by being responsible for keeping individual cell areas clean, or by being responsible for keeping the day areas clean.

### 2. Positive unstructured activities inside the housing unit.

Inmates can be kept productively occupied with passive activities in the housing unit. These activities involve providing inmates with materials, but do not require any direction or supervision from the staff. Examples include reading, artwork, and board games.

### 3. Positive structure activities inside the housing unit.

Inmates can be kept productively occupied with organized, structured activities inside the housing unit. These activities can be organized and

Slide 49: Productive Activities

Slide 50: Productive Activities  
(Work inside...)

## Module 8 – Managing Inmate Behavior

supervised by the housing unit officer. Examples include tournaments, discussion groups, and major cleaning/painting projects.

### 4. Organized programs or work outside of the housing unit.

The final category of productive activities are organized programs or work assignments that take place outside of the housing unit. These programs are typically organized and supervised by staff other than the housing unit officer. Examples include GED classes, team sports, and inmate work programs.

As we think about implementing different types of activities, we need to develop strategies to overcome some obstacles:

- **Staffing:** use housing unit officers for some in-pod activities, use volunteers, use community agencies local colleges, designate one or more staff as activity/program coordinators.
- **Scheduling:** look at the facility schedule and time activities during slow periods
- **Space:** be creative with available space, use dayrooms for activities
- **Resources:** look for no-cost activities, use the inmate welfare fund, build partnerships with community agencies, include funding for productive activities in the jail budget.
- **Needs assessment:** base some activities around housing unit goals (safe, clean, quiet), look at the assessed needs of inmates, ask inmates, ask staff
- **Resistance:** help staff and the community understand the connection between productive activities and inmate behavior management, make sure program staff understand the connection between productive activities and inmate behavior management, identify community groups that can be advocates for jail program such as religious groups, mental health alliances, or schools

This completes our overview of the six elements of an inmate behavior management plan. Let's recap the elements:

1. Assessing the risk and need each inmate presents at various points in his or her detention.
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 occupied with productive activities.

**Note to instructor:** Remind participants that this was just an overview of Inmate Behavior Management and refer to available NIC assistance for this topic, including documents, technical assistance, and training.

Slide 51: Overcoming Obstacles to Productive Activities

Slide 52: Summary

## **Closure/Evaluation (5 minutes)**

### **Review of module objectives**

We have spent this module discussing the importance of managing inmate behavior and the elements of an inmate behavior management plan. Let's take a look at our objectives for this session:

- Participants will identify indicators that show whether inmates' behavior is managed and under staff control.
- Participants will define the benefits of effectively managing inmate behavior for staff, inmates, and the community.
- Participants will identify the six elements of an inmate behavior management plan and analyze the relationship of each element to managing inmate behavior.
- Each participant will create an individual action plan to improve inmate behavior management in his or her jail.

Slide 53: Module Objectives

Slide 54: Module Objectives

Slide 55: Action Planning

Now let's take a few minutes for you to set some priorities for your jail in terms of inmate behavior management. Please turn to your Action Plan Workbook. Using what you have learned in this module, complete the assessment items, list three items in need of improvement, select your top priority, and write an action plan for that item.

**Module 8 – Managing Inmate Behavior**



# Lesson Plan

<b>Initiative:</b> Jail Administration	
<b>Program:</b> Jail Administration	
<b>Module 9: Developing a Fire, Safety, and Sanitation Plan</b>	<b>Time:</b> 4 hours

## 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.

**Target Population** 20 – 36 Jail Administrators or a team composed of the jail administrator and agency head (e.g. sheriff) or the jail administrator and assistant administrator.

## 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.

## Equipment and Supplies

Chart pads, markers, masking tape, computer/laptop, LCD projector, screen, participant manual and action plan workbook, Video: Lockup USA Vol. 1, Issue 3: *Fire Safety* or video clip embedded in PowerPoint presentation, fire scenario handouts: Harrison County, Mississippi; Lancaster County, South Carolina; Mitchell County, North Carolina.

**Development Date:** July 2000

**Revised:** August 2010

## PRESENTATION GUIDE

### Anticipatory Set (10 minutes)

#### Video: 5 minutes

#### Harrison County, Mississippi Jail Fire

## TRAINER'S NOTES

Slide 1: Developing a Fire, Safety and Sanitation Plan (Video Embedded)

**Note to instructor:** A three-minute clip of television news coverage of the Harrison County, MS jail fire is embedded in the PowerPoint presentation. Do not provide any introductory background to the video, simply introduce the module and play the video.

It's hard to imagine the devastation, shock, and emotional impact on staff, inmates, and the community, resulting from a serious fire in the jail. Yet, it can happen anywhere, to anyone, even with a new physical plant with adequate staffing.

#### Lecture: 5 minutes

#### Module objectives

In this module, we are going to explore some ideas for making your jail the safest and cleanest possible environment so you can protect staff, inmates, and the community from harm resulting from fire, accidents, or sanitation problems.

Let's look at our performance objectives for this module:

- 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.

Slide 2: Module Objectives

While we are going to cover fire, safety, and sanitation as separate topics in this module, they are closely connected and should be considered together as a priority for your jail. As the jail administrator, you need to continuously emphasize all three as a significant part of the mission of your jail. Beyond the need to promote a professional jail organization by supporting fire safety, workplace/living safety, and sanitation, it all goes back to the "failure to protect" liability that compels us to keep people safe while being held or working in our jails.

## Module 9 – Developing a Fire, Safety, and Sanitation Plan

### **Instructional Input (50 minutes)**

#### **Lecture: 25 minutes**

##### **Jail fire case studies**

Let's go through some of the findings of the investigation report conducted in the aftermath of the Biloxi jail fire as reported by James Bell in ***Fire Journal*** (November 1983).

**Note to instructor:** Distribute handout summarizing the Harrison County fire. Read highlights from ***Fire Journal*** (November 1983) from the power point slide and the case study handout. The goal is for the participants to clearly see what things went wrong during the fire.

Twenty-five years later, the impact of this jail fire is still felt in the Biloxi community. Litigation is important, but the impact on the jail and the community goes far beyond litigation.

Now let's look at some actual quotes from survivors of jail fires.

**Note to instructor:** Read each quote and comment briefly on the significance of each. Ask participants what problem is apparent or will result from each quote in terms of dealing with the emergency situation.

Let's look at notes from another jail fire.

**Note to instructor:** Distribute handout summarizing the Lancaster County, South Carolina jail fire. Read through and discuss the case study. Again, the goal is for the participants to clearly see what things went wrong during the fire.

Both of these fires took place 25 – 30 years ago. Can catastrophic jail fires still occur? Let's look at one more case study.

**Note to instructor:** Distribute handout summarizing the Mitchell County, North Carolina jail fire. Read through and discuss the case study. Again, the goal is for the participants to clearly see what things went wrong during the fire.

#### **Large group discussion: 5 minutes**

##### **Sources of information on requirements and codes**

Before we go on, let's talk about codes and requirements concerning fire, safety, and sanitation in our jails. These codes can help you when developing policy and procedure, training, and inspection programs.

Slide 3: Harrison County Jail Fire

Slide 4: Quotes From Survivors of Jail Fires

Slide 5: Quotes From Survivors of Jail Fires

Slide 6: Issues: Biloxi and More

Slide 7: Assignment

## Module 9 – Developing a Fire, Safety, and Sanitation Plan

**Ask participants:** What are some sources of information on the codes and requirements concerning fire, safety, and sanitation in the jail?

