

# Welcome and Introductions

---

---

## Program Introduction

---

The National Institute of Corrections and our agency believe this to be the most important training for new direct supervision jail officers. It will offer techniques for effectively managing inmate behavior and housing unit activities. This will be the core of your work and how well you do this will determine how safe and secure our jail is.

This training:

- Will help to allay apprehensions and concerns you might have.
  - Will teach you specific strategies and skills for getting inmates to behave positively.
  - Includes supervisors because they must be able to support the housing unit officer.
- 
-

## Program Goals

---

This program has two primary goals. They are:

1. Detention officers will gain confidence in and enhance their ability to effectively manage inmate behavior and housing unit activities in a direct supervision jail.

---

---

---

2. By learning about the role of the direct supervision housing officer, first line supervisors will enhance their ability to support the officers in fulfilling their role and responsibilities.

---

---

## Ground Rules

---

This is an intensive program. To get the most out of it, there are some ground rules you need to know. They will be posted in the class throughout this program. If the instructors have other ground rules, you can list those here.

---

---





- From the combined list, identify the top two things your group wants to learn.

1.

---

2.

---

## Small Group Exercise

---

### Part 1 - You will have 5 minutes for this exercise.

In your groups, identify the things inmates do – their behaviors – in jail that cause problems?

<hr/>	<hr/>

**Part 2 - You will have 10 minutes for this exercise.**

Using the chart that follows, answer this question for each problem behavior listed:

If the problem behaviors you identified were significantly reduced, what would be the benefits to:

- You, as an individual.
- The jail or the staff in general.
- The inmates.
- The community.

Benefit	This Benefit is Good For:			
	Me	Jail/ Other Staff	Inmates	Community





# Direct Supervision Overview

---

---

## Performance Objectives

---

- After viewing a DVD, participants will be able to distinguish the difference between a direct supervision jail and their current jail.
- Given an independent practice, participants will complete a self-assessment about their thoughts on working in a direct supervision jail.

## Can Inmates Behave Well?

---

Ask yourself these questions:

### Can inmates behave well?

- Which answer do you choose?

Most inmates can behave most of the time.

Some inmates can behave most of the time.

Some inmates can behave some of the time.

Most inmates will not behave in jail.

### Under what circumstances might you expect inmates to behave?

For example: Inmates only behave when I look at them.

---

---

---

---

---

---

---

## So What is Direct Supervision?

---

Direct supervision combines two key elements to reduce problem inmate behavior commonly seen in jails:

- 1. Physical plant design.**
- 2. An approach to inmate management.**

There are also four fundamental characteristics of direct supervision jails. Direct supervision jails:

- 1. Have as their primary goal the safety and security of staff, inmates, visitors, and the community.**
- 2. Place staff in control of the jail through active and continuous management of inmate behavior.**

This includes:

---

---

---

---

---

- 3. Are designed to facilitate the management of inmate behavior by:**

---

---

---

- 4. Align all aspects of jail operations to support effective management of inmate behavior. This includes:**

---

---

---

---

---

---

---

---

### **Jails in America: A Report on Direct Supervision**

---

The “Jails in America” DVD gives a good overview of direct supervision and includes a lot of interview information from experienced staff and administrators in direct supervision jails. It also reflects the four fundamental characteristics of direct supervision listed above.

As you watch, note anything that seems particularly important to you, reaffirms something you already know about direct supervision, or contradicts what you know or thought you knew about direct supervision.

Each group will be assigned a general direct supervision topic to consider while you watch. After watching the DVD, each group will respond to a set of questions about the topic.

Check your group's assigned topic:

- Staff control in direct supervision
- Staff and inmate space in jails
- How assumptions about inmate behavior drive design and operations
- Communicating expectations of inmate behavior and holding inmates accountable
- Booking and how it demonstrates the direct supervision philosophy
- The role of the housing unit officer in a direct supervision jail

Notes:

---

---

---

---

---

---

---

---

---

---

## **Group Exercise - DVD Questions**

---

**You will have 10 minutes to answer the questions.**

In your groups, answer the questions about your assigned topic.

The handout you will be given includes your topic questions as well as the topic questions given to the other groups.

Focus only on your topic until it is time to report out, then you can use the handout to take notes about the topics presented by other groups.

**You will have 5 minutes to report your answers and respond to questions from the class.**





# The Role of the Direct Supervision Housing Unit Officer

---

---

## Performance Objectives

---

- Participants will be able to describe the role of the housing unit officer in a direct supervision jail.
- Given a series of jail scenarios, participants will be able to evaluate the officers' application of the 7 critical dimensions of the direct supervision housing unit officer's job.
- Given a series of common direct supervision jail situations, participants will make decisions using the decisionmaking framework presented.
- Given an individual exercise, participants will complete an independent practice based on concepts taught in the module and develop a plan for improvement.

## Officer as Key to Success

---

How do you feel about being key to the success of the new jail? Think about where you fall on this continuum and mark the response that best reflects your feeling.

THE HOUSING UNIT OFFICER IS THE KEY TO THE SUCCESS OF A DIRECT SUPERVISION JAIL.

I am really excited by this idea.    I am somewhat excited by this idea.    No fence straddling!    I am more concerned than excited by this idea.    I am really worried about this idea.

Where do you fall on this continuum?

## The Role of Officers and Supervisors in Traditional and Direct Supervision Jails

---

Take 5 minutes to answer these questions about your role in the current jail:

- **How would you describe your level of interaction with inmates in the jail?**

---

---

---

---

---

---

---

- **From whom do the inmates get their information or answers to their questions?**

---

---

- **About how much of your time do you spend inside the housing units?**

---

---

---

- **How can you tell when problems are brewing among the inmates?**

---

---

---

---

- **What is your level of authority in making decisions concerning inmates?**

---

---

---

Read this chart and think about your answers to the five questions.

**Role of the Detention Officer**

<b>Linear/Intermittent and Podular/Remote Surveillance Jails</b>	<b>Direct Supervision Jails</b>
<ul style="list-style-type: none"> <li>▪ Has minimal direct contact with inmates</li> </ul>	<ul style="list-style-type: none"> <li>▪ Has continuous direct contact with inmates</li> </ul>
<ul style="list-style-type: none"> <li>▪ Defers most decisions on non-routine inmate requests to the supervisor</li> </ul>	<ul style="list-style-type: none"> <li>▪ Is the primary decision-maker on matters involving inmates and the housing unit</li> </ul>
<ul style="list-style-type: none"> <li>▪ Refers inmates' questions to others for answers</li> </ul>	<ul style="list-style-type: none"> <li>▪ Is the inmates' primary information source</li> </ul>
<ul style="list-style-type: none"> <li>▪ Spends little or no time in the housing unit</li> </ul>	<ul style="list-style-type: none"> <li>▪ Spends the entire shift in the housing unit</li> </ul>
<ul style="list-style-type: none"> <li>▪ Reacts to problems in the inmate population, often when they have reached crisis proportions</li> </ul>	<ul style="list-style-type: none"> <li>▪ Prevents and defuses problems in the inmate population</li> </ul>
<ul style="list-style-type: none"> <li>▪ Often has an adversarial relationship with inmates</li> </ul>	<ul style="list-style-type: none"> <li>▪ Relationship with inmates is that of supervisor and leader</li> </ul>
<ul style="list-style-type: none"> <li>▪ May inadvertently share authority with inmate leaders</li> </ul>	<ul style="list-style-type: none"> <li>▪ Never cedes authority to inmates</li> </ul>

**Based on your answers, which of the direct supervision roles will be new for you or require the greatest change?**

---



---



---

Now, take a minute to review the chart comparing the roles of the first-line supervisor.

### Role of the First Line Supervisor

Linear/Intermittent and Podular/Remote Surveillance Jails	Direct Supervision Jails
<ul style="list-style-type: none"> <li>▪ Makes decisions for housing unit officers</li> </ul>	<ul style="list-style-type: none"> <li>▪ Facilitates decisionmaking by the housing unit officers</li> </ul>
<ul style="list-style-type: none"> <li>▪ Deals with inmates directly on requests and housing unit issues</li> </ul>	<ul style="list-style-type: none"> <li>▪ Defers decision making on requests and housing unit issues to the officer. Supports the officers' decisions unless they clearly violate policy and procedure</li> </ul>
<ul style="list-style-type: none"> <li>▪ Solves problems for officers</li> </ul>	<ul style="list-style-type: none"> <li>▪ Advises or coaches officers in problem-solving when needed</li> </ul>
<ul style="list-style-type: none"> <li>▪ Issues directives to officers based on upper-level management decisions</li> </ul>	<ul style="list-style-type: none"> <li>▪ Conveys information from administration to officers and from officers to administration, ensuring two-way communication</li> </ul>
<ul style="list-style-type: none"> <li>▪ Focuses only on his/her shift</li> </ul>	<ul style="list-style-type: none"> <li>▪ Creates opportunities to communicate and exchange ideas with other staff</li> </ul>
<ul style="list-style-type: none"> <li>▪ Concentrates primarily on tasks</li> </ul>	<ul style="list-style-type: none"> <li>▪ Concentrates more on supervising staff and ensuring operations support the facility mission</li> </ul>

**How is the role of a supervisor in a direct supervision jail similar to or different than the role of the first-line supervisor in our current jail?**

---



---

## The 7 Critical Dimensions (of a Direct Supervision Housing Unit Officer's Role)

---

In 1989, a study sponsored by NIC identified 7 critical dimensions that effectively defined the housing officer's role in a direct supervision jail. These 7 dimensions are:

1. Managing the living unit to assure a safe and humane environment.
2. Handling inmate discipline.
3. Responding to inmate requests.
4. Building positive rapport and personal credibility with inmates.
5. Supervising in a clear, well-organized and attention-getting manner.
6. Resolving inmate problems and conflicts.
7. Maintaining effective administrative and staff relations.

So, what specifically do these mean....and why are they important to your ability to manage the unit?

### **1. Managing the living unit to assure a safe and humane environment.**

Key Point: Inmate supervision is approached proactively, allowing officers to prevent negative behavior and incidents.

Importance:

---

---

Dimension 1 (cont.)

---

---

---

Key Point: Officers immediately respond to and deal with negative behavior.

Importance:

---

---

---

---

---

---

Key Point: Officers use observation and communication skills to maximize compliant inmate behavior.

Importance:

---

---

---

---

Dimension 1 (cont.)

Key Point: Officers clearly explain facility rules and behavioral expectations to inmates.

Importance:

---

---

---

---

---

---

---

Key Point: Officers never give authority to the inmates, ensuring that officers are the only leaders in the housing units.

Importance:

---

---

---

---

---

---

---

## Now it is Your Turn!

---

**Working in your groups, you will have 15 minutes to chart your answers and 5 minutes to present your report and respond to questions from the other groups.**

Each group will be assigned a dimension. For each dimension, we have listed the key points identified in the original study. Consider each key point and explain why it is important to your success in managing a direct supervision housing unit.

### **2. Handling inmate discipline**

Key Point: Officers take actions that are fair and consistent when disciplining inmates.

Importance:

---

---

---

---

---

---

---

---

Dimension 2 (cont.)

Key Point: Officers apply *progressive discipline*, which includes both formal and informal sanctions when dealing with negative behavior and rule violations. Informal disciplinary options range from counseling and discussion with the offending inmate to sending the inmate to his room for a short period of time. Formal disciplinary options include extended cell lockdowns and transfer from the unit.

Importance:

---

---

---

---

---

Key Point: Officers evaluate the cause for the problem behavior before disciplining.

Importance:

---

---

---

---

---

---

Dimension 2 (cont.)

Key Point: Officers tell the inmates what action they will take in response to problem behavior and their expectations for improvement in behavior.

Importance:

---

---

---

---

---

---

---

### 3. Responding to inmate requests

Key Point: It is important to acknowledge and respond to every inmate request, even when the response is to deny it.

Importance:

---

---

---

---

---

---

---

Dimension 3 (cont.)

Key Point: Officers are fair, honest, thorough, and consistent in their response to inmate requests.

Importance:

---

---

---

---

---

---

---

Key Point: Most requests can be answered by the officer. For requests they cannot answer, they involve others in the agency to get an answer.

Importance:

---

---

---

---

---

---

---

Dimension 3 (cont.)

Key Point: Requests are responded to courteously.

Importance:

---

---

---

---

---

---

---

**4. Building positive rapport and professional credibility with inmates**

Key Point: Officers set a positive tone for interaction with inmates by treating them with respect and a courteous demeanor.

Importance:

---

---

---

---

---

---

---

Dimension 4 (cont.)

Key Point: The officer maintains his composure with the inmates, regardless of the circumstance.

Importance:

---

---

---

---

---

---

---

Key Point: Officers strive for consistency in their day-to-day interactions with inmates.

Importance:

---

---

---

---

---

---

---

**5. Supervising in a clear, well-organized manner**

Key Point: Officers clearly communicate orders, requests, and requirements for task completion to the inmates.

Importance:

---

---

---

---

---

---

---

Key Point: Officers assign tasks equitably, making sure the inmates have the skills and are available to complete the tasks.

Importance:

---

---

---

---

---

---

---

Dimension 5 (cont.)

Key Point: Officers motivate inmates by using positive encouragement, constructive evaluation, and feedback on inmates' performance.

Importance:

---

---

---

---

---

---

---

Key Point: Officers check for inmate compliance with directions.

Importance:

---

---

---

---

---

---

---

## 6. Resolving inmate problems and conflicts

Key Point: Officers use conflict resolution strategies to manage housing unit problems.

Importance:

---

---

---

---

---

---

---

Key Point: Officers promptly respond to conflicts and disagreements among inmates to avoid further problems.

Importance:

---

---

---

---

---

---

---

Dimension 6 (cont.)

Key Point: Officers use creative and innovative solutions for problems when doing so will resolve the problem.

Importance:

---

---

---

---

---

---

---

Key Point: Officers gather information about conflict between inmates before giving a response. (Note: This will apply to most circumstances. Violent conflict requires immediate response to protect safety.)

Importance:

---

---

---

---

---

---

---

**7. Maintaining effective administrative and staff relations.**

Key Point: Officers assigned to the same housing unit ensure they are consistent in dealing with the inmates.

Importance:

---

---

---

---

---

---

---

Key Point: Officers know facility policies and procedures and apply them consistently.

Importance:

---

---

---

---

---

---

---

Dimension 7 (cont.)

Key Point: Officers develop and support cooperative relationships with other operational units (such as classification, kitchen programs, etc.).

Importance:

---

---

---

---

---

---

---

Key Point: Officers keep others informed about issues that are important.

Importance:

---

---

---

---

---

---

---

Keep these dimensions in mind when you are working in a housing unit. They provide much of the foundation you will need to fully understand your role as a direct supervision housing unit officer.

## **Apply Your Knowledge to a Scenario**

---

**Working in your groups you will have 20 minutes to:**

- Read the assigned scenario and identify where the key points of the 7 critical dimensions were used.

**At the end of 20 minutes, you will have 10 minutes to:**

- Compare your answers against the answer key.

## **Decisionmaking**

---

You will have more responsibility, and you will work more independently in a direct supervision jail.

But.....you won't be working in a vacuum.

You are part of three teams:

- Your shift.
- Your housing unit team, which includes all officers assigned to the housing unit across all shifts.
- The all-staff team, which includes staff in all operational units in the jail.

So, when you make your decisions, you need to consider the following:

- 1. Does my decision conform to the requirement of policy and procedure and other operational directives?**

How will I know what policies and procedures should guide my decisions?

---

---

How quickly can I get to them?

---

If they aren't immediately available, how will I get them?

---

---

**2. What am I trying to achieve?**

- Will the decision get the results I want?
- Will there be unintended negative results that outweigh any benefits?

**3. How does my decision affect the overall management of the inmate behavior in the housing unit?**

Make a note about a decision you have made (in or out of the jail) that had a broader impact, positive or negative, than you expected.

---

---

4. Who else needs to be involved in this decision and how should they be involved?

5. Who needs to be informed about this decision and how are they informed?

## Framework for Decisionmaking Exercise

---

You will be assigned two common situations experienced by direct supervision officers. For each situation, use the decisionmaking framework to determine your best response.

**You will have 15 minutes to finish this.**

Place a check mark by the situations assigned to your group..