**Note to instructor:** Solicit responses from the group. List responses on an easel pad. Add sources that the participants miss. Encourage participants to list the identified sources in their participant manuals.

- Fire department/fire marshall
- Insurance company
- Standards
- NFPA (National Fire Protection Association): Life Safety Code for both existing (chapter 23) and new jails (chapter 22)
- OSHA (Occupational Safety and Health Administration)
- NIC

Now that we have identified informational references, let's talk about each of our three topics, beginning with **fire safety**.

**Lecture: 20 minutes**

### **Developing a fire safety plan**

The basic problem is that **you build a jail to keep people in**, and when you need to get them out quickly, everything you built into building, and train staff to do, works against you.

In order to address fire safety in your jail, you need to have a fire plan. You need to make the plan part of everyone's daily life in the jail.

The first step in your plan is to **designate & train someone on staff as your fire safety specialist**.

The National Fire Protection Association (NFPA) has developed a simplified, five-part fire safety plan. We'll list the five parts and then go into each in more depth.

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 to pull it all together.

Now let's go through each component of the NFPA fire safety plan:

1. Ignition Control

Slide 8: Fire Safety

Slide 9: You Need to Have a Fire Safety Plan

Slide 10: Simplified Fire Safety Plan Five Parts

Slide 11: Ignition Control

## Module 9 – Developing a Fire, Safety, and Sanitation Plan

Keys to ignition control include:

- Controlling smoking materials
- Looking for electrical spark sources
- Looking for open flames
- Implementing and supporting effective inmate grievance procedures

**Ask participants:** Why are effective inmate grievance procedures key to ignition control?

**Possible response:** Many jail fires are started by inmates.

Seventy per cent of jail fires are set by inmates, many or most because they were angry with the jail.

### 2. Fuel Control

Slide 12: Fuel Control

Keys to fuel control include:

- Controlling amounts of allowed materials (volume)
- Limiting types of allowed materials (variety). Make sure that the mattresses in your jail are of fire retardant material.
- Controlling the arrangement of allowed materials (location and configuration). The neater things are, the less likely they are to ignite.

There is a relationship between “flashover” and combustible loading; the more/greater the combustible load, the quicker flashover occurs.

**Flashover** occurs when heat has built up to the point that, in essence, *everything* in the area becomes fuel, ignites, and burns - including the paint of the wall, etc. Flashover is defined as the “*simultaneous ignition of combustible materials in an area spreading heat, smoke, and combustion gases.*”

In cells and in common areas, you need to balance the need to control loading in order to maintain staff and inmate safety with inmates’ rights and needs.

### 3. Occupant Protection

Slide 13: Occupant Protection

Reliable evacuation is the best form of protection.

Another option is to defend in place. However, you really need to think this through carefully. Are you really confident in your staff, building systems, and fire protection response time to do this?

## Module 9 – Developing a Fire, Safety, and Sanitation Plan

Having practice fire and evacuation drills will make for better facility evacuation in the event of an emergency. If you really want to enhance safety, you should always move inmates during drills. Consider using volunteers to simulate moving high-risk inmates.

Whatever you decide, you need to know what you plan to do, and you need to be sure your staff knows the plan.

### 4. Detection and Suppression

Adequate fire detection systems provide an early warning. Fire detection systems can be manual or automatic.

An alarm system is critical; again the system can be manual or automatic.

Fire suppression systems include sprinklers, portable fire extinguishers, hoses, air packs, use of standpipes, the water distribution system, fire pumps, etc. Again, suppression systems can be manual or automatic.

It is critical to confirm the effectiveness of your fire detection and suppression systems through testing and inspection.

### 5. Training and planning

Fire safety training and planning includes the following:

- Staff training and education on all components of the fire safety plan, including drills to ensure staff's ability to perform their duties effectively
- Staff preparation, including providing the equipment needed to effectively perform duties
- Inmate education, including drills, so that inmates know what to do in case of a fire or other emergency
- Emergency policy and procedure covering both prevention and response

Finally, support your fire plan through a comprehensive fire inspection program that includes:

- Designating and training a **fire safety specialist** on your staff
- Developing a thorough fire inspection form
- Conducting internal inspections on a weekly and monthly basis
- Requiring external inspections at least annually by a local or state fire official
- Implementing quarterly testing of all alarms, devices, equipment, and devices, by a qualified individual

Slide 14: Detection and Suppression

Slide 15: Training and Planning

Slide 16: Inspection Program

## Module 9 – Developing a Fire, Safety, and Sanitation Plan

**Break:** (10 minutes)

**Instructional Input:** (50 minutes)

**Lecture/Large Group Discussion: 40 minutes**

**Developing a sanitation plan**

Now let's go through a similar plan for upgrading and maintaining the level of sanitation in your facility.

As we discussed earlier, there is no nationwide equivalent for NFPA for sanitation, and you need to rely on state and local health codes and restaurant standards, etc in this area. But even without national guidelines, there are essential **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 a food service inspection program.
- Develop, implement, and enforce a preventive maintenance plan.
- Develop, implement, and enforce a sanitation inspection program.
- Develop, implement, and enforce an incentives program for staff and inmates.
- Develop and implement a training and education program for staff and inmates.

Let's briefly discuss each component on the sanitation plan:

**Ask participants:** What are some key elements of a housekeeping plan?

**Note to instructor:** Solicit responses from participants, touching briefly on any areas that participants miss:

- Identify all areas of the facility
- Identify who is responsible for cleaning each area (staff, contractors, inmates, inmate workers, building engineers, others)
- Identify responsibility for supervising the implementation of the housekeeping plan
- Develop and implement a system for work/repair orders with follow-up to track completion
- Develop and implement a system for emergency repairs

Slide 17: Jail Sanitation

Slide 18: Components of a Jail Sanitation Plan

Slide 19: Housekeeping Plan

## Module 9 – Developing a Fire, Safety, and Sanitation Plan

- Develop processes to inventory, order, and supervise the use of cleaning supplies and cleaning equipment
- Develop processes to control and inspect toxics, caustics, and flammables, including proper labeling and storage
- Conduct follow-up inspections to assure that the housekeeping plan is implemented.

**Ask participants:** What are some key elements of a waste management plan?

**Note to instructor:** Solicit responses from participants, touching briefly on any areas that participants miss:

- Address all solid, liquid, and toxic wastes
- Identify & address hazardous and bio-hazardous wastes
- Cover collection, movement in facility, depository, pickup, etc.
- Require use of approved containers

**Ask participants:** What are some key elements of a water supply plan?

**Note to instructor:** Solicit responses from participants, touching briefly on any areas that participants miss:

- Regular water testing
- Certification by a reliable lab
- Samples taken in several areas, including kitchen, housing, and showers
- Document water temperatures in kitchen, housing, showers, and staff areas on a regular basis

**Ask participants:** What are some key elements to consider for laundry services?

**Note to instructor:** Solicit responses from participants, touching briefly on any areas that participants miss:

- Routine linen exchange at least weekly
- Provisions for personal laundry
- Two-cart system for clean distribution vs. dirty collection
- Ability to sanitize clothing/bedding/mattresses when needed

**Ask participants:** What are some key elements to consider regarding inmate personal hygiene?

**Note to instructor:** Solicit responses from participants, touching briefly on any areas that participants miss:

- Stress personal hygiene in the inmate handbook
- Provide essential hygiene items
- Provide access to other hygiene items through commissary
- Provide access to showers and soap
- Provide individual coaching regarding personal hygiene when necessary

Slide 20: Waste Management Plan

Slide 21: Water Supply

Slide 22: Laundry Services

Slide 23: Personal Hygiene

## Module 9 – Developing a Fire, Safety, and Sanitation Plan

<p><b>Ask participants:</b> What are some key elements to consider regarding inmate hair care?</p> <p><b>Note to instructor:</b> Solicit responses from participants, touching briefly on any areas that participants miss:</p> <ul style="list-style-type: none"><li>• Ability to get hair care as needed</li><li>• Medical screening includes head and hair</li></ul>	Slide 24: Hair Care
<p><b>Ask participants:</b> What are the key elements of vermin and pest control?</p> <p><b>Note to instructor:</b> Solicit responses from participants, touching briefly on any areas that participants miss:</p> <ul style="list-style-type: none"><li>• Regular services by a vermin and pest control professional</li><li>• Maintain a pest control contract</li><li>• Monthly inspections, with service as indicated</li><li>• Document pest control visits (log when pest control services are in the building on a master log)</li><li>• Daily staff logs note any evidence of vermin and/or pests</li></ul>	Slide 25: Vermin and Pest Control
<p><b>Ask participants:</b> What are key sanitation issues in food services?</p> <p><b>Note to instructor:</b> Solicit responses from participants, touching briefly on any areas that participants miss:</p> <ul style="list-style-type: none"><li>• Require and enforce hand washing; post hand-washing signs</li><li>• Store dry goods in proper locations in approved containers</li><li>• Record temperatures in coolers and freezers daily</li><li>• Control cleaning materials</li><li>• Daily cleanup</li><li>• Daily, weekly, and monthly inspections in kitchen and food storage areas</li></ul>	Slide 26: Food Services
<p><b>Ask participants:</b> What are the key elements of a preventative maintenance plan?</p> <p><b>Note to instructor:</b> Solicit responses from participants, touching briefly on any areas that participants miss:</p> <ul style="list-style-type: none"><li>• Maintain a list of required routine pre-emptive activities</li><li>• Include air handlers, mechanical areas, control rooms, locking devices, and building systems in a preventative maintenance plan</li></ul>	Slide 27: Preventative Maintenance Plan
<p><b>Ask participants:</b> What are the key elements of a sanitation inspection program?</p> <p><b>Note to instructor:</b> Solicit responses from participants, touching briefly on any areas that participants miss:</p> <ul style="list-style-type: none"><li>• Internal inspections: daily by line staff in their areas, weekly by supervisors, monthly by the sanitation specialist and the jail administrator</li></ul>	Slide 28: Sanitation Inspection Program

## Module 9 – Developing a Fire, Safety, and Sanitation Plan

- External inspections: quarterly in key areas by the health authority, annually facility-wide by the health authority

**Ask participants:** What are the key components of an incentives program?

Slide 29: Incentives Program

**Note to instructor:** Solicit responses from participants, touching briefly on any areas that participants miss:

- Develop a program of rewards for keeping all areas clean
- Include both staff and inmates
- Set high standards – you will get what you **expect!**
- Back standards with inspections – you will get what you **inspect!**

**Ask participants:** What are some keys in sanitation training and education?

Slide 30: Training and Education

**Note to instructor:** Solicit responses from participants, touching briefly on any areas that participants miss:

- Train **all** staff in sanitation issues
- Orient inmates in personal hygiene and cleaning expectations
- Train inmate workers in cleaning tasks

### Lecture: 10 minutes

#### Workplace safety

Slide 31: Workplace Safety

Now let's look at upgrading and maintaining workplace safety in your facility. Like fire safety and sanitation, you need to have a plan to address workplace safety. Safety is everybody's business:

- Staff
- Inmates
- Contractors
- Visitors

Slide 32: Workplace Safety  
(It's everybody's business)

The goal of workplace safety is **prevention** – find accidents **before** they happen!

Slide 33: The Goal of Workplace Safety

The most common causes of accidents include horseplay, unsafe behavior (inattentive behavior, stupid behavior, beyond stupid behavior), and unsafe conditions.

Slide 34: Most Common Causes of Accidents

**Ask participants:** What are some typical workplace safety hazards in a jail?

Slide 35: Safety Hazards

**Note to instructor:** Solicit responses from participants, touching briefly on any areas that participants miss:

- Lack of personal protection
- Walking and working surfaces (trip and fall hazards)
- Machine guarding

## Module 9 – Developing a Fire, Safety, and Sanitation Plan

- Electrical hazards
- General housekeeping
- Clutter (trip and fall hazards)
- Chemicals (caustic, toxic, or flammable)
- Noise hazards
- Biological hazards
- Unsafe practices

The key to workplace safety is **zero tolerance**. Your plan to enforce zero tolerance should include:

- Appointing and training a **safety officer**
- Providing training and education on workplace safety to staff and inmates
- Supervising the behavior of staff and inmates
- Implementing inspections on a weekly and monthly basis
- Immediately correcting any identified deficiencies: correct unsafe behavior, correct unsafe conditions, and document the corrective action

In terms of workplace safety, **your risk management entity is your best friend**. There are a variety of sources of voluntary assistance for upgrading and maintaining workplace safety:

- County risk management department
- Association of Counties for risk management, insurance trust, etc.
- Private risk managers and safety specialists
- NIOSH – National Institute of Occupational Safety and Health

When nothing else works, you may want to use the “enforcers”. These agencies generally will not provide advisory inspections, only mandatory compliance inspections. These agencies write compliance orders and can levy fines:

- State Occupational Health and Safety Administration (OSHA)
- Federal OSHA

This completes our review of the key elements of plans to address fire safety, sanitation, and workplace safety in your jail. After the break, you’ll have an opportunity to do some exercises applying what we have been talking about.

**Break (10 minutes)**

Slide 36: Workplace Safety (Zero Tolerance)

Slide 37: Workplace Safety (Safety officer...)

Slide 38: Workplace Safety (Finally...)

Slide 39: Workplace Safety (County risk...)

Slide 40: The Hammer

## Module 9 – Developing a Fire, Safety, and Sanitation Plan

### **Guided Practice (40 minutes)**

#### **Small group exercise: 40 minutes**

#### **Understanding and applying fire, safety, and sanitation standards**

Your table group will serve as a consultant to the rest of the class on specific fire, safety, and sanitation issues. You will be using the ACA standards as an information source. Please find, read, and discuss your assigned ACA 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 ACA 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.

Slide 41: Exercises

**Note to instructor:** Assign each table group one set of standards. Direct the groups to get both of their assigned standards completed thoroughly. Point out that in the 1<sup>st</sup> edition ACA Core Jail Standards, operational activities are usually reflected in the **expected practice**, administrative activities are usually reflected in the **protocols**, and documentation is usually reflected in the **process indicators**. Allow groups 20 minutes to prepare their reports, and 20 minutes for the report-out.

#### **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 Regulations)
- 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)
- 1ACORE1C-03 (Immediate Release of Inmates)

## **Guided Practice (50 minutes, including break)**

### **Small Group Exercise: 40 minutes**

#### **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.

**Note to instructor:** Direct each group to a topic. Allow 20 minutes for the groups to prepare their products and 20 minutes for the report out. Tell the group to include a 10-minute break during the preparation time.

**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 de-briefing, 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. 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.

## **Closure/Evaluation (5 minutes)**

### **Review of performance objectives**

Now you have knowledge, skills, and tools that you can apply to your facility back home to make it as safe and clean as possible. Let's see what we have accomplished:

- 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 fires, 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.