- 1 An inmate requests to be moved to another cell to be closer to his friend.
- 2 The cells are cold and the inmates have asked for more blankets.
- 3 An inmate did a lot of extra work and asked if he could have extra food at dinner in return.
- 4 The nurse arrives for medication [ass, but you are busy and don't have time to stand by.
- 5 A large group of inmates is brought to your unit. You are too busy to go do a cell check-in to go over the cell condition with each inmate.
- 6 An inmate has too much commissary in his cell and it doesn't fit in his storage shelf. He says he will eat a lot of it before the end of your shift.

**First Assigned Situation:**

---

What am I trying to achieve?

---

---

<b>Options for response</b>	<b>Will I get what I am trying to achieve?</b>
	<input type="checkbox"/> Yes <input type="checkbox"/> No
	<input type="checkbox"/> Yes <input type="checkbox"/> No
	<input type="checkbox"/> Yes <input type="checkbox"/> No
	<input type="checkbox"/> Yes <input type="checkbox"/> No

What are the likely impacts and/or consequences of my best option(s)?

---

---

---

---

---

What does the policy say?

---

---

---

---

---

Who needs to be involved and how?

---

---

---

---

---

Who needs to be informed and how?

---

---

---

---

**Second Assigned Situation:**

---

What am I trying to achieve?

---

---

<b>Options for response</b>	<b>Will I get what I am trying to achieve?</b>
	<input type="checkbox"/> Yes <input type="checkbox"/> No
	<input type="checkbox"/> Yes <input type="checkbox"/> No
	<input type="checkbox"/> Yes <input type="checkbox"/> No
	<input type="checkbox"/> Yes <input type="checkbox"/> No

What are the likely impacts and/or consequences of my best option(s)?

---

---

---

---

---

What does the policy say?

---

---

---

---

---

Who needs to be involved and how?

---

---

---

---

---

Who needs to be informed and how?

---

---

---

---

---

## Independent Practice

---

**You will have 15 minutes to individually complete the independent practice.**

This module focused on the key elements of the officer's role in a direct supervision housing unit and on decisionmaking.

### **Officer's Role: Critical Dimensions**

The seven critical dimensions of the officer's role are listed below. Identify in which of these areas you have strengths and in which you have challenges and need to improve.

S = Strength    C = Challenge

<b>Dimension</b>	<b>"S"</b>	<b>"C"</b>
1. Managing the living unit to assure a safe and humane environment		
2. Handling inmate discipline		
3. Responding to inmate requests		
4. Building positive rapport and personal credibility with inmates		
5. Supervising in a clear, well-organized and attention-getting manner		
6. Resolving inmate problems and conflicts		
7. Maintaining effective administrative and staff relations		

**Note: This self-assessment is for your use and will not be seen by others unless you wish to show them.**

**For those areas in which you need to improve, respond to the following questions.**

- Are there others, within or outside our agency, who are strong in these areas and could coach you? *If so, list these people below, note their strengths, and by when you will speak with them about coaching you.*

---

---

---

---

---

- What can you do on your own to improve? Consider strategies such as practicing new behaviors, asking for assignments that will require you to develop the skills you need, and asking others to critique your implementation of new skills. *Identify specifically what you will do and when you will begin doing it.*

---

---

---

---

---

- Is there additional training that could help you strengthen your skills. *If so, list the training, the source of training, and by when you will request the training.*

---



---

**Officer’s Role: Decisionmaking**

Your ability to make decisions in the housing unit is key to your success. In the direct supervision jail, the responsibility for a variety of decisions will shift from your supervisor to you. Below, list at least four types of decisions you will be expected to make as a direct supervision housing-unit officer. For each, note if policy and procedure provides authorization or guidance on decisionmaking. If applicable, also note if there are others who should be involved in or informed of the decision, and identify those persons. You may use this later as you begin to work in the new housing units.

Decisions	Covered in Policy/Procedure?		Others Who Need to be Involved or Informed	
	Yes	No	Involved	Informed

# Supervising Inmates in a Direct Supervision Housing Unit

---

---

## Performance Objectives

---

- Given a large group discussion, participants will determine how they can use their senses to gather information in the housing unit.
- Given scenarios, participants will develop and critique officer actions in terms of professionalism, behavior modeling, and appropriate conversational topics.
- Given information on officer demeanor and common types of officer – inmate interaction, participants will develop skits that demonstrate effective officer interaction with inmates.
- Given an independent practice, participants will complete an exercise based on concepts taught in the module and develop personal behavioral strategies to more effectively supervise the inmates.



## Using Our Senses to Gather Information

---

Working in a housing unit with no barriers between you and the inmates allows you to use your senses and to interact with the inmates to get the information you need to:

- Know what is going on in the unit.
- Identify and address problems in the early stages.
- Manage inmates to ensure staff and inmate safety and the security of the unit.

**What can you learn about the unit from your sense of smell?**

---

---

---

---

---

**What can you learn about the unit from your sense of hearing?**

---

---

---

---

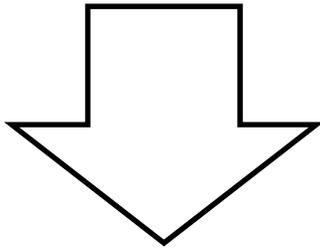
**If you can really see everything....the individual rooms  
and the dayroom....what can you learn?**

---

---

---

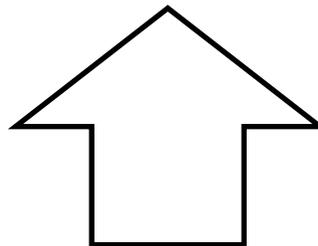
---



Being in the housing unit allows  
you to more fully use your senses  
and gives you more critical  
information about what is going  
on in the unit.



But to really understand what is  
happening and why, you need to  
interact with the inmates.



## Introduction to Interacting with Inmates

---

Housing units have always been informally considered “their space.”

- When inmates have control, the safety and security of everyone is compromised.

In direct supervision, **all** space is “staff space.”

- This does not mean you should have no consideration for the inmates.
- It does mean you should never feel uncomfortable about entering any area in the housing unit because you don’t feel welcome.

---

---

---

---

---

---

---

Your interactions with the inmates should inspire their trust and respect, and a willingness to follow your direction and leadership.

Consider your interactions with inmates in terms of:

- The nature of your relationship with the inmates.
- Your demeanor when interacting with inmates.

- The most common types of interactions you will have with inmates and how you can be effective.
  - Initiating positive interactions with inmates.
- 
- 

## **The Officer's Relationship with the Inmates**

---

**Professional Relationship** - Your relationship with inmates is always and only a professional relationship.

**It is a supervisory relationship much like that of a teacher and student.**

Teachers manage the behavior of students, observe what is happening in the classroom, provide information, and gain information about the students through a variety of interactions with them.

**Officers do the same things working in a housing unit.**

**Professional relationships cannot be adversarial.**

Students who have adversarial relationships with teachers won't ask for help if they don't understand something, won't share information with the teacher, and are likely to act out in class.

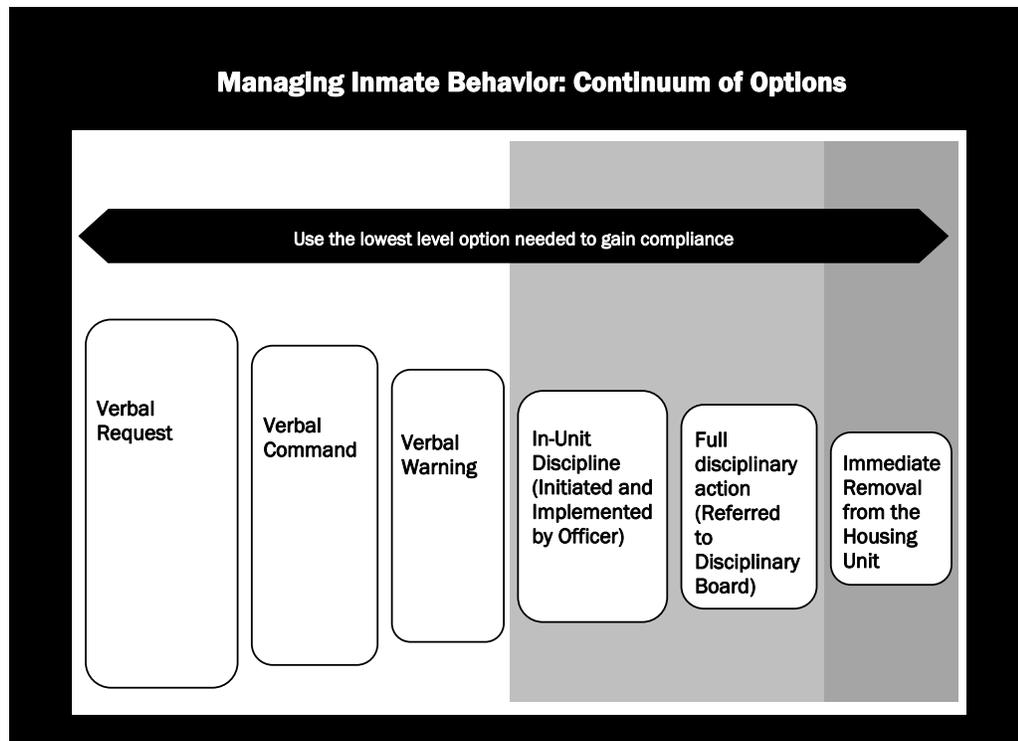
**Inmates do the same with officers in jail if there is an adversarial relationship.**

Teachers who have adversarial relationships with students spend more time focusing on disciplinary action than on teaching.

**Officers do the same if they have adversarial relationships with inmates.**

**Use a wide-range of options for managing inmate behavior.**

You will most often start with verbal requests to manage inmate behavior. Beginning by politely asking an inmate to do something is more likely to gain compliance than giving commands or warnings.



Some inmates may try to escalate situations. They may do this because it is:

- A learned response.
- An attempt to get attention.
- A problem-solving effort, although flawed.

Staff response should be to:

- Stop.
- Think.
- Consciously apply lower-level supervisory techniques.

**Hold inmates accountable, but don't hold a grudge.**

- Don't interpret misbehavior as a personal affront.
- Deal with it according to policy.
- Then, start again with a clean slate.

---

---

---

---

---

---

---

## **Officer as a Model of Behavior**

The way in which you behave will send a very clear message to the inmates.

- For example, if you yell across the dayroom to an inmate, you send a message that yelling across the dayroom is an acceptable behavior.

Think about and answer these questions:

**What message does my current behavior send to inmates in our current jail?**

---

---

---

---

---

**What message do I want to send?**

---

---

---

---

---

---

## **Conversational Topics**

You will routinely talk to inmates about a variety of things such as their requests for information, tasks you assign them, and rules. You will also have general conversations as part of your interactions.

Not all topics of conversation are acceptable, and many are off-limits for safety and security reasons.

- **What kinds of topics are off limits for safety and security reasons?**

---

---

---

---

---

- **What topics are out of bounds because of your professional relationship with inmates? How can they negatively affect your credibility and your ability to manage the inmates?**

---

---

---

---

---

---

- **What are some general topics that would be appropriate?**

---

---

---

---

---

---

---

## **Professional Relationship Flash Card Exercise**

---

**You will have 15 minutes to finish this.**

You will work in a group with two other participants. Your group will be given a set of flash cards. On each flash card, there is a brief scenario describing a situation about an inmate behavior or an action taken by the officer. For this exercise:

- One person will pull a flash card and read the scenario aloud.
- Another person will react to the scenario, taking into consideration the officer's professional relationship with inmates. The third person will give feedback about reaction to the scenario.
- Repeat until each person has read, reacted, and given feedback 2 times.

## Officer's Demeanor in the Unit

---

You are an authority figure.....not a dictator.

- Dictatorial behavior sets up adversarial relationships.
- You must use your authority and leadership in a way that encourages the inmates' respect, a willingness to talk to you, and a desire to follow your requests.

**What demeanor(s) should you strive for?**

- **Courteous and respectful** – What does this mean?

---

---

---

---

---

- **Approachable** – What does this mean?

---

---

---

---

- **Concerned and empathetic** – What does this mean?

---

---

---

---

---

---

---

---

---

---

- **Fully engaged when speaking with inmates** – What does this mean?

---

---

---

---

---

---

---

---

---

---

## Initiating Interactions

---

**How often should you have contact with each inmate in your unit?**

---

---

If you don't have a formal reason to talk to an inmate, what are some ways you can initiate a more informal interaction?

---

---

---

---

---

---

---

---

---

---

## Common Types of Interactions with Inmates

---

**You will have 10 minutes to finish this.**

As an officer, you will interact with inmates many different ways. Read the following information about the three most common types of interactions you can expect to have.

## **Providing information to inmates**

The officer is the inmate's primary source of information in the jail, and the inmates are dependent on the officer for accurate and timely information on a variety of topics.

Because the inmates are dependent on the officer, it can be very frustrating for them when they cannot get the information they need—and this frustration can result in acting out.

In some cases, you will initiate this information-giving interaction and, in other cases, you will respond to requests for information. For example, you will initiate this interaction when:

- You make announcements to the entire group of inmates on, for example, changes in schedules or upcoming activities. You must do this in a way to ensure you have the attention of all the inmates and to ensure the information is clear and complete. If inmates are out of the housing unit during the announcement, you must make sure those inmates also get the message when they return.
- You give information to individual inmates on, for example, a pending move to another unit or a pending release.

Much of the time, though, inmates will initiate the interaction by asking you for information. Many times, these requests are made during conversation, and the officer can respond immediately. Inmates may ask about activity schedules, programs available, facility rules, or medical services. Again, your responses must be accurate and, if you have the information on hand, you should give it to the inmates when they ask for it or let them know when you will get back with them.

## **Responding to written inmate requests**

Inmates will make a variety of requests for information and assistance, and many of these requests are made in writing on a request form. Remember, responding to requests is one of the seven dimensions of the housing unit officer's job, and the related behaviors are 1) acknowledging and responding to every request politely and courteously, 2) giving fair, honest, consistent, and thorough answers, and 3) fulfilling all promises you make to inmates.

While you must be timely in your responses, you may also have to devise a strategy to manage how you respond to inmate requests. If your schedule does not permit you to respond to requests as they are given to you, you might want to identify those that require immediate response and take care of those when you get them. You may organize the other requests according to what you must do to respond (verbal answer to inmate, get information from other staff, get property or materials from other areas of the jail) and take care of them at certain points during your shift. If you do this, make sure you let the inmates know what your system is so they do not have unrealistic expectations for response times.

## **Giving directions to inmates**

Officers routinely assign tasks to inmates or explain how to comply with requirements (such as cleaning the unit or making a bed). Some inmates will have special assignments, and all inmates will be required to do certain tasks, such as cleaning their rooms and making their beds. When you give directions to inmates, you need to do so in a way that ensures the inmate can be successful.

You will not necessarily give directions to all inmates in the same way. You will need to take into consideration:

- The level of detail required for the inmate to understand the task - If the inmate has successfully done the task before or has received instruction before, he may need less detail and supervision than a new inmate or one who has not done it correctly.
- The level of encouragement the inmate needs – If the inmate is new to the task and it is fairly complicated for him, he may need more encouragement or reinforcement if he has done the task correctly.
- The type of instruction to be given – People learn differently. Some of us learn well with lecture, some of us learn better if we watch something being done, some of us learn better with diagrams rather than narrative instructions, and some of us learn a task better if we can practice it as part of learning.
- If task completion requires reading labels or instructions – The officer will need to make special provisions for an inmate who cannot read well generally or cannot read English.

You also need to ensure that the inmate has the tools and the time to complete the task. If you expect him to clean his room to a certain standard and you do not give him the equipment or time he needs, he will be frustrated and so will you.

When you assign an inmate a task, make sure you let him know by when it must be completed and the criteria for successful completion. If you notice the inmate is not doing the task as expected, give him additional coaching or instruction. And when he completes the task, thank him and let him know he did a good job. Remember, the goal is to ensure the inmate is successful!

## Interactions Skits

---

**You will have 25 minutes to develop your skit.**

In your groups, develop a 2-minute skit that demonstrates the type of officer-inmate interaction assigned to you.

- The skit must have one officer and at least one inmate.
- For those of you playing inmates....remember, the expectation is that most inmates can and will behave.