Slide 42: Module Objectives

## **Independent Practice (15 minutes)**

Now let's take a few minutes for you to set some priorities for your jail in terms of fire, safety, and sanitation. Please turn to your Action Plan Workbook. Using what you have learned in this module, complete the assessment items, list three items in need of improvement, select your top priority, and write an action plan for that item.

Slide 43: Action Planning

**Module 9 – Developing a Fire, Safety, and Sanitation Plan**



# Lesson Plan

<b>Initiative:</b> Jail Administration	
<b>Program:</b> Jail Administration	
<b>Module 10: Managing the Budget</b>	<b>Time: 2 hours</b>

## 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 to identify possible reasons for spending deviations, and develop recommended solutions to control spending. Individually, participants create action plans to address managing the budget in their own jails.

**Target Population**    20 – 36 Jail Administrators or a team composed of the jail administrator and agency head (e.g. sheriff) or the jail administrator and assistant administrator.

## 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, including planning expenditures, monitoring expenditures, analyzing costs, and controlling expenditures.
- 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.

## Equipment and Supplies

Chart pads, markers, masking tape, computer/laptop, LCD projector, screen, participant manual and action plan workbook, one copy for each participant of the National Institute of Corrections' three-volume *Budget Guide for Jail Administrators*, by Mark D. Martin, September 2002.

**Development Date: February 2005**

**Revised: August 2010**

**PRESENTATION GUIDE****Anticipatory Set (5 minutes)****Lecture: 5 minutes.****Relationship between budget and achieving mission and goals**

This week we have been focusing on the role of the jail administrator in ensuring that operations contribute to achieving the jail's identified mission and goals. An effectively managed budget is another tool the administrator uses to guide operations toward achieving mission and goals.

**Ask participants:** How is the budget a tool for achieving the jail's mission and goals?

**Anticipated response:** Achieving mission and goals requires resources and the jail budget is the primary source of funding for jail operations.

The jail budget serves as an operational guide for the jail; it directs financial resources to specific jail activities. These activities should be aligned with the jail's overall mission and goals. By effectively managing the budget, the jail administrator uses allocated resources to achieve the jail's mission and goals.

Let's review our objectives for this module:

- After a brief lecture and large group discussion, participants will describe the budget process and the jail administrator's role in managing the budget, including planning expenditures, monitoring expenditures, analyzing costs, and controlling expenditures.
- 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.

**Instructional Input (40 minutes)****Lecture: 5 minutes****Introducing the budget process**

**Note to instructor:** Tell participants that we will be covering only a brief amount of material on budgeting today, and that more in-depth material can be found in NIC's three-volume *Budget Guide for Jail Administrators* and in the *Jail Administrator's Guide*.

**TRAINER'S NOTES**

Slide 1: Managing the Budget

Slide 2: Module Objectives

Slide 3: Budget Process

## Module 10 – Managing the Budget

As one of the core functions of local government, the jail obtains the financial resources it needs to operate through its jurisdiction's annual ***budget process***. This process is defined as the activities necessary to prepare the legal document (budget) that appropriates funds over a fixed period for a local government's various functions and services. The period for which a budget is authorized typically spans a fiscal year that corresponds to the calendar year or another 12-month period. The budget process, however, takes place over a longer period of time that starts well before the actual fiscal year begins. The ***budget cycle*** is the period from initial budget preparation through approval, implementation, and evaluation of the adopted budget.

Slide 4: Budget Cycle

**Note to instructor:** Use the slide graphic to demonstrate the circular budget cycle.

Let's break the budget cycle into two main activities: budget development and budget management. ***Budget development*** includes the following activities:

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

Slide 5: Budget Development

***Budget management*** includes the following activities:

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

Slide 6: Budget Management

### Lecture: 5 minutes

#### Jail administrator's role in the budget process

**Ask participants:** What is your role in ***budget development***?

**Anticipated responses:** Will vary.

Slide 7: Jail Administrator's Role

**Note to instructor:** Emphasize that the level of involvement the jail administrator has in ***budget development*** varies from one jurisdiction to the next. Some jail administrators may have their budget developed by a parent agency and have little opportunity for input. Others may be totally responsible for their jail's budget development process.

## Module 10 – Managing the Budget

**Ask participants:** What is your role in *budget management*?

**Anticipated responses:** Will vary.

**Note to instructor:** Emphasize that regardless of the jail administrator's level of involvement in developing the budget, he or she is ultimately accountable for spending the funds appropriately and staying within budgeted amounts – *budget management* is an ongoing responsibility of the jail administrator.

If effectively managed, the budget can be a powerful administrative tool for the jail administrator. Effective jail budget management can:

- Increase the jail administrator's credibility with funding decision-makers and the public.
- Provide a means of implementing the jail administrator's philosophy.
- Focus resources on the needs and issues identified as priorities.
- Maximize staff productivity by defining the work of the organization.
- Increase public support for the jail by demonstrating good stewardship of public funds and by producing positive results.
- Increase the jail's potential for achieving goals and objectives.

For the rest of the module, we'll be looking more closely at key elements of *managing the budget*.

### Lecture/large group discussion: 10 minutes

#### Planning and monitoring expenditures

**Note to instructor:** Inform participants that there are several types of budgets. The most common found in jails, and the one we will use today in our examples and exercises, is the *line item* budget. Provide a basic definition of a line item budget: outlays are grouped according to spending category – allows precise accounting and ongoing tracking of expenditures.

Managing the jail's budget begins with developing spending forecasts at the beginning of the fiscal year. By making monthly or quarterly estimates of spending in major cost categories, you can set benchmarks to monitor spending throughout the year. At regular intervals, request expenditure reports to compare actual spending with the forecasts.

When you receive an expenditure (or budget) report, review all of the expenditure accounts for reasonableness and note any significant variations from expected spending levels.

Slide 8: Effective Budget Management

Slide 9: Line Item Budget

Slide 10: Planning and Monitoring Expenditures

## Module 10 – Managing the Budget

<p><b>Ask participants:</b> What might be some red flags to look for in the budget report?</p> <p><b>Anticipated responses:</b> Spending is significantly higher than anticipated in a particular category, overspending by percent of the year elapsed, changes in expenses that should be “fixed”, line items with no expenditures.</p> <p><b>Note to instructor:</b> Ask participants to provide specific examples of red flags. Provide examples of the following red flags, if not mentioned by participants:</p> <ul style="list-style-type: none"><li>• Variations in accounts where expenses are expected to be consistent for each period.</li><li>• Expenditures significantly larger than forecasted.</li><li>• Year-to-date expenditures significantly higher than the percent of time elapsed.</li><li>• Large or long-term outstanding encumbrances.</li><li>• Accounts with no activity for several months.</li></ul>	<p>Slide 11: What are Some Red Flags?</p>
<p><b>Lecture/large group discussion: 10 minutes</b></p> <p><b>Analyzing and controlling expenditures</b></p> <p>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.</p> <p><b>Ask participants:</b> What are some possible reasons for expenditures that are higher than forecasted?</p> <p><b>Anticipated responses:</b> Costs have gone up, the number of inmates needing the item has gone up, misuse or mismanagement of the item (overtime, inventory, etc.).</p> <p><b>Ask participants:</b> Besides the reasons we have just talked about, what may explain expenditures that are larger than the percent of time elapsed in the budget?</p> <p><b>Anticipated response:</b> Expenditures may vary with the time of year, based on weather, inmate population fluctuations, etc.</p> <p>Also consider the mechanics of the budget – are bills being paid in a timely manner, are expenditures being accurately recorded and reported – particularly when analyzing uneven monthly expenditures, outstanding encumbrances, or accounts with no activity.</p>	<p>Slide 12: Analyzing and Controlling Expenditures (Reasons...)</p>

## Module 10 – Managing the Budget

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

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

**Anticipated responses:** Reduce use, find a new, less expensive product or supplier, move money from a lower priority item to cover increased costs, request a budget adjustment.