Consider everything you have learned thus far in the module.

There are a series of questions that will be used when the class is asked for feedback on the skit, so keep them in mind.

### **General Questions:**

- What interactions did the officer have with the inmates, in addition to the assigned interaction?
- What was the officer's demeanor?
- Did the officer convey to the inmates that he/she was open to talking with them and would respond to their questions and concerns? How did the officer convey this, and did he/she do so in a professional manner?
- Were there any similarities between the officer's interactions with inmates and a teacher's interactions with students? What were those similarities?
- Did the officer initiate conversations about inappropriate topics? If so, what were the topics?
- Did the inmates initiate conversations about inappropriate topics? If so, how did the officer deflect them?
- What would you have done differently?

There are also some topic-specific questions. Check off your assigned topic, and keep the topic specific questions in mind as you develop your skit.

**Providing information to inmates**

How did the officer give information to the inmates?

What kind of information did the officer give the inmates?

**Responding to formal or informal inmate requests**

What kind of requests was the officer asked to answer?

What strategy, if any, did the officer use to answer the requests?

**Giving directions to inmates**

What directions did the officer give to the inmates?

How did the officer ensure the inmate was clear about the instruction given and that he was capable of accomplishing the task?

---

---

---

---

---

---

---

# Independent Practice

---

**Take 15 minutes to individually complete the independent practice.**

This module focused on fully using your senses to effectively supervise inmates. It also addressed the professional nature of your relationship with inmates, your demeanor in the housing unit, the types of interactions you will have with the inmates, and how to initiate interactions. Using the chart below, note your current practices in the first column and, in the second column, how your practices might change in the direct supervision jail. This self assessment is intended for your use and will not be seen by others unless you wish to show them.

<b>CURRENT JAIL</b> <b>Senses I Routinely and Fully Engage to Supervise Inmates</b>	<b>DIRECT SUPERVISION JAIL</b> <b>Senses I Will Routinely and Fully Engage to Supervise Inmates</b>
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

**CURRENT JAIL**

**Phrases that Describe My Relationship With Inmates**

---

---

---

---

---

**DIRECT SUPERVISION JAIL**

**Phrases That Will Describe My Relationship With Inmates**

---

---

---

---

---

**My Demeanor in Working With Inmates (Consider language, body language, level of attention)**

---

---

---

---

---

**My New Demeanor in Working With Inmates (Consider language, body language, level of attention)**

---

---

---

---

---

**CURRENT JAIL**

**Frequency of Interaction With Inmates**

---

---

**DIRECT SUPERVISION JAIL**

**Increased Frequency of Interaction With Inmates**

---

---

**Purposes of Interaction With Inmates**

---

---

---

---

---

---

**Purposes of Interaction With Inmates**

---

---

---

---

---

---

# Interactions Skits

---

## Providing information to inmates:

How did the officer give information to the inmates?

What kind of information did the officer give the inmates?

## General Questions:

What interactions did the officer have with the inmates, in addition to the assigned interaction?

What was the officer's demeanor?

Did the officer convey to the inmates that he/she was open to talking with them and would respond to their questions and concerns? How did the officer convey this, and did he/she do so in a professional manner?

Were there any similarities between the officer's interactions with inmates and a teacher's interactions with students? What were those similarities?

Did the officer initiate conversations about inappropriate topics? If so, what were the topics?

Did the inmates initiate conversations about inappropriate topics? If so, how did the officer deflect them?

What would you have done differently?

# Interactions Skits

---

## Providing information to inmates:

How did the officer give information to the inmates?

What kind of information did the officer give the inmates?

## General Questions:

What interactions did the officer have with the inmates, in addition to the assigned interaction?

What was the officer's demeanor?

Did the officer convey to the inmates that he/she was open to talking with them and would respond to their questions and concerns? How did the officer convey this, and did he/she do so in a professional manner?

Were there any similarities between the officer's interactions with inmates and a teacher's interactions with students? What were those similarities?

Did the officer initiate conversations about inappropriate topics? If so, what were the topics?

Did the inmates initiate conversations about inappropriate topics? If so, how did the officer deflect them?

What would you have done differently?

# Interactions Skits

---

## Responding to formal or informal inmate requests

What kind of requests was the officer asked to answer?

What strategy, if any, did the officer use to answer the requests?

## General Questions:

What interactions did the officer have with the inmates, in addition to the assigned interaction?

What was the officer's demeanor?

Did the officer convey to the inmates that he/she was open to talking with them and would respond to their questions and concerns? How did the officer convey this, and did he/she do so in a professional manner?

Were there any similarities between the officer's interactions with inmates and a teacher's interactions with students? What were those similarities?

Did the officer initiate conversations about inappropriate topics? If so, what were the topics?

Did the inmates initiate conversations about inappropriate topics? If so, how did the officer deflect them?

What would you have done differently?

# Interactions Skits

---

## Responding to formal or informal inmate requests

What kind of requests was the officer asked to answer?

What strategy, if any, did the officer use to answer the requests?

## General Questions:

What interactions did the officer have with the inmates, in addition to the assigned interaction?

What was the officer's demeanor?

Did the officer convey to the inmates that he/she was open to talking with them and would respond to their questions and concerns? How did the officer convey this, and did he/she do so in a professional manner?

Were there any similarities between the officer's interactions with inmates and a teacher's interactions with students? What were those similarities?

Did the officer initiate conversations about inappropriate topics? If so, what were the topics?

Did the inmates initiate conversations about inappropriate topics? If so, how did the officer deflect them?

What would you have done differently?

# Interactions Skits

---

## Giving directions to inmates

What directions did the officer give to the inmates?

How did the officer ensure the inmate was clear about the instruction given and that he was capable of accomplishing the task?

## General Questions:

What interactions did the officer have with the inmates, in addition to the assigned interaction?

What was the officer's demeanor?

Did the officer convey to the inmates that he/she was open to talking with them and would respond to their questions and concerns? How did the officer convey this, and did he/she do so in a professional manner?

Were there any similarities between the officer's interactions with inmates and a teacher's interactions with students? What were those similarities?

Did the officer initiate conversations about inappropriate topics? If so, what were the topics?

Did the inmates initiate conversations about inappropriate topics? If so, how did the officer deflect them?

What would you have done differently?

# Interactions Skits

---

## Giving directions to inmates

What directions did the officer give to the inmates?

How did the officer ensure the inmate was clear about the instruction given and that he was capable of accomplishing the task?

## General Questions:

What interactions did the officer have with the inmates, in addition to the assigned interaction?

What was the officer's demeanor?

Did the officer convey to the inmates that he/she was open to talking with them and would respond to their questions and concerns? How did the officer convey this, and did he/she do so in a professional manner?

Were there any similarities between the officer's interactions with inmates and a teacher's interactions with students? What were those similarities?

Did the officer initiate conversations about inappropriate topics? If so, what were the topics?

Did the inmates initiate conversations about inappropriate topics? If so, how did the officer deflect them?

What would you have done differently?

# Setting and Communicating Expectations

## Performance Objectives

---

- Given information on direct and indirect methods of conveying expectations for behavior, participants will analyze the ways in which jails and jail staff communicate expectations of inmate behavior.
- Given a set of general expectations for inmate behavior, participants will determine the specific behaviors required for inmates to meet those expectations.
- Given an example of an inmate orientation, participants will assess if it meets the five essential criteria for an effective orientation.
- Given a list of requirements for inmate behavior in a housing unit, participants will develop and deliver an inmate orientation.
- Given an independent practice, participants will complete an exercise based on concepts presented in this module and develop personal ideas for modeling and communicating expectations.

## Think About ....

---

Do you agree  or disagree  with this statement?

One of the most effective ways to reduce problem inmate behavior is to change staff's fundamental assumptions about how inmates will behave in jail.

**You will have 5 minutes to finish this.**

Make some notes about the following two situations. For each example, identify the expectation and describe how it was communicated, both directly and indirectly.

- Think of a situation where the expectations of others' (positive or negative) influenced your behavior or performance.

**Expectation:**

---

---

---

**How it was communicated:**

---

---

---

---

---

---

---

---

- Think of a situation in which your expectations (positive or negative) influenced someone else's behavior or performance.

**Expectation:**

---

---

---

**How it was communicated:**

---

---

---

---

---

---

---

---

---

---

## Reading Assignment and Discussion

---

You have 10 minutes to finish this.



In your groups, read your assigned study. The handout also has a series of questions about the study for you to discuss and answer.

Prepare to present a 1-minute summary of the study and the answers to the questions.

You will be given a copy of each study when each group presents their summary.

## Assumptions About Inmate Behavior

---

How have we expected inmates to behave?

---

---

---

---

---

---

**How have these expectations affected jail design and furnishings?**

---

---

---

---

---

**How have they affected jail operations?**

---

---

---

---

---

**How have they affected the way we interact with inmates?**

---

---

---

---

---



“If expectations are low, you may bring about the behavior and you may think you had great insight. In hindsight, however, communicating expectations probably caused the behavior.”

Direct supervision jail facts:

- They are designed, furnished, and operated based on the assumption that 95% of the inmates can and will behave like rational adults given the right environment and effective supervision.
- The design, furnishings, and operations communicate to the inmates they are expected to behave well.
- The experience of direct supervision jails has found the assumption of rational behavior has a powerful influence on the behavior of most inmates.
- There is a small minority of inmates who cannot function well in direct supervision. These inmates are housed in segregation units.

## **How the Assumption of Rational Behavior is Conveyed**

---

In a jail setting, the assumption that inmates will behave like rational adults means they will:

---

---

---

---

---

---

---

---

**You will have 20 minutes to answer the following questions:**

Working in your groups, consider how the assumption of rational behavior might be shown in:

**The Design and Furnishings of the Jail**

---

---

---

---

---

---

---

---

---

---

---



## Setting Expectations

---

Direct and specific statements of expectations are usually found in:

---

---

---

- Expectations for positive behavior must be specific. For example, if we expect that all areas of the jail will be clean and orderly, how will inmates know what that means? It is important they know what “clean and orderly” means to jail staff.
- It is also important to develop expectations using positive language. Often requirements are stated in negative terms, such as “don’t do this” or “this will not be tolerated.” While not always possible, every effort should be made to write the expectation using positive language.

**What are some specific requirements we would give an inmate about keeping his room clean and orderly?**

- Make your bed anytime you are not resting in it.
- Make your bed according to posted specifications. If you need help understanding this, please ask the housing unit officer.



## Expectation

---

---

### Specific Requirement 1

---

---

---

---

### Specific Requirement 2

---

---

---

---

### Specific Requirement 3

---

---

---

---

## Setting Expectations Exercise - Peer Review

---

**You will have 10 minutes to finish this.**

Review the expectation requirements completed by other groups.

Use the handout to answer these questions:

- Is the requirement clearly related to the expectation?
- Is the requirement clearly stated, so the inmate knows what he is required to do and the resources available to him?
- Is the requirement stated, where possible, in positive terms?

## Communicating Expectations

---

Remember, specific expectations are communicated using inmate handbooks, posted rules, signage and orientation.

### Orientation Facts

- Orientation should include important basic information.
- A key part of orientation is telling inmates about behavioral expectations and requirements for complying with them.
- Orientation is a powerful tool in managing inmates and reducing problem behavior.

### Orientations should:

1. Be well organized, clear and accurate.
2. Engage the inmate.

3. Be conducted in a manner that is courteous, respectful, and conveys to the inmate that the officer assumes he is a rational adult.
4. Enable the inmate to feel comfortable asking questions.
5. Enable the officer to establish a positive interaction with the inmate.

---

---

---

## Orientation Practice

---

### **You have 5 minutes to:**

Individually scan the handbook contents and write a list of the information you think must be included in an orientation.

### **Then....in your assigned group, you have 20 minutes to:**

- Share your lists and develop an orientation using the best points from the 3 lists.
- Split the orientation into 3 equal parts.
- Practice giving an orientation. To do this, divide the orientation into thirds. Each person in the group will present one third of the orientation, and the others will give feedback on both content and the clarity.

## Independent Practice

---

**Take 15 minutes to finish this.**

This module focused on setting and communicating expectations for inmate behavior.

### **Behavioral Expectations**

Using the chart below, identify five positive expectations you will have for inmates in the new jail. For each, note how you will communicate, model, or demonstrate the expectation.

<b>Expectation</b>	<b>Communicate, Model, or Demonstrate</b>



# Specific Expectation Requirements – Peer Review Handout

---

## Expectation

1. The housing unit dayroom will be clean and orderly at all times.

### Specific Requirement 1 - Notes

---

---

---

### Specific Requirement 2 - Notes

---

---

---

### Specific Requirement 3 - Notes

---

---

---

## Answer These Questions:

Is the requirement clearly related to the expectation?  Yes  No

Is the requirement clearly stated, so the inmate knows what he is required to do and the resources available to him?  Yes  No

Is the requirement stated, where possible, in positive terms?  Yes  No

# Specific Expectation Requirements – Peer Review Handout

---

## Expectation

2. Inmates will treat each other, staff, and visitors to the jail with respect.

### Specific Requirement 1 - Notes

---

---

---

### Specific Requirement 2 - Notes

---

---

---

### Specific Requirement 3 - Notes

---

---

---

## Answer These Questions:

Is the requirement clearly related to the expectation?  Yes  No

Is the requirement clearly stated, so the inmate knows what he is required to do and the resources available to him?  Yes  No

Is the requirement stated, where possible, in positive terms?  Yes  No

# Specific Expectation Requirements – Peer Review Handout

---

## Expectation

3. Inmates will respect the property of the jail, including the physical plant and its furnishings, equipment, and supplies.

### Specific Requirement 1 - Notes

---

---

---

### Specific Requirement 2 - Notes

---

---

---

### Specific Requirement 3 - Notes

---

---

---

## Answer These Questions:

Is the requirement clearly related to the expectation?  Yes  No

Is the requirement clearly stated, so the inmate knows what he is required to do and the resources available to him?  Yes  No

Is the requirement stated, where possible, in positive terms?  
 Yes  No

# Specific Expectation Requirements – Peer Review Handout

---

## Expectation

4. The housing unit will be calm and quiet.

### Specific Requirement 1 - Notes

---

---

---

### Specific Requirement 2 - Notes

---

---

---

### Specific Requirement 3 - Notes

---

---

---

## Answer These Questions:

Is the requirement clearly related to the expectation?  Yes  No

Is the requirement clearly stated, so the inmate knows what he is required to do and the resources available to him?  Yes  No

Is the requirement stated, where possible, in positive terms?  Yes  No

# Specific Expectation Requirements – Peer Review Handout

---

## Expectation

5. Inmates will resolve conflicts with each other peacefully and like mature adults.

### Specific Requirement 1 - Notes

---

---

---

### Specific Requirement 2 - Notes

---

---

---

### Specific Requirement 3 - Notes

---

---

---

## Answer These Questions:

Is the requirement clearly related to the expectation?  Yes  No

Is the requirement clearly stated, so the inmate knows what he is required to do and the resources available to him?  Yes  No

Is the requirement stated, where possible, in positive terms?  
 Yes  No

# Specific Expectation Requirements – Peer Review Handout

---

## Expectation

6. Inmates will present their grievances against staff or jail policies reasonably and responsibly.

### Specific Requirement 1 - Notes

---

---

---

### Specific Requirement 2 - Notes

---

---

---

### Specific Requirement 3 - Notes

---

---

---

## Answer These Questions:

Is the requirement clearly related to the expectation?  Yes  No

Is the requirement clearly stated, so the inmate knows what he is required to do and the resources available to him?  Yes  No

Is the requirement stated, where possible, in positive terms?  
 Yes  No

This handbook example is based on the handbook used by the Olmsted County Adult Detention Center in Rochester, MN, and is used with their permission.