**Ask participants:** What about if you discover misuse or mismanagement of an item?

**Anticipated response:** Correct the problem, hold responsible parties accountable.

**Note to instructor:** List the strategies suggested by participants on the chart pad. Point out that several of the strategies involve making internal adjustments in operations to more effectively manage resources without transferring funds or requesting budget increases.

### Lecture: 5 minutes

#### Making necessary adjustments

As you mentioned, one strategy is to transfer surplus funds from one budget category to cover shortfalls in another category. The extent of the jail administrator's authority to transfer funds is typically set out in the jurisdiction's budget transfer policy. You are responsible for knowing this policy and following it in making adjustments.

Another strategy you mentioned was to seek budget increases to pay for unexpected expenses. Usually, the funding authority, through formal budget amendment, must approve any increase in the authorized budget for the jail.

An important element of any of these strategies is involving staff in managing the budget. The administrator can gain staff support by providing feedback regarding the budget status. Feedback creates a sense of staff ownership in the budget and a sense of responsibility for being good stewards of the budget resources. It allows staff to contribute by maximizing productivity, deferring purchases, and adjusting work processes to stay within the budget.

Slide 13: Analyzing and Controlling Expenditures (Strategies...)

Slide 14: Making Adjustments

Slide 15: Involve Staff in Managing the Budget

## Module 10 – Managing the Budget

### Lecture: 5 minutes

#### Cost analysis

One tool you can use to evaluate expenditures is ***cost analysis***. Cost analysis involves calculating unit costs for jail expenditures. Cost analysis allows you to look at how costs are changing over time. You can use this information to determine the best course of action to take to manage the budget. Cost analysis also gives you a way to compare your costs to those of other jails and to communicate information about jail operations and expenditures to your sheriff and funding authority.

**Note to instructor:** Refer participants to the list of cost analysis calculations in their manuals. Review one or two examples:

**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.

Slide 16: Cost Analysis

### Break (10 minutes)

## Module 10 – Managing the Budget

### **Guided Practice (45 minutes)**

#### **Small Group Exercise: 20 minutes**

##### **Monitoring expenditures**

Your manual includes several sample reports showing partial budget figures. 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.

Slide 17: Small Group Exercise (Monitoring expenditures)

**Note to instructor:** Assign each group a scenario jail budget report in the participant manual. Allow 10 minutes for groups to complete their work and 10 minutes for the report out. Expected red flags for each group are listed here for the instructor's reference.

Group 1: Farmland County – Over-expenditures in Permanent Part-Time, Overtime, Food Costs, and Hospital and Lab Services.

Group 2: Mountain County – Outstanding Encumbrances in Telephone and Cable; Over-expenditures in Gas, Food Service Personnel, and all Medical Services line items.

Group 3: Metropolitan County – Outstanding Encumbrances in Personnel Insurance line items; Over-expenditures in Telephone and Cable and Food Costs.

Group 4: Ocean County – Over-expenditures in Permanent Part-Time, Overtime, Water and Sewer, and all Medical Services line items.

During the report out, make sure that groups list more than one possible explanation for the red flags they have identified.

#### **Small Group Exercise: 25 minutes**

##### **Analyzing and controlling expenditures**

In your small groups, review and discuss the cost analysis information for your assigned scenario. The sheriff has asked for an explanation for the increase in this expenditure, and has asked for your plan to control the expenditure in the future. Select a recorder, a timekeeper, and a reporter. Prepare a report summarizing your analysis and plans for control. You will have 15 minutes to complete your work.

Slide 18: Small Group Exercise (Analyzing and controlling expenditures)

## Module 10 – Managing the Budget

**Note to instructor:** Assign each group the same scenario jail as in the previous exercise. Allow 15 minutes for groups to complete their work and 10 minutes for the report out. Cost analysis calculations and explanations are listed here for the instructor's reference.

Group 1: Farmland County Jail – 2008 1<sup>st</sup> Quarter Food Cost, Per Meal, Per Inmate – \$1.26 (over-expenditure is due to increase in ADP).

Group 2: Mountain County Jail – 2008 1<sup>st</sup> Quarter Medical Cost, Per Diem, Per Inmate - \$5.26 (over-expenditure is due to increase in ADP).

Group 3: Metropolitan County Jail – 2008 1<sup>st</sup> Quarter Food Cost, Per Meal, Per Inmate - \$1.62 (over-expenditure is due to rising food cost per meal).

Group 4: Ocean County Jail – 2008 1<sup>st</sup> Quarter Medical Cost, Per Diem, Per Inmate - \$5.87 (over-expenditure is due to rising medical cost per diem).

## Closure and Evaluation (5 minutes)

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 the jail operations that contribute to achieving the overall mission of goals of the jail.

Let's review our objectives for this module:

- Participants will describe the budget process and the jail administrator's role in managing the budget, including planning expenditures, monitoring expenditures, analyzing costs, and controlling expenditures.
- Participants will analyze a sample budget document, apply cost analysis information, and develop recommended solutions to control spending.
- Each participant will create an individual action plan to address managing the budget in his or her jail.

## Independent Practice (15 minutes)

Now let's take a few minutes for you to set some priorities for your jail in terms of managing the budget. Please turn to your Action Plan Workbook. Using what you have learned in this module, complete the assessment items, list three items in need of improvement, select your top priority, and write an action plan for that item.

Slide 19: Summary

Slide 20: Module Objectives

Slide 21: Action Plan Workbook



# Lesson Plan

<b>Initiative:</b> Jail Administration	
<b>Program:</b> Jail Administration	
<b>Module 11: External Role of the Administrator</b>	<b>Time: 1 hour, 50 minutes</b>

## 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.

**Target Population**    20 – 36 Jail Administrators or a team composed of the jail administrator and agency head (e.g. sheriff) or the jail administrator and assistant administrator.

## 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.

## Equipment and Supplies

Chart pads, markers, masking tape, computer/laptop, LCD projector, screen, participant manual and action plan workbook.

**Development Date:** July 2005

**Revised:** August 2010

## PRESENTATION GUIDE

### Anticipatory Set (5 minutes)

#### Lecture/large group discussion: 5 minutes.

##### External role of the administrator

Throughout the week we have been talking about the role of the jail administrator in influencing effective operations so that the jail can achieve its mission and goals. In this module, we will be looking at the *external* role of the jail administrator – his or her responsibility to interact with individuals and groups outside of the jail.

**Ask participants:** Why is it important for the jail administrator to take an active role external to the jail?

**Anticipated responses:** The jail needs support of external individuals and agencies to obtain resources, the jail needs external support to perform its mission, if the jail is viewed positively by external individuals and organizations, there will be greater understanding and support if negative events occur in the jail.

As we know, and as we saw in the *Beyond the Myths* video, the jail for most people has been “out of sight and out of mind.” Their perceptions of the jail are often shaped by the media and what they have heard from others anecdotally. Compared with other functions of government, the jail is not a high priority for funding in many jurisdictions. Given these circumstances, in order to achieve the jail’s mission and goals, it is essential that the jail administrator (directly or through the sheriff) be involved with external stakeholders to increase understanding and support for the jail.