## **Handbook Contents**

<b><u>BLUE SKY COUNTY SHERIFF'S OFFICE MISSION STATEMENT</u></b>	<b>3</b>
<b><u>INTRODUCTION TO THE BLUE SKY COUNTY JAIL</u></b>	<b>4</b>
<b><u>RIGHTS AND RESPONSIBILITIES</u></b>	<b>4</b>
<b><u>INMATE INTAKE INFORMATION</u></b>	<b>5</b>
Personal Property	5
Clothing and Linen Issue and Exchange	6
Full Uniform Requirements	7
Personal Care - Hygiene Items	7
Showering	7
Haircuts	7
<b><u>INMATE CLASSIFICATION INFORMATION</u></b>	<b>7</b>
<b><u>HOW YOU CAN COMMUNICATE WITH FAMILY AND FRIENDS</u></b>	<b>8</b>
Information About Telephone Use	8
Instructions for Using the Telephone	8
Outgoing Mail	8
Receiving Mail	9
Visiting: Personal/Professional:	10
Visiting Rules	10
<b><u>SERVICES AVAILABLE TO INMATES</u></b>	<b>11</b>
Commissary	11
Medical, Dental and Mental Health	11
Meals	11
Indigent Inmates	12
<b><u>INMATE PROGRAMS</u></b>	<b>12</b>
Education, Drug and Alcohol Counseling, N.A., and A.A.	12
Recreation Programs	12
Religious Programs	13
Library Program	13

<b>HOUSING AREA INFORMATION</b>	<b>13</b>
Housekeeping/Cleaning/Bed Making	13
Housing Unit Routine	15
Inmate and Unit Workers	15
<b>SAFETY AND EMERGENCY PROCEDURES</b>	<b>15</b>
<b>SECURITY</b>	<b>16</b>
Security Objective	16
Area and Inmate Searches	16
Contraband	16
Authorized Inmate Possessions	16
Formal Head Count Procedure	17
<b>INMATE RULES AND DISCIPLINE</b>	<b>17</b>
Rules	17
Disciplinary Violations	19
Types of Minor Violations	19
Minor Violation Sanctions	20
General Information About Minor Violations	20
Types of Formal Violations	20
Major Violation Sanctions	21
Major Violation Hearing Procedures	21
Price List to Replace Damaged Items	22
<b>HOW TO FILE A GRIEVANCE</b>	<b>22</b>
Informal Grievance	22
Formal Grievance	22

## **BLUE SKY COUNTY SHERIFF'S OFFICE MISSION STATEMENT**

---

The Blue Sky County Sheriff's Office mission is to dedicate staff to the provision of quality services that promote and protect the well-being, safety, and security of all people in our community.

### **VALUES SUPPORTING THE MISSION**

To accomplish our mission we will:

- Respect the integrity and dignity of all individuals;
- Demonstrate the highest standards of personal integrity and a commitment to excellence;
- Be proactive and innovative problem solvers;
- Encourage our staff to volunteer in our community and seek volunteers to work with us;
- Commit to open communication and partnerships with the members of our community;
- Endeavor to provide fiscally responsible public safety services;
- Attract, develop, motivate, and empower people, who demonstrate professional competence, conduct, and courage;
- Build and enhance relationships with other law enforcement and community-based agencies; and organizations.

## **INTRODUCTION TO THE BLUE SKY COUNTY JAIL**

---

The Blue Sky County Jail is a direct supervision jail in which inmates are assigned to cells or dormitories placed around a large day room. Each group of cells and dayroom is called a housing unit. In most housing units, inmates are allowed to leave their cells and use the dayroom and recreation yards for an average of 14 hours each day. In housing units where inmates with problem behavior are housed, the amount of time allowed out of their cells is significantly less.

There is an officer assigned to each housing unit, 24-hours a day, 7-days a week. The officer is your best source of information while you are housed in this jail. Additionally, this handbook has been prepared and made available to you for your benefit. It contains much of the basic information and rules you will need to know during your stay in the Blue Sky County Jail.

The rules are set as guidelines for your security, safety, and health. It is necessary to have these rules and regulations so that each person knows what is allowed and what is not. This is intended to give you an understanding of what is expected of you. It also tells you what may happen if you fail to obey the rules.

If you do not understand any part of the handbook, ask your housing unit officer to assist you.

## **RIGHTS AND RESPONSIBILITIES**

---

Right: You have the right to be treated respectfully and impartially by all employees and inmates.

Responsibility: You have the responsibility to treat all employees and inmates respectfully.

Right: You have the right to be informed about the rules, procedures and schedules of the facility.

Responsibility: You have the responsibility to learn the rules and abide by them.

Right: You have the right to freedom of religious affiliation and voluntary religious worship.

Responsibility: You have the responsibility to respect the religious rights of others.

Right: You have the right to proper health care, including nutritious meals, facilities for personal sanitation, proper bedding and clothing (with a laundry schedule for your cleaning), an opportunity to bathe regularly, proper heat and ventilation, exercise, toilet articles and access to medical and dental care.

Responsibility: You have the responsibility not to waste food or to impair the operation of sanitary facilities, to follow the laundry and bath schedule, to keep your person and living area neat and clean, and to request medical and dental care only as you need it.

Right: You have the right to visit and correspond with family members, friends and others in accordance with the policy on those subjects.

Responsibility:	You have the responsibility to conduct yourself properly during visits and not violate facility rules or laws through your correspondence or visiting.
Right:	You have the right to unrestricted and confidential access to courts by correspondence (on matters such as the legality of your conviction, civil matters, pending criminal cases, and conditions of your incarceration).
Responsibility:	You have the responsibility to present honestly and fairly your petitions, questions and problems to the court.
Right:	You have the right to legal counsel from an attorney by interviews and correspondence.
Responsibility:	You have the responsibility to use the services of an attorney honestly and fairly.
Right:	You have the right to use legal material in accordance with policy and procedure manual guidelines.
Responsibility:	You have the responsibility to use these resources according to the procedures and schedule provided and to respect the rights of other inmates to use the materials.
Right:	You have the right to a wide range of reading material for educational purposes and enjoyment. These materials are provided for you by the Blue Sky Jail..
Responsibility:	You have the responsibility to use reading materials properly and to not deprive others of their rights to use the materials.
Right:	You have the right to participate in educational and other programs as far as resources are available and in keeping with your interest, needs and abilities.
Responsibility:	You have the responsibility to take advantage of such activities, which may help you live a successful and law abiding life within the facility and in the community. You are expected to abide by the regulations governing the programs.

## INMATE INTAKE INFORMATION

---

You have now been processed into the Blue Sky County Jail. You have been booked, pre-classified, searched, and assigned to a housing unit.

### **Personal Property**

In the booking area your personal property was taken, inventoried and safely stored in the facility.

1. During your stay, you may release your wallet, purse and/or keys, EBT cards, credit cards, and cell phone to outside persons by filling out a property release form. The property may be released only to persons that have proper identification, state or government issued picture drivers license or identification

card, and are the ones that you have listed to receive your property. They will also have to sign for your property. Property is only released Monday through Friday from 8am to 4:30pm.

2. You may not release money to anyone outside the facility without approval from the jail captain or director.
3. Your money was taken and inventoried. A \$25.00 booking fee was taken from your account upon your arrival. (Federal inmates are exempt from the booking fee.) You will also be charged \$5.00 for a debit vending card. The \$5.00 will be reimbursed when you return the card to us upon your release. You will be able to spend your money on commissary items. If you would like to see transactions on your account, you will need to go to the kiosk located in your housing unit. All transactions on your account are recorded. It is your responsibility to budget accordingly. At no time may you transfer money from your account to another inmate's account. Persons may use cash to place money on your account using the kiosk located in the jail lobby. They may also put money on your account using a credit card if they access the kiosk system on line at this web address: [www.blueskykiosk.com](http://www.blueskykiosk.com).
4. The jail will accept incoming clothing, only for scheduled jury trials. You may have someone drop off one (1) complete set/outfit the day before your trial. The jail is not responsible for cleaning your clothing.
5. All of your personal property will be returned to you at the time of release or transfer from this facility, unless it is being held for evidence or you are going to prison. If you have been sentenced to prison, you will need to complete a property release form for all of your property. A check for the money in your account will be issued to you after any remaining fees have been collected. (A list of fees charged to you is posted on the bulletin board in all housing units). All account refunds will be mailed to you in 7 to 10 working days.

### **Clothing and Linen Issue and Exchange**

1. You will be issued a complete set of clothing to be worn while you are in jail. Clothing issued to you should be in good, clean condition. If you receive any clothing that is damaged or dirty, let the clothing officer know right away.
2. You will be issued a tub before going to the intake housing unit. The tub will include a blanket, linens, towels and a washcloth. As with clothing, the linens should be in good, clean condition. If you are issued linens that are damaged or dirty, let the clothing officer know right away.
3. When you exchange clothing or linens, or when you are released, the clothing and linens must be returned to the clothing officer in good condition, with no modifications. If damaged clothing or linens are turned in during an exchange or release, you will be charged for the damaged item.
4. Clothing and linen exchange schedules are posted on the bulletin boards in the housing units.

### **Full Uniform Requirements**

You will wear your full uniform anytime you leave your cell. This means your t-shirt is tucked in, you are wearing your uniform top, uniform bottom, socks, undergarments, and shower or tennis shoes. Your name tag must be hanging from your pocket.

There are two exceptions to this:

- When you leave your cell to go to 1) the recreation yard or 2) the shower, you may wear your issued gym shorts, your t-shirt, your shower shoes, and undergarments. You must have your name tag in your possession.



### **Personal Care - Hygiene Items**

You will be issued a set of personal hygiene items when you are first housed. Unless you are indigent, you will have to buy any replacement personal hygiene items from commissary. No personal hygiene items from your stored property or from another facility will be allowed for your use in the housing units.

### **Showering**

You may take a shower anytime you are allowed in the dayroom. You are expected to shower at least three times a week and take care of your personal hygiene, so as not to offend others. You must keep your nails trimmed so they are no longer than 1/4". Fingernail clippers can be checked out from your housing unit officer.

### **Haircuts**

Electric razors are made available in all general housing on Sundays for haircuts.

## **INMATE CLASSIFICATION INFORMATION**

---

A classification screening is conducted for all inmates, beginning in the booking area. The screening is intended to give the officers information about the best place for you to be staged in booking or housed.

1. Your initial classification will be done during your booking process. Violent behavior in your jail or arrest history, your current charges and behavior, and stabilizing factors (residency, age, employment, and student status) will determine your length of stay in the intake housing unit. While on intake status, problem behavior may extend your time in the Intake Housing Unit or result in placement in an administrative segregation housing unit.

2. Classification screenings will occur regularly while you are in jail. These screenings will give the officers information about how you are adjusting, and whether or not your housing assignment is appropriate.

## **HOW YOU CAN COMMUNICATE WITH FAMILY AND FRIENDS**

---

Inmates can communicate with family and friends using telephones provided in the housing units, using the postal service, and through visiting.

### **Information About Telephone Use**

1. All telephone calls are recorded.
1. Use of the telephone is a privilege that can be lost.
2. Only personal collect telephones are provided.
3. If you have money on your account, you may purchase a calling card. If you don't have money, you may call collect.
4. All telephone calls will be limited by the contract telephone company's time frame.
5. Use of the telephone is prohibited during facility emergencies, scheduled events, or as directed by detention staff.
6. Any controlling of the telephone, failure to follow facility rules, and loud, abusive, obscene, or destructive behavior will result in loss of your telephone privileges, and may include disciplinary action, reimbursement, and/or possible criminal charges.

### **Instructions for Using the Telephone**

#### Dialing instructions

1. Press "1" for English.  
Press "2" for Spanish.
2. Dial the area code and phone number.
3. After "beep," state your name.

It may take up to 25 seconds for the call to be processed by the system.

### **Outgoing Mail**

1. There is no limit to the number of personal letters you may send at your own expense. Stamps, envelopes, paper and pencils are available from commissary. Use the kiosk in your housing unit to order them.
2. All outgoing mail will be given to the housing unit officer in your housing unit in an unsealed, stamped envelope. Your name and the complete Blue Sky County Jail address must be written in the upper left corner. The address you must use is:

Inmate (Your first and last name)  
Blue Sky County Jail  
PO Box 000001  
Blue Sky, CO 00000-000001

3. Legal mail will be inspected and sealed by the housing unit officer in your presence.
4. Mail will not be sent out if:
  - The envelope has artwork drawn on it.
  - You use unauthorized paper.
  - Your name and/or return address are not on the envelope.
  - The envelope is sealed.
  - Postage is not on the envelope.
  - You use any jail forms for your letter or envelope.
  - The envelope or letter has any bodily fluids on it.

### **Receiving Mail**

1. Any business correspondence received for you will be returned to the sender. You must make outside arrangements for someone outside of the jail to handle your business correspondence and household bills.
2. All incoming mail will be searched for contraband, money, etc. Money orders and certified cashier's checks will be added to your account once they are signed and endorsed by you. Sending cash through the mail is discouraged, but if you receive cash in a letter, it will be deposited to your account. If you choose not to endorse a money order or cashier's check, it will be placed in your property. Third party and personal checks will not be accepted for your account and will be placed in your property.
3. You are required to open all legal mail in front of the housing unit officer for inspection.
4. Mail will be available to you within eight (8) hours of receipt.
5. To limit the amount of flammable materials in your cell, you may keep no more than ten personal letters. Turn in any amount over that to the housing unit officer to be placed into your property or destroyed.
6. The following types of mail will not be accepted:
  - Packages, newspapers, books and magazines will be returned to the sender. Books, newspapers, and magazines are purchased and provided for you by the facility.
  - Magazine articles, photocopies, obscene, or gang related material.
  - Stamps will not be allowed from outside the facility.

### **Visiting: Personal/Professional:**

1. You may visit family, friends, attorneys; investigators, bond persons, and other authorized visitors as long as it does not threaten the safety, security, and order of the jail. All personal visits are conducted via video visiting.
2. Audio and video are recorded during video visiting unless the visit is considered confidential (such as with your attorney).
3. You are allowed one 20-minute visit each day.
4. The visiting schedule times are rotated each week so the visiting times are equally shared. The schedule is based on the first letter of your last name. Visiting hours are 08:00 am to 11:00 am, 2:30 pm to 4:00 pm, and 8:00 pm to 10:00 pm. Tuesday through Sunday.
5. Visiting times and days are posted in the housing units and the jail lobby.
6. You will make a list of four (4) visitors who will be authorized to visit you. Mother and father are counted as one visitor. Visitors not on this list will not be allowed to visit. You may change your authorized visitor list on the first business day of each month. It is your responsibility to remember to do this.

### **Visiting Rules**

1. Visitors must be adults, at least eighteen (18) years of age with a valid driver's license or other government issued photo ID. Minors will be allowed to visit only if they are the inmate's siblings or children and are accompanied by an adult that is on the list. Children or siblings over 18 must be counted as adult visitors.
2. All visitors are subject to search prior to entering the facility. Visitors found with contraband can and will be prosecuted to the full extent of the law.
3. Visitors must follow all staff directives.
4. Visitors must control children in the lobby and visiting areas, or they will be asked to leave. Children shall not be left alone in the lobby area.
5. A visit may be denied or terminated, and/or or visiting privileges terminated under the following circumstances:
  - Visitor (s) is under the influence of drugs or alcohol.
  - Insufficient space is available.
  - A visitor refuses to submit to search procedures.
  - A visitor refuses or fails to produce sufficient identification.
  - A visitor produces a false document or a fraudulent identification.
  - A visitor or offender violates facility rules.
  - Loud and/or abusive language is being used.

- Visitors fail to prevent children from disturbing others.
- Visitors engage in suggestive activity or inappropriate dress as determined by on-duty uniform staff.
- Visitors' conduct is deemed by detention staff as disruptive to the visiting operation or to security and good order.
- Visitor is not on the authorized visitor list.

## **SERVICES AVAILABLE TO INMATES**

---

### **Commissary**

1. You will be issued a debit card you can use to purchase items from commissary using the kiosk in the housing unit. To transfer money from your account to your debit card you must use the kiosk located in your housing unit. There is a limit to the amount you can transfer at one time.
2. Your debit card is your responsibility and should be considered the same as cash. If you lose it or it is stolen, money on the card will not be refunded, and there will be a \$5.00 charge to replace the card.
3. Commissary is delivered to the housing units on Mondays and Thursdays.
4. Intake, segregation or administrative segregation inmates are not eligible to purchase items from commissary other than personal hygiene items and writing materials.