Let’s look at our objectives for this module:

- 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.

## TRAINER'S NOTES

Slide 1: External Role of the Administrator

Slide 2: Module Objectives

## Module 11 – External Role of the Administrator

### **Instructional Input (30 minutes)**

#### **Lecture: 10 minutes**

##### **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. This is comparable to *marketing* in the business community. The concept of marketing one's product has been a part of doing business for a long time, but it is a relatively new concept for jails. As jails focus more on effective operations and achieving a stated mission, planning and marketing for external support becomes more important. And as resources become scarcer, planning and marketing for external support becomes critical to the jail's success. To implement a marketing strategy for the jail, we need to answer some basic marketing questions.

Slide 3: Marketing the Jail

**Note to instructor:** Use the first slide to quickly review the list of questions. After reviewing the list, use the following slides to discuss each question in more depth.

- 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?** We have talked a lot about the mission of the jail – the mission defines the purpose of the jail – why it exists. We also need to be aware of what our stakeholders believe is the purpose of the jail.

Slide 4: Marketing Questions

**Ask participants:** Why is what stakeholders believe our purpose to be important?

**Anticipated responses:** If we don't meet stakeholder expectations they are less likely to support the jail, we may need to adjust what we are doing to meet stakeholder expectations, we may need to educate stakeholders as to the jail's actual mission.

Slide 5: What is our business?

**Who are our stakeholders?** Stakeholders are defined as the individuals or groups that “pay” for our services – with money or other forms of support.

Slide 6: Who are our stakeholders?

**Note to instructor:** Mention that inmates are generally considered to be jail *clients* rather than stakeholders.

## Module 11 – External Role of the Administrator

<p><b>Large group discussion: 15 minutes</b></p> <p><b>Stakeholder mapping</b></p> <p>Let's spend some time identifying the stakeholders for a typical jail.</p>	<p>Slide 7: Stakeholder Mapping Exercise</p>
<p><b>Note to instructor:</b> Draw a stakeholder map on the chart pad, placing the jail in the center circle. Ask participants to name stakeholders for a typical jail and record the responses on the chart pad. If participants do not mention the following stakeholders, prompt them to include them: funding authority, media, other criminal justice agencies (courts, police, etc.), and community members (volunteers, inmate family members, etc.)</p> <p>In addition to the above, anticipated responses include the following: the sheriff, jail staff, other sheriff's office staff, other county departments such as finance and human resources, citizen advisory boards, unions, contract service providers, citizens, victims, social services agencies, service organizations and foundations, and other local, state, and federal governmental agencies.</p>	
<p>As you can see from the stakeholder map, there are many people and organizations that have an interest in or impact on the jail and with whom you have some type of relationship. It is impossible, though, to put significant time and resources into relationships with all these people and organizations. Because your time and resources are limited, you need to identify which stakeholders are <b><i>most critical to carrying out the mission of the jail</i></b> 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.</p>	<p>Slide 8: Who are our stakeholders? (Identify your priority stakeholders)</p>
<p><b>Ask participants:</b> Which stakeholders are most critical to carrying out the mission of the jail?</p> <p><b>Anticipated response:</b> Funding authority, criminal justice agencies, the media, community members, etc.</p>	
<p><b>Note to instructor:</b> On the stakeholder map, circle the critical stakeholders mentioned by participants.</p> <p><b>Lecture: 5 minutes</b></p> <p><b>How do our stakeholders view us?</b></p> <p>After you have identified the priority stakeholders, you need to assess their current understanding of the jail and support for it. Some strategies for identifying how a stakeholder views the jail include:</p> <ul style="list-style-type: none"><li>• Observe what the stakeholder publicly says or writes about the jail, for example, elected officials or the media.</li></ul>	<p>Slide 9: How do our stakeholders view us? (What is current understanding about the jail among our stakeholders?)</p>

## Module 11 – External Role of the Administrator

- Ask individuals who interact with the stakeholder regularly, for example, jail staff interacts with community or volunteer organizations coming into the jail.
- Ask the stakeholder directly, through meetings and/or surveys.

It is very important that we remember that a stakeholder's view of us may not be accurate, indeed it may merely be their perception based on previous experiences or judgments made from television or other artificial sources.

It is also important to identify the level of understanding and support we want and need from a particular stakeholder. Do they view us in the way we want them to?

### **Guided Practice (20 minutes)**

#### **Small Group Exercise: 20 minutes How do our stakeholders view us?**

Let's take a few minutes now in your small groups to discuss how some critical stakeholders view the jail. 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 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.

**Note to instructor:** From the front of the room, ask each group to select one of the critical stakeholders identified earlier by the group, making sure each group selects a different critical stakeholder. Encourage groups to select a stakeholder that they are currently having difficulty with. If groups are unable to make a selection, assign one of the following critical stakeholders not already selected by another group: Funding authority, Media, Local criminal justice agencies (courts, police, probation, etc.), Concerned community members (volunteers, inmate families).

Allow 10 minutes for groups to complete their work and 10 minutes for the report out.

Summarize the exercise by emphasizing the importance of knowing your stakeholders and the gap between the level of understanding and support you believe they have of the jail and the desired level of understanding and support.

Slide 10: How do our stakeholders view us? (What level of understanding and support...)

Slide 11: Small Group Exercise

## Module 11 – External Role of the Administrator

### **Break (10 minutes)**

### **Instructional Input (5 minutes)**

#### **Lecture: 5 minutes**

#### **How do I gain support?**

The final step in the marketing plan is to develop and tailor strategies to enhance support or reduce opposition from our critical stakeholders. One key is to make support for the jail a “win-win” situation in which both you and the stakeholder benefit from a productive relationship.

**Ask participants:** Are there any examples of how you created a win-win situation in which a stakeholder benefited from its support of the jail?

**Anticipated response:** Will vary.

**Note to instructor:** If participants are not able to respond, describe a personal experience, for example: the funding authority provided money to implement a separate work-release facility attached to the jail which resulted in a reduction in the number of inmates in the main jail, and ultimately, a cost savings to the county.

Just as communicating with the stakeholder is an effective way to determine their current level of understanding and support, communication is the most effective way to gain support or reduce opposition.

The jail administrator can foster support for the jail by educating stakeholders, emphasizing common goals, and building partnerships with critical stakeholders.

### **Guided Practice (20 minutes)**

#### **Small group exercise: 20 minutes**

#### **Strategies for gaining support**

Now let's look at developing specific strategies to gain the support of critical stakeholders. In your small groups, for the stakeholder group you discussed in the previous exercise, consider several possible strategies to enhance their level of support for the jail. Select one strategy and determine 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.

Slide 12: How do I gain support?

Slide 13: Small Group Exercise

## Module 11 – External Role of the Administrator

You will have 10 minutes to complete your work.

**Note to instructor:** Have each group work with the stakeholder from the previous exercise. Allow 10 minutes for groups to complete their work and 10 minutes for the report out.

As groups work, encourage them to focus on strategies that are proactive, requiring the jail administrator to initiate interaction with the stakeholder. Summarize the exercise by pointing out that building support is an ongoing activity and that the jail administrator should not wait until there is a critical need before reaching out to stakeholders.

### Closure and Evaluation (5 minutes)

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 and support for the jail.