### **Medical, Dental and Mental Health**

1. The Blue Sky County Jail will provide access to medical, dental and mental health services. Your account will be charged a co-pay of \$5.00 for each visit unless it is a bona fide emergency or you are referred by the triage nurse, other medical or mental health staff member. If you would like to see the nurse at sick call you must fill out the Medical Request Form via the kiosk or drop the form in the nurse's box at the housing unit officers' station.
2. If you have a medical, dental, or mental health emergency, tell your housing unit officer immediately. Your housing unit officer will confer with medical staff as needed and/or call for emergency response.
3. You will not be given any medications you had with you when you were brought to the jail until these are assessed and approved by the physician.. Over-the-counter remedies are available for you to purchase if you need/want them. You must take all issued medications with an 8 or 12 ounce glass of water.

### **Meals**

1. You will be provided three meals daily. All food will be served as soon as possible after preparation.

2. Special medical diets prescribed by the health care provider will be made available. Any changes in the normal meal plan must be requested and approved by the health care provider who will tell the kitchen staff of any changes.
3. The programs sergeant and programs staff will evaluate requests for religious diets for approval.

### **Indigent Inmates**

1. You are considered to be indigent if you have had \$1.00 or less on your account for 10 days. If you qualify for indigent status, you can order certain products using the kiosk. The items will be delivered during the regular commissary schedule and a debit placed on your account. If you receive money while you are in jail, it will first be used to off-set any debits on your account.
2. Indigent inmates will be provided with the following items and services only:
  - A refill of the initial hygiene package each upon request.
  - Medically necessary health care services.
  - Writing materials for correspondence to: officers of the court, ombudsman, attorneys and judges. Additionally, two postcards will be provided for personal correspondence. All of these must be turned in to the housing unit officer to be forwarded to commissary for postage.

## **INMATE PROGRAMS**

---

If you are classified into a general population housing unit, you will have the opportunity to participate in Blue Sky County Jail programs. A description of the programs offered and a schedule of available programs are located on the programs bulletin board in your housing unit. Sign-up sheets are also available in the housing units for most inmate programs. Signing up for the program is a commitment to attend, and failure to attend may result in a loss of programming privileges.

Program changes or cancellations may occur without prior notice due to staff limitations or security needs.

### **Education, Drug and Alcohol Counseling, N.A., and A.A.**

Adult basic education classes, G.E.D., or continuing education classes will be provided in the jail at scheduled program times. Drug and alcohol counseling will be provided as approved and arranged by the program director.

### **Recreation Programs**

1. Board games and cards are available in your housing unit. They may be checked out from your housing unit officer.

2. Outdoor recreation areas are available to you whenever you are allowed access to your dayroom, weather and behavior permitting. These areas have basketball hoops and handball walls. Equipment may be checked out from the housing unit officer.
3. Recreation programs held in the gym are available for most inmates whose classification allows them to mix with other inmates. There are often tournaments held between housing units, and you may sign up to be considered for participation.
4. Misuse may result in limited access until any damage can be repaired or equipment replaced.

### **Religious Programs**

The Blue Sky County Jail has a chaplaincy program available for religious counseling and nondenominational religious services. These are listed on the program schedule. The chaplain or program staff can assist you in contacting religious leaders of other faiths if your faith cannot be represented through the chaplain service. The religious services and hours the chaplain is available are posted in the housing units.

### **Library Program**

1. The Blue Sky County Jail has a library for your use. A cart containing a variety of books is kept your housing unit. The cart is exchanged on a weekly basis so new books are available to you.
2. You are allowed one (1) recreational reading book or magazine in your cell from the cart at any one time. You are allowed up to five self-help materials in your cell at any one time.
3. Reading materials are shared by all of the inmates; so you must take care of them and return them for others' use.
4. Some legal reference materials are available. If these are not what you need, please contact your attorney.

## **HOUSING AREA INFORMATION**

---

### **Housekeeping/Cleaning/Bed Making**

1. When you are assigned to a cell and when you move out of a cell, you and the officer will complete a Cell Inspection Report form. This allows both of you to assess and document the condition of the cell when you arrive and when you leave so you won't be held liable for damage to the cell if the damage was there when you arrived. It also ensures that the cell is clean and in order when you move into it.
2. Your bed must be made when it is not occupied. You must make your bed according to these instructions:

- Tuck the bottom sheet all the way around the mattress.
- Put the top sheet on and then the blanket. Tuck them both in at the foot of the bed and along both sides.
- Put your pillow (in the pillowcase) at the head of the bed. (The head of the bed is in the direct line of sight from your cell door.)



3. After breakfast, you will have access to the cleaning materials to clean your cell. You will also be assigned to help with cleaning the common areas according to the housing unit schedule.

Cleaning your cell requires you to:

- Clean your toilet with the toilet brush and cleaning solution.
- Wipe down your desk with a rag and cleaner.
- Clean your sink and mirror with a rag and cleaning solution.
- Sweep and mop your floor.
- Clean the windows in your cell, both the door window and the window to the outside.
- Clean your bunk.
- Ensure all of your materials are stored in the storage container in your cell.

Cleaning the common areas includes:

- Wiping down the unit walls.
- Cleaning the dayroom restroom with the toilet brush and cleaning solution.
- Wiping down the dayroom sink, pantry, dining tables, and television area tables using rags and cleaning solutions.
- Sweeping, mopping and/or vacuuming the floors.
- Cleaning the showers using rags and cleaning solutions.
- Other duties identified by the housing unit officer.

Failure to keep the common areas clean may result in loss of program activities.

4. When completed, all cleaning gear will be cleaned, set up for the next session and stored in the proper location. Vacuum cleaner bags will be changed when needed, and all garbage will be bagged up for removal.
5. It is your responsibility to keep your living unit clean and orderly. It is a group effort to keep the facility a clean, safe, and quiet place for all. The housing units will be inspected on a daily basis. You will be held responsible for any damage to your cell or jail property through acts of vandalism and/or graffiti. Your bed must be made and your cell cleaned before you can participate in recreational activities or programs.

### **Housing Unit Routine**

Each housing unit has a posted daily schedule that you must follow, unless you are otherwise directed by your housing unit officer or other jail staff.

### **Inmate and Unit Workers**

1. Unit workers help the housing unit officer with clothing exchange, food service and general cleaning of the housing unit. If you would like to be considered for a position as a unit worker, fill out an Inmate Request Form and give it to your housing unit officer. The officer will talk to the other officers assigned to the housing unit, and they will consider your personal hygiene practices, disciplinary history, mental/physical ability, your behavior in jail, and your ability to get along with staff and others when deciding if you qualify as a worker for the unit.
2. There are also inmate worker positions in other areas of the jail. These inmate workers are assigned to the laundry, food service, and general cleaning details throughout the jail. If you would like to be considered for a position as an inmate worker, fill out an Inmate Request Form and give it to your housing unit officer. Your request will be forwarded to the classification staff for review and approval. Your classification status, charges, current behavior, personal hygiene practices, disciplinary history, mental/physical ability, and your ability to get along with staff and others will be considered when deciding if you qualify as an inmate worker.
3. If you are released from a unit or inmate worker position because of rule violations disciplinary actions, you will not be eligible for any other position unless 30 days have passed without further disciplinary action (including warnings).

## **SAFETY AND EMERGENCY PROCEDURES**

---

During an emergency or disturbance (such as a fight), your housing unit officer will give you directions to return immediately to your cell. It is your responsibility to follow the officers' directions to ensure your safety. If you do not follow the officer's directions, you will be subject to disciplinary actions. The individual cells are

considered to be safe housing during a fire, tornado, or any other emergency. Jail staff will tell you if it is necessary to move to another area of the facility. In all cases, follow the instructions of the staff.

## **SECURITY**

---

### **Security Objective**

A primary responsibility of the Blue Sky County Jail and its staff is to make the jail a safe, humane, and secure place for inmates and staff. Housing unit officers will make unscheduled security checks of you, your cell, and your housing unit. Sanitation and safety inspections are made each morning, and any damage to jail property will be investigated.

### **Area and Inmate Searches**

1. Searches of cells, dayrooms, and other areas of the jail will be conducted as needed. In addition, a random number of cells will be searched each day.
2. Inmates will be pat searched every time they leave and enter the housing unit. Strip searches are conducted when it is believed the inmate is concealing contraband. Other situations may also require strip searches of inmates.

### **Contraband**

Contraband is defined as any legal or illegal item that is not authorized, excessive amounts of authorized items, or items altered for use other than their intended purpose.

### **Authorized Inmate Possessions**

Inmates are authorized to have the following items in their cells and possession while in general housing.

1. One set of bedding, which includes sheets (1 bottom and 1 top), a pillowcase and pillow, and 2 blankets
2. Towels (2) and washcloths (2)
3. Jail uniforms (1 to wear and 1 to change into) which includes 2 pants, 2 shirt, 2 t-shirt, 1 pr. gym shorts, 2 sets of undergarments
4. 1 pair of jail issued shower shoes
5. 1 pair of gym shoes (male & female general classifications and special management status inmates)
6. Paper, envelopes and pencils
7. 2 water glasses (plastic)
8. 1 spork
9. Commissary items (food) limited to \$20.00 worth
10. Eye glasses

11. 1 library book, 1 magazine, 5 self-help articles
12. 1 wedding band - no stones
13. 1 watch - no stones
14. 1 roll of toilet paper.
15. Playing cards limited to two decks
16. 10 personal letters
17. Items purchased through the jail
18. One cell organizer
19. 10 Personal pictures no larger than 4x6 ( no Polaroid-s)

### **Formal Head Count Procedure**

Four times daily (6:50am, 11:20am, 4:50pm and 10:20pm) or whenever deemed necessary by jail staff, you will be required to return to your cell for a formal head count. You must be in full uniform. Stand in front of your cell door and display your identification badge with picture facing outward so the officer can see it.

## **INMATE RULES AND DISCIPLINE**

---

1. During your stay, any problem behavior in a housing unit will be documented. Lock downs and warnings will be accumulated and could result in your removal from your currently assigned housing unit to another housing unit, including intake or segregation.
2. Any time staff informs you that you need to correct your behavior, you should assume it is a documented warning.

### **Rules**

1. The Blue Sky County Jail is a no smoking/no tobacco products jail. You may not smoke, use tobacco products, or be in possession of any flammable devices (lighters, matches) while in jail.
2. There are a number of rules involving your cell. These include:
  - You will keep your living area clean.
  - Your hygiene items must be stored on the shelf below the mirror or in the blue tub.
  - You may have only one tub unless authorized by a sergeant.
  - You may keep only books only on the bookshelf.
  - Hang your towels and clothing from the hooks under the bookshelf.
  - All of your personal items must be kept in your tub except for your issued cup.
  - Pictures and cards may be out when you are in your cell, but must be put away when you are out of your cell.

- Place nothing on the privacy wall, window ledge, the ledge along the bed or on the ledge in end cells.
  - Keep your desk empty unless writing.
  - Keep your tennis shoes and sandals under your bunk or on top of your tub.
  - Don't cover the lights or vents in your cell.
  - Reading lights in your cell should only be on while you are in the cell.
  - Food served with your meals may not be kept in your cell.
3. All food must be consumed during mealtime.
  4. Respect the property of other inmates. You are not allowed to enter another inmate's cell, and you cannot use anything belonging to another inmate without that inmate's permission.
  5. You will treat staff, other inmates, and visitors with respect.
  6. You will try to resolve conflicts with other inmates peacefully, like mature adults.
  7. You will respect the jail property, including furnishings, supplies, and the physical plant.
  8. You must be in full uniform anytime you leave your cell, with the exceptions noted where the full uniform definition is provided.
  9. Remember, while you are in your cell, your well-being will be checked periodically by your housing unit officer. You are responsible for covering yourself if the officer is a different gender than you.
  10. You will share responsibility for keeping the housing unit clean.
  11. Activities will be kept at a reasonable noise level. This means that noise will not interfere with normal conversation and you will not yell.
  12. There are a number of television channels you may watch in any of the three television areas. The decisions about which channel to watch will be made by a majority of the inmates watching at the time. If you can't come to an agreement, the housing unit officer may choose to turn the television off.
  13. Chairs are provided for you in the dayroom and in your cell. Do not use the floor or stairs to sit or lie on, unless directed to do so by the housing deputy in an emergency situation.
  14. Keep your bedding in your cell unless you are exchanging it.
  15. You may only be on the upper level of the housing unit if that is where your cell is located. While there, don't hang over the rail.
  16. Furnishings should be used as intended. (Keep all four chair legs on the floor, and use tables for meals, art, and games. Sitting on tables or putting your feet on them is not allowed.)
  17. Sleep with your head uncovered and in the direct line of vision from the door.
  18. Your photo name tag must not be exchanged with another inmate's, altered or otherwise damaged. There is a charge for damaged name tags.

19. To conserve energy and keep the temperature in the unit at a regulated level, keep the recreation yard doors closed.
20. When you are being escorted in the hallways, you must walk in a single file with your right shoulder 12 inches from the wall in the main corridor.
21. You will not initiate physical contact with staff, visitors or other inmates, and you will not threaten or exert either verbal or physical control over another person.
22. You will not gamble, loan property or anything of value for profit or increase return.
23. You must follow all staff directives.
24. No spitting in the outdoor recreation area.

### **Disciplinary Violations**

Disciplinary violations are classified as minor and major violations. Minor violations are handled by the housing unit officer. Major violations are sent to the hearing board and a formal hearing will be held where you may present your view of the violation.

### **Types of Minor Violations**

Violations of, but not limited to, the following, will result in disciplinary action taken by the housing unit officer:

100. Destruction of county or personal property (see price list on Pg. 24)
101. Creating a disturbance: banging of utensils, throwing food or garbage, etc.
102. Rattling cell doors, excessive noise, loud talking, singing, unnecessary noise
103. Possession of unauthorized clothing, linen, etc.
104. Failure to keep the cell clean and poor personal hygiene (failing to shower at least three times a week).
105. Storing food in the cell
106. Obstructing the view into one's cell
107. Disrespect toward detention staff or other inmates in the facility
108. Not wearing the complete uniform
109. Passing or attempting to pass contraband (including notes)
110. Horseplay (any game or play involving running, jumping, or physical contact between inmates that is not part of a recreational activity)
111. Gambling
112. Misuse of program areas
113. Misuse of telephone privileges
114. Misuse of bedding or clothing
115. Misuse of TV volume
116. Failing to perform work as properly instructed by staff
117. Writing or drawing on walls, chipping paint, hanging/taping pictures on walls, defacing jail property in any way

118. Other minor uncorrected behavioral problems
119. Possession of contraband or any allowable item having been altered or used for other than its intended purpose
120. Violating detention center rules
121. Misuse of equipment, games, books, etc.
122. Tattooing self or others
123. Interfering with a head count procedure
124. Use of insulting, profane or abusive language or behavior
125. Interference with staff duties
126. Possessing another inmate's property or facility property without permission
127. Providing false information to staff
128. Failure to obey a direct order from staff
129. Offering a bribe or anything of value to any staff or visitor to the facility
130. Possession of accumulated non-prescription medication
131. Interfering with facility operations

### **Minor Violation Sanctions**

1. Verbal redirection
2. Counseling
3. Loss of recreation, library, TV, or other programming except educational or treatment programs for up to 5 days
4. 23 consecutive hours in cell
3. Loss of unit or inmate worker privilege status
4. Re-classification to another housing unit

### **General Information About Minor Violations**

1. If you disagree with the violation and the sanction selected by the officer, you may file an appeal with the sergeant. The sergeant will review the violation and your appeal and will make a decision. The sergeant's decision is final.
2. If you have not had any minor rule violations within the last thirty-days, none of your earlier violations will be counted as cumulative to justify a formal violation.

### **Types of Formal Violations**

Violations of, but not limited to, the following will result in disciplinary action:

300. Possessing a weapon or an altered item that could be used as a weapon
301. Inciting/encouraging a riot/protest or rioting
302. Arson/possessing or using an incendiary device
303. Escape, attempting escape, planning to escape
304. Taking hostages

305. Sexual activity
306. Extortion or blackmail
307. Theft
308. Fighting/assault on another inmate or staff
309. Tampering with or blocking any locking device, life-support system, fire control system or surveillance cameras
310. Three new or repeated minor violations
311. Possession of prescription or illicit drugs
312. Interfering with or disrupting facility operations
313. Possessing/attempting to make alcohol
314. Destruction of property
315. Offering a bribe or anything of value to any staff or visitor
316. Possession of tobacco products or smoking materials
317. Threatening staff/inmates (terrorist threats)

### **Major Violation Sanctions**

One or more of the following sanctions may be taken for a formal violation:

1. Counseling from the program director or his designee
2. Loss of good time
3. Disciplinary isolation
4. Loss of any and all privileges except those required by law
5. Transfer to administrative segregation or reclassification to another housing unit
6. Criminal charges
5. Restitution

### **Major Violation Hearing Procedures**

1. Within 24-hours the hearing officer will speak with you and give you a copy of the violation report.
2. You will be scheduled for a hearing and notified of the date and time 24 hours in advance. The hearing will take place as soon as possible but no later than seven days (excluding weekends and holidays) after the alleged violation.
3. A staff member will be assigned to assist you at the hearing if you make a request in advance.
4. You will have an opportunity to make a statement and present documentary evidence at the hearing and you can request witnesses on your behalf.
5. You will receive a copy of the hearing board's decision and supporting reasons.
6. You may use the housing unit kiosk to appeal the hearing board's decision to the administrative lieutenant and will receive an appeal decision within five days.

## Price List to Replace Damaged Items

1.	Mattress	\$80.00
2.	Blanket	\$20.00
3.	Uniform Pants	\$15.00
4.	Tennis Shoes	\$14.00
5.	Uniform Top	\$13.00
6.	Bed Sheet	\$12.00
7.	Pillow	\$10.00
8.	Gym Shorts	\$10.00
9.	Sport Bra	\$8.00
10.	Slippers	\$6.00
11.	T-shirt	\$5.00
12.	Inmate Handbook	\$5.00
13.	Inmate ID/Debit card	\$5.00
14.	Underwear	\$3.00
15.	Pillow Case	\$3.00
16.	Socks	\$2.00

## HOW TO FILE A GRIEVANCE

---

You may file a grievance at any time to bring a problem to the attention of staff or to appeal a specific action. You may file a grievance only for yourself, although an inmate may help you prepare your grievance. Only one grievance may be filed at any one time on a single incident or item of concern. You may withdraw your grievance at any time. No staff member will take any action against you for filing or withdrawing a grievance.

### Informal Grievance

You may bring an informal (verbal) grievance to any staff member at any time. If the staff member can address the grievance or find out the answer for you, it will be done. The staff member may have to work with another staff member to resolve the issue. Otherwise you will be advised to write a formal grievance and give it to one of your housing unit officers. If that officer is unable to address the grievance, he/she will ask his/her supervisor as soon as possible to review and address the grievance.

### Formal Grievance

Formal grievances must be filed within fifteen days of an event eligible for grievance resolution. Grievance forms are available in your housing unit in the forms storage area. When you fill out the form, be as detailed as possible. Include the date, time and location and the persons involved in the event, and the date and time you are

filing the grievance. Have the housing unit officer sign the form and give you the bottom copy. The officer will make every attempt to provide you with an answer. If he/she cannot find the answer within 3 days of receiving the grievance, or the subject requires a response by a higher level staff member, the officer will forward the grievance to the sergeant for resolution. If the sergeant is not able to satisfactorily answer your grievance within 3 days of receipt, you may appeal the answer to the captain. You will be given a written answer to the grievance within thirty working days.



# Tools for Promoting Positive Inmate Behavior

---

---

## Performance Objectives

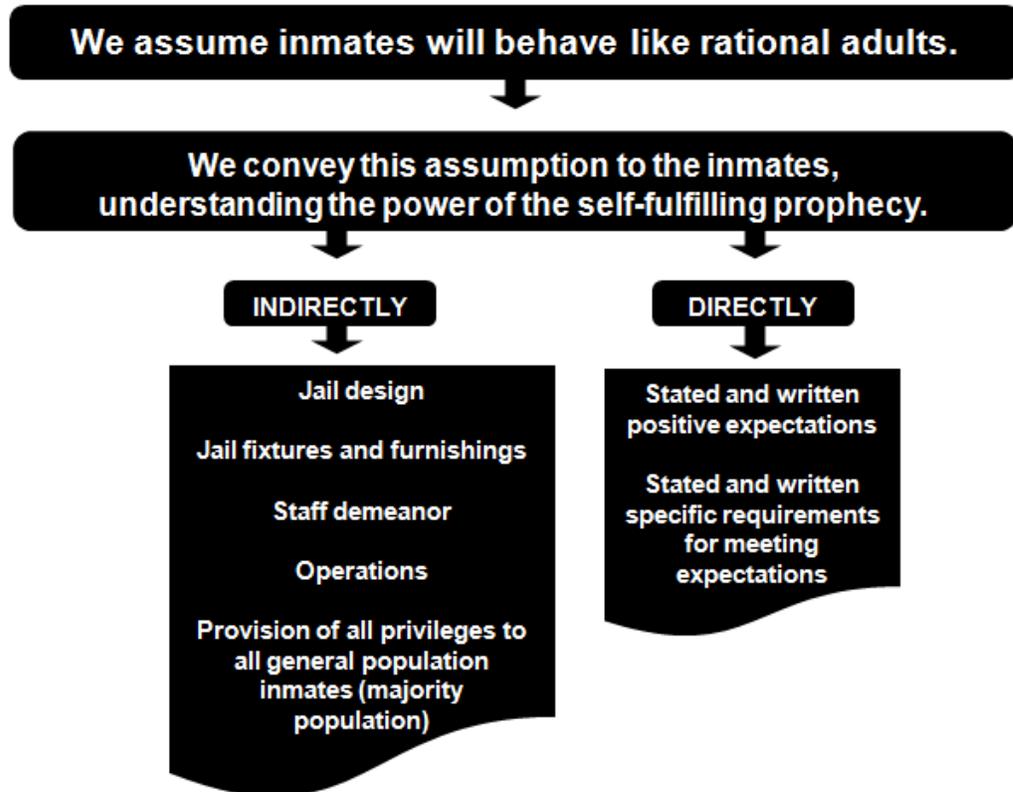
---

- Given examples of structured inmate activities, participants will assess the feasibility, usefulness, and complexity of implementing them.
- Given a large group discussion, participants will identify opportunities to give inmates positive verbal feedback.
- Given examples of desired inmate behavior and a list of special incentives to encourage that behavior, participants will identify the incentives most appropriate to the desired behavior.
- Given examples of special incentives, participants will assess the feasibility, usefulness, and complexity of implementing each.
- Given a series of options for managing problem behavior, participants will identify appropriate strategies for dealing with the behavior.
- Given an independent practice, participants will complete an exercise based on concepts taught in the module and develop individual options for promoting positive inmate behavior.

## Direct Supervision Jails are.....

---

Designed and operated to motivate inmates to behave well.



---

---

---

**Staff control all areas of the jail.**



**Officers actively and continuously supervise inmates in the housing unit, with no barriers between officers and the inmates.**



**Officers take deliberate action to promote positive inmate behavior.**



**Positive activities**



**Incentives for positive behavior**



**Sanctions for negative behavior**

---

---

---

---

### **Keeping Inmates Occupied with Positive Activities**

What happens when inmates have nothing to do?

---

---

---

**Positive activities** are the first tool you have for promoting positive inmate behavior. They can be broken down into three categories:

**Formal Programs - Examples**

---

---

---

---

---

---

**Unstructured Activities - Examples**

---

---

---

---

---

---

**Structured Activities - Examples**

---

---

---

---

---

**What can you do to encourage inmates to apply for and participate in formal programs?**

---

---

---

---

**Unstructured activities** are ones the inmates can do on their own. But you do have certain responsibilities.

**What are they?**

---

---

---

---

**Structured activities** are initiated, planned, and carried out by housing officers.

- When planning and developing structured activities, use the five fundamental considerations of decisionmaking.

Structured activity example: You are considering scheduling a card tournament on Sunday (4 days away) from 1300 - 1600. It will be open to all inmates in the housing unit. You will need to answer these questions:

1. Will conducting this activity violate policy and procedure?       Yes       No
2. What am I trying to achieve?

---

---

---

- Will this activity help me achieve that?  
 Yes       No
- Could there be unintended negative results that outweigh the benefits?       Yes       No

---

---

---

3. How will conducting this activity affect the overall management of inmate behavior in the unit?

---

---

---

4. Who else needs to be involved in the decision and how should they be involved (approval, support, advice)?

---

---

---

---

5. Who needs to be informed about the decision and how and when will I inform them?

---

---

---

---

Other issues I will need to consider:

- Is there enough interest among the inmates?
- Will the activity interfere with other scheduled activities?
- What supplies will I need?
- What exactly will be my role during the tournament and can I take care of all my duties at the same time?



## Structured Activities Exercise

---

**You have 20 minutes to finish this.**

Working in your groups, use the activity forms located at the end of this module to answer questions about the structured activities you are assigned.

## Incentives for Positive Behavior

---

The second tool you have to promote positive inmate behavior is giving inmates incentives to behave well.

Incentives include:

- Access to all privileges if housed in general population. (This is a way of conveying an assumption of rational behavior, and it also works as an incentive.)
- A thank you for good work.
- Positive feedback (must be sincere).

**What are examples of what an inmate might do that would warrant positive feedback?**

---

---

---

---

---

---

---

---

---

---

- Reward Incentives

**For what types of inmate performance or behavior would you offer this type of incentive?**

---

---

---

---

---

---

---

---

When offering reward incentives, use the five fundamental considerations of decisionmaking:

1. Will offering this incentive violate policy and procedure?
2. What am I trying to achieve?
  - a. Will offering this incentive help me achieve that?
  - b. Could there be unintended negative results that outweigh the benefits of offering this incentive?
3. How will offering this incentive affect the overall management of inmate behavior in the unit?
4. Who else needs to be involved in this decision and how should they be involved (approval, support, advice)?
5. Who needs to be informed about the decision and how and when will I inform them?

Also consider these questions:

- Will this incentive interest and motivate the inmates?
- Is the incentive appropriate in proportion to the inmate performance or behavior?
- What resources – time and supplies – will you need?
- If the incentive is a special activity, what will be your role and can you take care of all your duties at the same time?
- If the incentive is a special activity, will this conflict with other activities taking place at the same time?

In your groups, take **5 minutes** to identify as many situations as you can where it would be useful to offer inmates a special incentive for performance or behavior.

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____



## Incentives Exercise

---

**You will have 15 minutes to finish this.**

Your group will be assigned two items from the list of inmate behavior or performance that would warrant a special incentive. Working in your groups, choose an incentive from the list you think would be effective given the assigned situation.

For each incentive you choose, review the decisionmaking considerations and document your answers on the Options for Incentives to Encourage Positive Behavior decision-making forms.

## Dealing with Problem Behavior

---

The third tool for promoting positive inmate behavior is dealing with problem behavior.

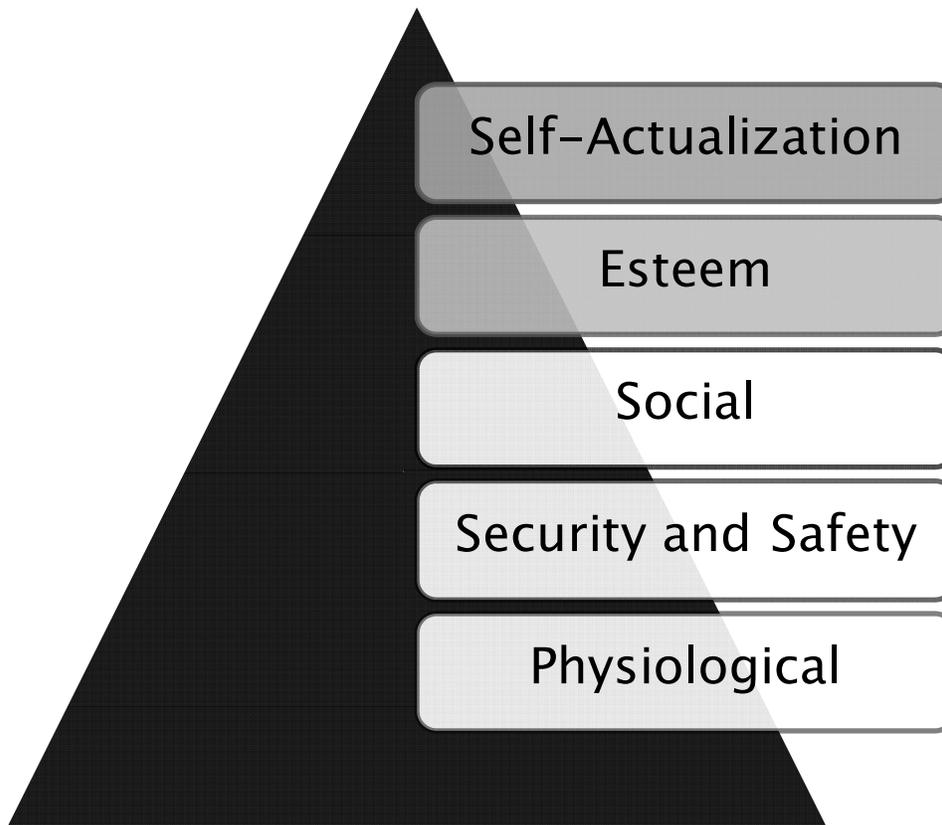
**What are some of the reasons for problem inmate behavior?**

- We expected inmates to behave badly, and we clearly communicated that expectation to them.
- We allowed them to have a lot of idle time.
- We gave them few incentives to behave positively.
- We did not actively and continuously supervise them.

What is another reason?

- We did not meet their basic needs.

## Maslow's Hierarchy of Needs



Read the following three paragraphs for a summary of the first three levels of Maslow's Hierarchy of Needs.

**The first level of human needs are physical (or physiological) needs.** These include items that sustain life and ensure a baseline of human comfort. These are the most fundamental of human needs. They include food, air, rest, protection from the elements, and sheer activity. Frequent, strong deprivation of a physical need results in total preoccupation with meeting that need and indifference to anything else.

**The second level of needs are safety needs.** Once physical needs are adequately met, the individual begins to focus on the next level of need—safety from deprivation, danger, and the threat of death or injury.

**The third level of needs are social needs.** Once people are safe, they want to belong, to be associated with others, and to be accepted by friends and colleagues. People want to give and receive friendship. Inmates will insist on satisfying their social needs once the physical and safety needs are met

To prevent problem behaviors, inmates' basic needs (physiological, safety, social) must be met.

**Physiological needs include food, air, and shelter. If the jail does not meet these needs for inmates, what might the inmates do to meet these needs on their own?**

---

---

---

---

**If the jail doesn't meet the inmates' need for safety, what might the inmates do to meet this need on their own?**

---

---

---

---

**If the jail doesn't meet the inmates' social need, what might the inmates do to meet this need?**

---

---

---

---

Because you will be in the unit interacting with inmates, you will be more able to identify when inmate basic needs aren't being met.

You will also be in a position to more readily identify problem inmate behavior, most of the time in its early stages.

- Problem behavior must always be addressed.
- Inmates must be held individually accountable.
- Most problem behaviors will be handled in the housing unit.

## **How to Deal Effectively with Problem Behavior**

---

1. Stop the immediate problem.
2. Assess the nature and severity of the problem.

Consider factors such as:

- a. The level of security risk posed by the problem behavior.
- b. The level of safety risk the behavior poses to the inmate or others.
- c. If an inmate has a history of non-compliance with behavioral expectations.

3. Identify the reason for the behavior.
  - a. Will the reason influence the way in which you address the behavior?
  - b. Is there an underlying issue that should be addressed?
4. Chose and carry out an action to address the problem behavior.
5. Document and communicate incidents of problem behavior.
  - a. This may be informal documentation such as a unit log entry or a more formal method such as an incident report.
  - b. The documentation used will depend on the severity of the problem behavior.

**What kinds of in-unit discipline can you administer?**

---

---

---

---

---

---

---

---

## Problem Behavior Exercise

---

**You have 15 minutes to finish this.**

Working in your groups, review the assigned scenarios.

- Determine if a sanction is warranted. If so, identify an appropriate sanction, taking all the information into account. Also, identify any follow-up action needed.
- Note any missing information that would have helped you to make a better- informed and more effective decision.