Let's review our objectives for this module:

- Participants will describe the importance of the administrator's external role in achieving the jail's mission and goals.
- Participants will identify critical jail stakeholders and describe marketing strategies to enhance support from these stakeholders.
- Participants will develop a marketing strategy for gaining the support of one stakeholder group.
- Each participant will create an individual action plan to address the external role of the administrator in his or her jail.

### Independent Practice (15 minutes)

Now let's take a few minutes for you to set some priorities for your jail in terms of the external role of the administrator. Please turn to your Action Plan Workbook. Using what you have learned in this module, complete the assessment items, list three items in need of improvement, select your top priority, and write an action plan for that item.

Slide 14: External Role of the Administrator

Slide 15: Module Objectives

Slide 16: Action Planning



# Lesson Plan

<b>Initiative:</b> Jail Administration	
<b>Program:</b> Jail Administration	
<b>Module 12: Assessing Jail Operations</b>	<b>Time: 2 hours</b>

## 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.

**Target Population**      20 – 36 Jail Administrators or a team composed of the jail administrator and agency head (e.g. sheriff) or the jail administrator and assistant administrator.

## 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.

## Equipment and Supplies

Chart pads, markers, masking tape, computer/laptop, LCD projector, screen, participant manual and action plan workbook, Sample Calendar/Assignment/Checklists handout.

**Development Date:** June 2005

**Revised:** August 2010

**PRESENTATION GUIDE****Anticipatory Set (10 minutes)****Lecture/large group discussion: 10 minutes.****Importance and benefits of assessing jail operations**

Throughout the week, we have been talking about your role as a jail administrator in ensuring effective jail operations. We've discussed a variety of tools you can use to identify sound jail practices and manage operations so that the jail can achieve its' mission and goals. In this, our final module, we will tie everything together by looking at assessing jail operations.

The jail's operations and programs should be monitored regularly through a process of inspections and reviews. As we have discussed in several earlier modules, the jail may be inspected by a number of **external** entities that have regulatory responsibility over various aspects of jail operations. In this module, we will be focusing on developing a formal **internal** monitoring system to provide timely observation and assessment of critical jail functions and help the jail administrator stay informed about programs, activities, and problems in the jail.

**Note to instructor:** Review each administrative tool represented by the previous modules. For each topic, ask why having an internal assessment process is important.

- Jail standards
- Risk management
- Policies and procedures
- Determining staffing needs
- Workforce management
- Inmate behavior management
- Fire, safety, and sanitation
- Managing the budget
- External role of the jail administrator

Summarize the discussion by emphasizing that assessment is critical to verify the effectiveness of operations in each area.

By having a formal system of internally assessing jail operations, the jail administrator can:

- Monitor compliance with standards and legal requirements
- Monitor staff compliance with policy and procedure
- Determine if the jail is meeting its goals

**TRAINER'S NOTES**

Slide 1: Assessing Jail Operations

Slide 2: Internal Assessment

Slide 3: Benefits of an Ongoing Internal Assessment Process

## Module 12 – Assessing Jail Operations

- Identify areas needing change

A staff person should be assigned to coordinate the internal assessment process to ensure that the reviews are completed and appropriate corrective action is taken, when necessary.

He or she should also track any issues, concerns, trends, or problems that surface as a result of the reviews and alert you, as administrator, of any items requiring immediate attention. The information should also feed into the facility's strategic or budget planning processes.

Let's review our performance objectives for this module:

- 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.

## Instructional Input (15 minutes)

### Lecture: 5 minutes

#### Six step internal jail assessment process

For the rest of the module we will be discussing a six step process for implementing an internal assessment program.

**Note to instructor:** Use this slide to list the six steps of the assessment process, but do not provide additional information at this time. Each step will be covered in more detail during the rest of the module.

1. Identify the functions or activities to be monitored
2. Select the most effective method of review
3. Determine the frequency of reviews
4. Assign responsibility for conducting the review
5. Establish a schedule for the reviews
6. Establish a process to correct identified deficiencies

As we look at developing the internal assessment program, it is important to establish ways to assess both **processes** and **outcomes**.

When we assess **processes**, we are asking the following questions:

Slide 4: Assign an Assessment Coordinator

Slide 5: Module Objectives

Slide 6: Six Steps in Developing an Internal Assessment Process

Slide 7: Assess Processes and Outcomes

## Module 12 – Assessing Jail Operations

- Have we established effective practices and are we implementing the practices – are we doing what we said?

When we assess **outcomes**, we are asking:

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

### **Lecture/large group discussion: 10 minutes**

#### **Step 1: Identify the functions or activities to be monitored**

The first step in an assessment process is to **identify the functions or activities to be monitored**. Identify the key operational functions and activities that you want to monitor and assess on a regular basis. This will establish the main topic areas and foundation for internal audits and reviews. Jail standards are a good place to begin. Many standards require periodic review of life, health, and safety functions.

**Ask participants:** What major jail functions should be monitored?

**Anticipated responses:** Safety, security, sanitation, inmate behavior management, food service, health care, admission and release, inmate rights, discipline, and grievance, programs and services, fiscal management, staff hiring, training, and supervision.

**Note to instructor:** Chart participant responses on the chart pad, adding any responses participants have missed, ensuring that the five functions included in the following large group example and small group guided practice have been listed: admission and release, security, safety/emergency preparedness, sanitation/hygiene, and inmate supervision/behavior management.

For each major function, you need to further identify the specific activities that need to be monitored.

**Ask participants:** For example, for admission and release, what activities do we need to monitor?

**Anticipated responses:** Admission process, release process, intake screening, inmate property receipt, storage, and release, clothing issue and return.

### **Guided Practice (20 minutes)**

#### **Small group exercise: 20 minutes**

##### **Identifying functions or activities to be monitored**

Slide 8: Step 1 – Identify Functions to Monitor

Slide 9: Small Group Exercise

## Module 12 – Assessing Jail Operations

Each small group will be assigned one of the major jail functions we have just identified. For your assigned function, using the first column on the worksheet in your 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.

**Note to instructor:** Assign each group a jail function. Allow 10 minutes for groups to complete their work and 10 minutes for the report out.

**Group 1:** Security

**Group 2:** Safety/Emergency Preparedness

**Group 3:** Sanitation/Hygiene

**Group 4:** Inmate Supervision/Behavior Management

## Instructional Input (15 minutes)

**Lecture: 5 minutes**

**Step 2: Select the most effective method of review**

Once you have identified the key functions and activities that you want to regularly monitor, you must identify the most appropriate method of review. Review methods may 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

For example, to review intake screening, you may elect to pull five files randomly each month to see that the screening was done in a timely manner, documentation was complete, and follow-up occurred, where appropriate.

To facilitate your reviews, obtain or develop a series of checklists. Tailor the checklists to be specific to your facility and specific to the method of review. 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.

Slide 10: Step 2 – Select the Best Method of Review

**Note to instructor:** Mention that the *Resource Guide for Jail Administrators* contains a variety of sample assessment checklists.

## Module 12 – Assessing Jail Operations

### Lecture: 5 minutes

#### Step 3: Determine the frequency of reviews

The frequency of review depends on the type of function or activity being reviewed. Although your needs may dictate a different schedule, as a general rule the internal audit system should include scheduled assessments of various functions on a daily, weekly, monthly, quarterly, semi-annual, or annual basis.

In many cases, jail standards dictate the frequency of reviews. For example, ACA Core Standards require the following:

#### ACA 1-CORE-2A-03

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

As a rule, the functions that are reviewed more frequently tend to impact life, health, and safety issues or are functions where there is a lot of activity that requires your ongoing attention to assure efficient operation of the facility.

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

For example, you may identify 10 functions that require a weekly review. The checklist or review requirements for each function should be coded as W1, W2, W3, etc., with the “W” representing the frequency of review, and the number representing the specific function being reviewed. This coding system will facilitate the scheduling of the reviews.

### Lecture: 5 minutes

#### 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.

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.

### Break (10 minutes)

Slide 11: Step 3 – Determine Frequency of the Reviews

Slide 12: Frequency May be Determined by Standards

Slide 13: Coding System

Slide 14: Step 4 – Assign Responsibility for Conducting the Review

Slide 15: Master Assignment List

## Guided Practice (20 minutes)

### Small group exercise: 20 minutes

#### Method, frequency, and responsibility for reviews

In your small groups, complete columns 2 - 4 of the worksheet in your participant manual by identifying the review method, frequency, and responsibility for your assigned function and the specific activities you listed earlier. Select a recorder, a timekeeper, and a reporter to share the methods you select with the large group. You will have approximately 10 minutes to complete your work.

**Note to instructor:** Allow 10 minutes for the groups to complete their work and 10 minutes for the report out.

## Instructional Input (10 minutes)

### Lecture: 5 minutes

#### Step 5: Establish a schedule for the reviews

This step involves actually scheduling the reviews on the calendar so they get incorporated into the day-to-day work of the jail. A calendar should be developed for each of the positions assigned to participate in the internal audit system. A simple approach is to enter the assigned reviews onto the calendar for each position using the code numbers (D1, W2, M2, etc.), starting with the most frequent reviews. The scheduling of the reviews in this manner assures that it gets on your staff's "radar screen" and helps you hold staff accountable for getting it done. It also allows you (and staff) to stagger the reviews over the course of the week/month/year so all the reviews don't come at the same time.

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, and
- Initiating whatever corrective action may be appropriate to the situation.

**Note to instructor:** Point out the sample master calendar in the participant manual and distribute the Sample Calendar, Assignment,

Slide 16: Small Group Exercise

Slide 17: Step 5 – Establish a Schedule for the Reviews  
(Incorporate reviews into day-to-day operations...)

Slide 18: Master Calendar

Slide 19: Step 5 – Establish a Schedule for the Reviews  
(Assigned staff are responsible for...)

## Module 12 – Assessing Jail Operations

Checklists handout.

### Lecture 5 minutes

#### 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

**Note to Instructor:** If time permits, briefly walk through the following example of a deficiency identified through the review process. Ask participants to describe how they would address the deficiency using the action plan 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.*

### Closure/Evaluation (5 minutes)

The jail administrator should develop a system to review operational practices 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; and
- 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 operation and be in a position to address issues **before** they become major problems.

Slide 20: Step 6 – Establish a Process to Correct Identified Deficiencies

Slide 21: Assessing Jail Operations

## Module 12 – Assessing Jail Operations

Let's review our objectives for this module:

- Participants will describe the importance, benefits, and steps for implementing an internal jail assessment process.
- Participants will apply the six step internal assessment process for an assigned jail function.
- Each participant will create an individual action plan to address assessing operations in his or her jail.

### **Independent Practice (15 minutes)**

Now let's take a few minutes for you to set some priorities for your jail in terms of assessing your operations. Please turn to your Action Plan Workbook. Using what you have learned in this module, complete the assessment items, list three items in need of improvement, select your top priority, and write an action plan for that item.

Slide 22: Module Objectives

Slide 23: Action Plan Workbook



# Lesson Plan

<b>Initiative:</b> Jail Administration	
<b>Program:</b> Jail Administration	
<b>Module 13: Action Plan Preparation, Report Out, and Program Close</b>	<b>Time: 2 hours – 2 hours, 20 minutes</b>

## 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.

**Target Population** 20 – 36 Jail Administrators or a team composed of the jail administrator and agency head (e.g. sheriff) or the jail administrator and assistant administrator.

## 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.

## Equipment and Supplies

Chart pads, markers, masking tape, computer/laptop, LCD projector, screen, participant manual and action plan workbook.

**Development Date:** April 2008

**Revised:** August 2010

## PRESENTATION GUIDE

## TRAINER'S NOTES

### Anticipatory Set (5 minutes)

#### Lecture: 5 minutes

Congratulations! We have now reached the final module of the *Administering the Small and Medium-Sized Jail* program. We appreciate how hard each of you has worked throughout the week, and we hope that the program has provided you with insight and information that you can use to enhance your effectiveness as jail administrators.

However, all too often, we go away to training and return home inspired, only to do nothing with what we have learned. One way to help ensure that you will be able to make changes when you return home is to create a written document – a plan for the actions you will take to make change in your jail.

Your final project for *Administering the Small and Medium-Sized Jail* is exactly that. You will present your summary action plan and thirty-day jump start plan to a small group of your colleagues and instructors.

Let's look at our objectives for this module:

Slide 1: Action Plan Preparation and Report Out

- 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.

Slide 2: Module Objectives

### Instructional Input (10 minutes)

#### Description of assignment: 10 minutes

The action planning exercises at the end of each module have captured your thoughts on the strengths and weaknesses in your own jail related to:

Slide 3: Action Plan Workbook

- 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,

## Module 13 – Action Plan Preparation, Report Out, and Program Close

- Managing the budget,
- External role of the jail administrator, and
- Assessing jail operations.

Your action plan workbook also details potential strategies to address identified weaknesses. We hope that, when you return home, you will use **all** the notes you made in your action plan workbook as a guide to enhancing operations at your jail. But today, we are going to ask you to focus on summarizing your priority goal for each module and developing a thirty-day jump start action plan detailing what you can do over the next thirty days to enhance the chances that the action plans in your workbook will be successfully implemented.

Slide 4: Assignment  
(Summarize your priority goal...)

**Note to instructor:** Refer participants to the Action Plan Report Out and Short Term Jump Start Action Plan pages in the Action Plan Workbook. Provide instructions as follows.

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 **2 -5** minutes for this.

Slide 5: Assignment (Transfer the priority goal...)

**Note to instructor:** Inform participants of when the action plan report outs will begin. If preparation is being done during class time, let participants know that the instructors are available to help if they have questions as they are working on their assignment.

Slide 6: Questions

## Action Plan Preparation (25 minutes)

**Individual preparation time: 25 minutes**

**Note to instructor:** Allow participants to work on their individual assignments. All instructors should be available to answer questions as needed.

## Module 13 – Action Plan Preparation, Report Out, and Program Close

### **Action Plan Presentations (60 – 80 minutes)**

#### **Presentations: 60 – 80 minutes**

**Note to instructor:** Divide participants into three or four groups, depending on the number of participants and instructors. Optimal group size is 6 participants, but groups may be as large as 8 participants. Assign each group a breakout room and an instructor. Allow 5 minutes for each presentation, followed by up to 5 minutes for feedback from peers and the instructor, for a total of up to 10 minutes per participant. When all presentations are complete, return to the main room for the program closeout.

**Prior to the action plan presentations, work with the other instructors to determine the make up of the small groups and, depending on the time available for the presentations, agree upon when groups will report back to the main classroom.**

#### **Closure/Evaluation (20 minutes)**

**Note to instructor:** As groups return to the main classroom, distribute program and facility evaluations. When all groups have returned and completed the evaluations, close out the program with a few words from each instructor and distribute program certificates to participants.