## Scenario #1

### Inmate Renee Farnsworth, Female Unit

Inmate Farnsworth has been in jail for six days, and this is her first time in jail. During her stay, officers have had interactions with her about some minor problem behaviors. These behaviors and the officers' interactions included:

- Using paper to block the view window in her cell door. The officer told her that blocking the window into her cell was not allowed because he could not see into the cell to check her safety and well-being. He wrote a minor disciplinary report to document the incident. No sanctions were given other than a verbal warning.
- Washing her jumpsuit in the sink in her cell. The officer told her she needed to wait for clothing exchange and that she should not use the sink to wash her jumpsuit. This incident was noted in the unit log and no disciplinary report was written.
- An extra jumpsuit in her cell. The officer wrote a minor rule violation report and took away one visit.

During your shift, you are making security rounds and checking the cells. When you come to Inmate Farnsworth's cell, you see her hanging a sheet from the end of the top bunk. This blocks the view of the desk and toilet area. When you speak to her about hanging up the sheet, she says she is uncomfortable and feels violated every time she uses the toilet in her cell. (Both male and female officers are assigned to work the housing unit on different shifts.) She goes on to say she always feels her clothes are dirty since the top of the jumpsuit lays on the floor when she is going to the restroom, and that is why she was found washing her jumpsuit and also with an extra jumpsuit.

**Is any information missing that might help you make a better decision about a sanction? If so, what is missing?**

---

---

**Scenario #1 (cont.)**

**Knowing what you do know, what sanctions, if any, do you believe would be an appropriate response to this behavior? List all you can think of.**

---

---

---

---

**Which sanction is the best response, and why?**

---

---

---

**What do you tell Inmate Farnsworth?**

---

---

---

**What follow-up, if any, should you take?**

---

---

## Scenario #2

### **Inmate Eric Stafford, Non-Acute Medical Unit**

Inmate Stafford has been in jail a number of times and has always been a model inmate. He was involved in a serious car accident and was arrested for felony DWI. He spent a few months in the hospital and physical therapy before coming to the jail. He is a paraplegic as the result of his accident and spent the first four months in jail in the acute medical unit. He has become proficient in the use of his wheelchair and was recently moved into a general population housing unit that has an accessible cell. He has recently been asking for Tylenol as often as he is allowed to do so and has put in a request for sick call.

You are searching Inmate Stafford upon his return from a GED program. You notice the handle of his wheelchair is loose and you take the grip off of the handle to see why. You find a plastic bag containing 25 Tylenol and five Advil. An empty plastic bag is also in the handle and looks like it has residue in it similar to that of the other bag. Your commissary does not sell over-the-counter medications.

**Is any information missing that might help you make a better decision about a sanction? If so, what is missing?**

---

---

**Knowing what you do know, what sanctions, if any, do you believe would be an appropriate response to this behavior? List all you can think of.**

---

---

---

**Scenario #2 (cont.)**

**Which sanction is the best response, and why?**

---

---

---

---

**What do you tell Inmate Stafford?**

---

---

---

---

**What follow-up, if any, should you take?**

---

---

---

### Scenario #3

#### **Inmate Domingo Perez, Inmate Worker Unit**

Inmate Perez is the “overlap kitchen worker” and is used to fill in for other inmate workers who are not available to work due to illness, court appearances, etc. Before Inmate Perez left for his work assignment in the early morning, you found him using a telephone in the program room. You know that program room phones are off-limits to inmates unless special permission is given, generally due to family emergencies. When you asked him why he had done so, he said he had been filling in for absent kitchen workers for several days in a row and has been working double shifts. He hasn’t been able to use the telephone in the unit because the phones aren’t on yet when he leaves for his work assignment and he doesn’t come back until after the phones are turned off. He hasn’t been able to talk to any of his family or friends for a week.

**Is any information missing that might help you make a better decision about a sanction? If so, what is missing?**

---

---

**Knowing what you do know, what sanctions, if any, do you believe would be an appropriate response to this behavior? List all you can think of.**

---

---

---

**Scenario #3 (cont.)**

**Which sanction is the best response, and why?**

---

---

---

**What do you tell Inmate Perez?**

---

---

---

**What follow-up, if any, should you take?**

---

---

---

## Scenario #4

### **Inmate David Sanders, General Population Unit**

Inmate Sanders is involved in a jury trial that has been going on for several days. Four days ago, Inmate Sanders' roommate told another housing unit officer that Inmate Sanders had gotten into his (roommate's) commissary and eaten some of the soup he bought. The officer spoke with Inmate Sanders, and documented it on a minor rule violation. He also spoke to the roommate to gauge his feelings about sharing a room with Inmate Sanders. The roommate said it would be okay.

Two days ago, Inmate Sanders was searched before leaving the unit for court and a hard-boiled egg was found hidden in his sock. The officer took the egg and gave Inmate Sanders a verbal warning about keeping food from meals.

Today, when Inmate Sanders returned to the unit from his jury trial he asked if there was any food left over from lunch. You said that the food trays had been taken back to the kitchen and asked if he had received a bag lunch. He said he had but it wasn't made like his special diet lunch.

Shortly before dinner, Inmate Sanders comes to the officers' station and hangs around. You notice he has a new scratch on his cheek and you ask what happened. He tells you that he was really hungry and that he had again taken something out of his roommate's commissary. His roommate caught him and punched him.

**Is any information missing that might help you make a better decision about a sanction? If so, what is missing?**

---

---

---

**Scenario #4 (cont.)**

**Knowing what you do know, what sanctions, if any, do you believe would be an appropriate response to this behavior? List all you can think of.**

---

---

---

**Which sanction is the best response, and why?**

---

---

---

**What do you tell Inmate Sanders?**

---

---

---

**What about Inmate Sanders' roommate?**

---

---

---

**Scenario #4 (cont.)**

**What follow-up, if any, should you take?**

---

---

---

## **Independent Practice**

---

**Take 20 minutes to individually complete the exercise.**

This module focused on promoting positive inmate behavior using three primary tools: 1) keeping inmates occupied with positive activities; 2) using incentives to motivate positive behavior; and 3) responding to problem behaviors.

### **Keeping Inmates Occupied with Positive Activities**

Think about the options for positive inmate activities we discussed. List two activities you intend to implement that require no supervisory approval. For each, identify the supplies needed and, if applicable, the staff whose assistance you will need and the staff who will need to be informed about the activity.

**Positive Inmate Activity #1**

**Supplies, Staff Support Needed, Staff to be Informed**

**Positive Inmate Activity #2**

**Supplies, Staff Support Needed, Staff to be Informed**

**Using Incentives to Promote Good Behavior**

Using the copies of the incentives options, prioritize five of them in the order you would like to try them. Use the table below to list them in that order. If there is other information needed or if there are other steps you must take to implement any of them that have not been addressed on the form, note those steps.

<b>Option for Encouraging Positive Behavior</b>	<b>Additional Steps Required</b>

## Dealing with Problem Inmate Behavior

Read the following three scenarios and, from the list provided, select the most appropriate discipline based on the information available. Explain why the option you chose was the best choice. Use the chart to document your decisions.

Problem Inmate Behaviors	Response
<p>Inmates are required to have their beds made by 7 a.m. each day for cell inspections. You have had to remind Mr. Jones two days in a row to make his bed, which he did after you prompted him. On the third day, he again did not make his bed in time for inspection.</p>	<p> <input type="checkbox"/> Remind him again  <input type="checkbox"/> Extra work detail  <input type="checkbox"/> 4-hour cell lock down  <input type="checkbox"/> Loss of 1 commissary draw         </p>
<p>Why the option selected is the best choice:</p>	
<p>Gambling is strictly prohibited in the jail. During a cell inspection, you notice that Mr. Smith has a lot of commissary items in his room. You thought he was indigent, and you confirmed this. You ask him how he got all of the food, and he shrugs and says other inmates wanted to share with him. Later that day, another inmate tells you that Mr. Smith collects his gambling debts in commissary.</p>	<p> <input type="checkbox"/> Major violation disciplinary report  <input type="checkbox"/> Loss of visit  <input type="checkbox"/> 24-hour cell lock down  <input type="checkbox"/> Minor violation disciplinary report  <input type="checkbox"/> Remove from unit         </p>
<p>Why the option selected is the best choice:</p>	

(More on the next page)

Problem Inmate Behaviors	Response
<p>A group of inmates is playing chess at a dayroom table. Mr. Brown suddenly begins to yell obscenities at another player, stands up, pushes the game on to the floor, and hits Mr. Jones on the back of the head.</p>	<p><input type="checkbox"/> 24-hour cell lock down</p> <p><input type="checkbox"/> Loss of commissary for one week</p> <p><input type="checkbox"/> Remove from unit</p> <p><input type="checkbox"/> Major violation disciplinary report</p>
<p>Why the option selected is the best choice:</p>	

## Proposed Structured Activity:

---

Is it a violation of policy and procedure? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	
What am I trying to achieve?	<p>Will this activity help me achieve that?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Could there be any unintended negative consequences that outweigh the benefits?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>How can any negative consequences be managed?</p>
How will conducting this activity affect the overall management of inmate behavior in the unit?	
Who else needs to be involved in the decision and how should they be involved (approval, support, advice)?	
Who needs to be informed about the decision and how and when will I inform them?	
Will there be sufficient interest among the inmates? Yes <input type="checkbox"/> No <input type="checkbox"/>	
<p>Will the activity interfere with any other scheduled activities?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p>If so, what are they?</p> <p>Is it possible to work around them or reschedule them?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If I work around them or reschedule them, is there any negative effect on other inmates or staff?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>

**(Keep going, there's more on the other side)**

## Proposed Structured Activity:

---

What supplies will I need?	Are they readily available in the unit?  Yes <input type="checkbox"/> No <input type="checkbox"/>  If not, where can I get them and from whom?
What exactly will my role be during the activity?  Can I take care of my duties while the activity is taking place? Yes <input type="checkbox"/> No <input type="checkbox"/>  How?	

## OPTIONS FOR INCENTIVES TO ENCOURAGE POSITIVE BEHAVIOR

Is offering this incentive a violation of policy and procedure? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	
What am I trying to achieve?	<p>Will offering this incentive help me achieve that?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Could there be any unintended negative consequences that outweigh the benefits of offering this incentive?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>How can any negative consequences be managed?</p>
How will offering this incentive affect the overall management of inmate behavior in the unit?	
Who else needs to be involved in the decision and how should they be involved (approval, support, advice)?	
Who needs to be informed about the decision and how and when will I inform them?	
Will this incentive interest and motivate the inmates? Yes <input type="checkbox"/> No <input type="checkbox"/>	
Is the incentive appropriate in proportion to the inmate performance or behavior?	
Yes <input type="checkbox"/> No <input type="checkbox"/>	
What resources (time and supplies) will be needed for this incentive?	<p>Are they readily available in the unit?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If not, where can I get them and from whom?</p>

## OPTIONS FOR INCENTIVES TO ENCOURAGE POSITIVE BEHAVIOR

<p>If the incentive is a special activity, what will be my role during the activity?</p> <p>Can I take care of my duties while the activity is taking place? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>How?</p>	
<p>If the incentive is a special activity, will it conflict with other activities taking place at the same time?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p>If so, what are they?</p> <p>Is it possible to work around them or reschedule them?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If I work around them or reschedule them, is there any negative effect on other inmates or staff?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>

# What About Everything Else?

---

---

## Performance Objectives

---

- Given a list of tasks related to housing-unit management, participants will develop strategies for task completion that minimize the time these tasks take away from officer-inmate interaction.
- Given an independent practice, participants will complete an exercise based on concepts taught in the module and develop strategies to address concerns about time and task management.



## **Opportunities for Interaction / Part 1 Task Interaction Exercise**

---

**You will have 10 minutes to finish this.**

Review the list of tasks. Identify which increase and which decrease interaction with inmates. Work with your group to complete the list using the form provided.

**For this part of the exercise, complete only columns 1, 2, and 3.**

## **Who Controls These Tasks / Part 2 Task Interaction Exercise**

---

**You will have 5 minutes to finish this.**

Consider again the full list of tasks the class developed. You can see that many of these tasks are within your control, but many are driven by others.

Go to column 4 on the form you completed in the last exercise. For each task on the list, note if it is:

- Individually controlled by you (the unit officer);
- Controlled by the sergeant or administration;
- Affects or is controlled by other operational units;
- Controlled by inmates.

## Discussion

---

The decisions you make can affect other operational groups, and can certainly affect the inmates. The decisions made by other operational units can affect you as well. It is important to remember the decisionmaking framework as you approach decisions about tasks.

It will be important for you to determine if completion of certain tasks hinders your ability to supervise and manage the inmates. Sometimes it may be necessary to explore alternative options for task completion. If so, be sure to involve your supervisor and others who may be affected by the option you recommend.

## Taking Control of Tasks / Part 3 Task Interaction Exercise

---

**You have 15 minutes to finish this.**

Each group will be assigned a number of tasks in each category.

For each task you are assigned, develop strategies to complete the task effectively and efficiently, with minimal adverse effect on your interaction with inmates. Strategies may range from modifying how the unit officer completes the task to suggesting it could be completed by other staff. Consider the impact of your strategies on other operational teams and, where possible, how that impact can be mitigated.

## Independent Practice

---

**Take 15 minutes to individually complete the exercise.**

This module focused on time and task management in the housing unit. We discussed the wide variety of tasks housing officers must complete each day, including administrative tasks that take away from your time interacting with inmates.

### **Time and Task Management Concerns and Strategies**

Identify your top three concerns about managing the many tasks you will be expected to complete in the housing unit. For each, suggest at least one strategy you might use to mitigate your concern. Strategies might include conferring with your supervisor, conferring with other officers assigned to the unit, developing schedules for your task completion, and others. Be as specific as possible in describing your strategy. You are likely to use these when you begin working in your unit.

**Concern:**

---

**Strategy to address concern:**

---

---

---

---

---

---

---

**Concern:**

---

**Strategy to address concern:**

---

---

---

---

---

---

---

---

**Concern:**

---

**Strategy to address concern:**

---

---

---

---

---

---

---

---

# Strategies for Success

---

## Performance Objectives

---

- Given a small group exercise, participants will determine the meaning of the 22 strategies and how they relate to what they have learned.
- Given an independent practice, participants will identify their strengths and challenges as direct supervision housing officers and develop strategies to address the challenges.
- Given an independent practice, participants will describe how their perceptions of direct supervision have changed during the course of this program.
- Given a small group exercise, participants will identify what they learned in the program that let them know they can and want to work in a direct supervision housing unit.

## Things You Have Learned

---

### What have you learned? You have learned.....

- What direct supervision is.
- Critical dimensions of a direct supervision housing unit officer's performance (7 critical dimensions).
- How your role will change to that of a supervisor and manager in the housing unit.
- How you work both independently and as part of a team.
- How expectations are set and communicated.
- How to promote positive behavior.
- How to get everything else done.

### How will you remember all of this information?

It might be helpful to refer to strategies for success identified by a group of direct supervision housing unit officer. There are 22 strategies.

- They are a companion piece to the 7 critical dimensions.
- They are a way to summarize your role as housing unit officers.

## 22 Strategies for Managing a Direct Supervision Housing Unit Exercise

---

**You will have 20 minutes to finish this.**

Your group will be assigned a few of the strategies. Individually, consider your assigned strategies, and then discuss them in your group. On a poster, write your answers to the following questions about each of your strategies.

- What does this mean to you as a direct supervision housing unit officer?
- How does this enhance your effectiveness as a unit officer?
- How does it relate to what you have learned this week?

Assigned Strategy Numbers:

---

**(Start on the next page.)**

### 1. Think like a good supervisor

What does this mean to you as a direct supervision housing unit officer?	
How does this enhance your effectiveness as a unit officer?	
How does it relate to what you have learned this week?	

### 2. Expect the best: The self-fulfilling prophecy

What does this mean to you as a direct supervision housing unit officer?	
How does this enhance your effectiveness as a unit officer?	
How does it relate to what you have learned this week?	

### 3. Set clear expectations with inmates

What does this mean to you as a direct supervision housing unit officer?

How does this enhance your effectiveness as a unit officer?

How does it relate to what you have learned this week?

### 4. Use positive reinforcement techniques

What does this mean to you as a direct supervision housing unit officer?

How does this enhance your effectiveness as a unit officer?

How does it relate to what you have learned this week?

### 5. Hold inmates accountable for their behavior

What does this mean to you as a direct supervision housing unit officer?	
How does this enhance your effectiveness as a unit officer?	
How does it relate to what you have learned this week?	

### 6. Treat inmates with respect and consideration: The Golden Rule

What does this mean to you as a direct supervision housing unit officer?	
How does this enhance your effectiveness as a unit officer?	
How does it relate to what you have learned this week?	

**7. Be just and fair**

What does this mean to you as a direct supervision housing unit officer?

How does this enhance your effectiveness as a unit officer?

How does it relate to what you have learned this week?

**8. Rely on the least restrictive supervisory techniques necessary**

What does this mean to you as a direct supervision housing unit officer?

How does this enhance your effectiveness as a unit officer?

How does it relate to what you have learned this week?

### 9. Manage the unit by walking and talking

What does this mean to you as a direct supervision housing unit officer?	
How does this enhance your effectiveness as a unit officer?	
How does it relate to what you have learned this week?	

### 10. Identify and address inmate concerns

What does this mean to you as a direct supervision housing unit officer?	
How does this enhance your effectiveness as a unit officer?	
How does it relate to what you have learned this week?	

**11. Be a source of information and services**

What does this mean to you as a direct supervision housing unit officer?	
How does this enhance your effectiveness as a unit officer?	
How does it relate to what you have learned this week?	

**12. Encourage inmates to take responsibility for themselves**

What does this mean to you as a direct supervision housing unit officer?	
How does this enhance your effectiveness as a unit officer?	
How does it relate to what you have learned this week?	

**13. Plan and supervise unit activities**

What does this mean to you as a direct supervision housing unit officer?	
How does this enhance your effectiveness as a unit officer?	
How does it relate to what you have learned this week?	

**14. Develop and measure personal goals for the unit**

What does this mean to you as a direct supervision housing unit officer?	
How does this enhance your effectiveness as a unit officer?	
How does it relate to what you have learned this week?	

**15. Apply policies and procedures appropriately to achieve unit objectives**

What does this mean to you as a direct supervision housing unit officer?	
How does this enhance your effectiveness as a unit officer?	
How does it relate to what you have learned this week?	

**16. Keep your supervisors and co-workers informed**

What does this mean to you as a direct supervision housing unit officer?	
How does this enhance your effectiveness as a unit officer?	
How does it relate to what you have learned this week?	

**17. Take the initiative: Just do it**

What does this mean to you as a direct supervision housing unit officer?	
How does this enhance your effectiveness as a unit officer?	
How does it relate to what you have learned this week?	

**18. Take calculated risks**

What does this mean to you as a direct supervision housing unit officer?	
How does this enhance your effectiveness as a unit officer?	
How does it relate to what you have learned this week?	

**19. Be creative**

What does this mean to you as a direct supervision housing unit officer?

How does this enhance your effectiveness as a unit officer?

How does it relate to what you have learned this week?

**20. Be flexible**

What does this mean to you as a direct supervision housing unit officer?

How does this enhance your effectiveness as a unit officer?

How does it relate to what you have learned this week?

**21. Be a role model for the unit**

What does this mean to you as a direct supervision housing unit officer?	
How does this enhance your effectiveness as a unit officer?	
How does it relate to what you have learned this week?	

**22. Be yourself**

What does this mean to you as a direct supervision housing unit officer?	
How does this enhance your effectiveness as a unit officer?	
How does it relate to what you have learned this week?	













# THE ANNOTATED PRINCIPLES OF DIRECT SUPERVISION

## PRINCIPLE 1: EFFECTIVE CONTROL

---

Effective control of inmate behavior is fundamental to a correctional facility's operation. The control of inmate behavior in a direct supervision facility is achieved through the application of the following six sub-principles of this principle.

### **A. Total Control**

Staff in direct supervision jails firmly establish their authority over all space and activities in the facility, particularly inmate housing areas. When staff control the inmates, rather than allowing inmates to control one another, both will be far safer. A fundamental precondition of direct supervision is that inmates who do not comply with the verbal instructions of staff be housed in a segregation unit.

### **B. Sound Perimeter Security**

A direct supervision jail's physical security is concentrated on the perimeter. Sound perimeter security permits greater flexibility in the internal operations, permitting them to take place in a more normalized environment. To lessen the chances that perimeter security is breached, doors that unit staff control should not lead to a direct path of escape from the facility and frequent security inspections should be conducted to detect any damage or attempts to compromise the perimeter's structural integrity.

### **C. Population Divided into Manageable Groups**

The size of inmate groups should not exceed that which can be effectively managed. When staff perceive that the size of the inmate group that they are supervising is not manageable they will lack the confidence to function at their highest potential.

### **D. Easily Surveillable Areas**

Unit officers can more effectively control inmates' behavior when they can easily observe their housing unit. This does not necessarily mean there is one point from which all areas of the unit are visible, but lines of sight should be unobstructed so that officers can see most areas by turning their head and all areas by taking a few steps. Not only should staff easily be able to view all areas under their supervision, but the inmates should also be able to see the entrances to their rooms easily from the dayrooms. This provides a quality known as "protectable space."

### **E. Accountability For Behavior**

Accountability for behavior is established through both inmate management techniques and structural design features. When inmates have a feeling of anonymity they are emboldened to behave unacceptably. To remedy this condition, staff must deal with the inmates as individuals by making a concerted effort to address them by their names. Greater accountability for behavior can also be achieved by completing a cell inspection form when inmates are assigned to a new cell and holding them accountable for any subsequent damage. A facility design that incorporates the concept of space accountability, such as single cells and dedicated space for one unit, further supports accountability for behavior.

## **F. Maximizing Inmates' Self-Control**

Most inmates are very capable of exercising control over their behavior when provided the opportunity and the motivation. One example is the opportunity to retreat to an individual cell when tempted to display aggressive behavior. Hyperactive inmates are provided a chance to release their energy in the outdoor exercise area at any time of the day. Consistent enforcement of inmate rules by staff provides the necessary motivation for inmates to employ self-control.

## **PRINCIPLE 2: EFFECTIVE SUPERVISION**

---

Effective supervision of inmates is closely related to effective control, but more specifically refers to the interaction between the unit officer and the inmate. Effective supervision is a dynamic process the unit officer employs to manage inmate behavior, based on generally accepted behavior management techniques. To achieve effective supervision, the following five sub-principles of this principle must be in place.

### **A. Staff-to-Inmate Ratio**

The number of inmates that a unit officer has to supervise will have a critical bearing on how effective this supervision will be. While fewer inmates are easier to supervise, fiscal reality dictates that an officer supervise as many inmates as reasonably possible. The collective experience with staffing ratios during the past 25 years is that one officer can effectively supervise 64 inmates and under special circumstances can effectively supervise 72. An additional finding is that one officer supervising 64 inmates is more effective than two officers supervising 100 inmates. Many variables affect the effective ratio of unit officers to inmates, such as: the inmates' classification, the housing unit design, the officer's supervision skills, and the types of activities in the unit. Because of this, setting one ratio for all applications is unrealistic.

### **B. Officer in Control of Unit**

A critical precondition to assigning a single officer to manage a housing unit is that the officers have sufficient authority commensurate with their responsibilities. Since officers will exercise their authority through verbal commands rather than physical force, there should be a mechanism to remove inmates who refuse to comply with officers' directions.

### **C. Unit Officer's Leadership Role**

One of the major sources of inmate violence is the struggle for leadership when a leadership void exists. To prevent competition for leadership among inmates, the officer must fill the void. There is room for only one leader on a housing unit and that leader must always clearly be the officer. The officer must not share the leadership role with an inmate by placing one inmate in a subordinate role to another. The officers' duties and the unit environment should be structured to support and emphasize their role as undisputed leader of the unit. Any inmate who competes for the leadership role must be dealt with effectively, even if that means removal from the housing unit.

## **D. Frequent Supervision By Management**

Management must take an active role in ensuring that staff are successful in supervising inmates. Supervisors and administrators must maintain a high profile on the units to assure that staff are performing their duties correctly and according to established policy. The exercise of considerable independent authority by unit officers requires frequent monitoring to ensure that this authority is not abused. Supervisors should give this attention in a supporting way, taking care not to undermine the unit officers' authority.

## **E. Techniques of Effective Supervision and Leadership**

A considerable body of knowledge has been collected and verified concerning techniques of supervision and leadership in all forms of human endeavors. Most of these techniques are also applicable in a direct supervision facility. Mastery of these techniques will enable the officers to perform their duties skillfully and with a sense of professional competence.

## **PRINCIPLE 3: COMPETENT STAFF**

---

When a correctional facility emphasizes the management of inmate behavior, staff effectiveness is most critical. When successful operation is dependent upon staff rather than technological devices or physical barriers, staff must be sufficiently competent to achieve these important objectives.

### **A. Recruiting Qualified Staff**

The first requirement for assuring competent staff is to recruit staff with the qualifications necessary to perform the duties of a direct supervision unit officer. A candidate for this position should be able to relate effectively to people, and to learn the skills required of this position and should have leadership potential. Qualified candidates do not have to be college graduates, but should be capable of being trained.

### **B. Effective Training**

In addition to basic correctional officer training, the officer must be trained extensively in the following areas: the history, philosophy and principles of direct supervision; responsibilities and tasks specific to the unit officer's position; and techniques of effective supervision, leadership, and interpersonal communications.

### **C. Effective Leadership by Management**

It is critical that supervisors and managers visit the units with sufficient frequency to assure that staff are functioning consistently with institutional policy. Policy should be adequately documented to provide a consistent structure that facilitates continuity among shifts and units. To maximize the benefits of direct supervision, management must engineer the role of the housing officer and structure the supervisors' visits to assure quality performance.

## **PRINCIPLE 4: SAFETY OF STAFF AND INMATES**

---

Probably the greatest concern about being incarcerated or seeking employment in a detention facility is personal safety. It is imperative that jails ensure the safety of staff and inmates, as well as create the perception of safety, for the full benefits of direct supervision to be achieved. The following five sub-principles emphasize why this principle is so important.

### **A. Mission and Public Expectations**

Despite the general fears associated with detention facilities in our society, there is a public expectation that inmates should be safe, and that the staff who operate these facilities should not be exposed to undue hazards. The basic mission of a detention facility is to provide safe and secure custody of its wards until they are released.

### **B. Life Safety Codes**

Prisons and jails have all too often been the scenes of tragic fires. The fatalities from these fires occurred primarily from smoke inhalation, due to deficient evacuation plans and key control procedures. Any facility, regardless of architectural style or inmate management style, must be compliant with life safety codes.

### **C. Personal Liability**

Millions of dollars have been paid in court-awarded damages to victims or their families as a result of personal injuries sustained in detention facilities because of preventable unsafe conditions. The facility administrator's obligation to protect prisoners has been clearly established in case law.

### **D. Inmates' Response to Unsafe Surroundings**

Inmate response to unsafe surroundings is rather predictable—self-preservation. It is a basic human instinct. Inmates attempt to enhance personal safety by acquiring defensive weapons, affiliating with a kindred group for common defense, presenting themselves as tough persons not to be messed with, or by purchasing security with cash or kind. Inmates often commit violent or destructive acts in order to be placed in administrative or punitive segregation, which they perceive to be safer than general population housing. The very acts that practitioners identify as the primary inmate management problems are often normal reactions to unsafe surroundings.

### **E. Staff Response to Unsafe Working Conditions**

Staff's response to unsafe conditions is similar to the inmates' response, since self-preservation is a basic instinct that we all have in common. Staff often affiliate with unions to achieve safer working conditions. They avoid personal contact with inmates and avoid patrolling areas they perceive to be unsafe. All too frequently, staff avoid coming to work by using sick leave for stress-related disabilities or by simply abusing the sick leave system. They are also known to occasionally carry their own personal and prohibited weapons, and some have tried to buy personal safety from inmates by granting special favors. Housing units should be designed to maximize what is known as "protectable space" to reinforce the officers' safety as well as their perception of safety on the unit.

## **PRINCIPLE 5: MANAGEABLE AND COST-EFFECTIVE OPERATIONS**

---

One very practical consideration for any facility is that it be manageable and cost-effective. Many jurisdictions are already spending more on detention than they consider proportionate to their tax base without achieving their correctional objectives. The effective application of the following six sub-principles will enable the facility to fulfill its mission and, at the same time, reduce costs and improve manageability.

### **A. Reduced Construction and Furnishing Costs**

The initial costs savings in a direct supervision facility are those related to construction. The absence of vandal-proof and security -style furnishings, fixtures, and finishes throughout 90% of the facility is the major contributor to lower construction costs. Experience with commercial-grade material in direct supervision facilities since 1975 has demonstrated that administrators may confidently select less-costly alternatives to security/vandal-proof components without concern that replacement costs will cancel out initial savings.

### **B. Wider Range of Architectural Options**

In a facility where inmate behavior is managed so that vandalism is minimal, the architect is free to select a wider range of materials to improve the facility's manageability. For example, good acoustics are critical to the daily operations of a detention facility. Good acoustical qualities facilitate officers' communication with inmates, and enable them to hear radio communications clearly, as well as aid in the detection of security breaches. The use of carpeting in the dayroom area is one way to improve acoustics. Carpeting also reduces slippage on wet floor surfaces, which is a major cause of staff injury. Wooden cell doors do not expand like steel doors in a fire and are less likely to impede safe evacuation. This option can be selected without concern that the doors will be defaced.

### **C. Reduced Vandalism**

Operating costs can be dramatically reduced by curtailing vandalism. The virtual absence of graffiti and vandalism in a direct supervision facility is achieved by making inmates accountable for their behavior and by promptly restoring any area that has been vandalized. Since graffiti and vandalism are two environmental indicators of the absence of control, it is important that they are not visible in a correctional facility.

### **D. Anticipation of Fundamental Needs**

As indicated previously, much negative inmate behavior results from efforts to fulfill human needs. Proactive managers can use their knowledge of how human needs affect behavior to achieve the behavioral response they are seeking. They must engineer the dynamics of the living unit so that the fulfillment of the inmates' human needs can only be achieved through positive behavior. If inmates understand that most of their fundamental needs can be fulfilled in a general population housing unit, then they have a very important investment in remaining on the unit.

## **E. Sanitation and Orderliness**

The activities involved in maintaining a clean and orderly unit are important devices for managing a direct supervision housing unit. These activities promote a healthy interaction between staff and inmates in which the inmates become conditioned to responding positively to the officer's directives. Equally important is the frequent opportunity provided for inmates to resist the officer's directives. These instances continually verify that the inmate is compliant enough to function on a direct supervision unit. The orderly state of the unit is also a constant visual reminder that the officer is actively controlling the unit. Competition among units for a prize awarded to the cleanest can produce positive results in maintaining a high standard of sanitation and orderliness. The pursuit of high sanitary objectives also provides an important structured opportunity for officers to develop their leadership skills

## **F. Opportunities for Reintegration**

This sixth sub-principle, reintegration or redirection, has evolved since the original development of the principles of direct supervision. Rehabilitation to any degree has not traditionally been a function of detention facilities, which hold primarily pre-trial inmates. The rehabilitation of even sentenced offenders has been considered a questionable goal. In direct supervision facilities, however, there has been increased focus on developing rehabilitative programs and activities because many of the day-to-day inmate management problems, which previously consumed much of the administrators' attention, have been significantly reduced.

## **PRINCIPLE 6: EFFECTIVE COMMUNICATION**

---

Effective communication is a critical ingredient in the operational strategy of all human enterprises. Jails are not exceptions, and management must be sensitive to the important impact of the three sub-principles of this principle.

### **A. Frequent Inmate and Staff Communication**

Communication skills are essential to the officers' leadership position in the housing unit. Management, then, should structure the unit officer's duties so that frequent communication with all inmates is a requirement of the post and not merely left up to the initiative of the officer.

### **B. Communication Among Staff Members**

Because individual officers are assigned to separate units, management must be especially careful to facilitate communications among staff members. Unit officers who work effectively with inmates sometimes find that the obstructions they encounter appear to be placed there by other staff members. This can be prevented by establishing good channels of communication between shifts and among assignments. Arrange lunch breaks to be taken with other unit officers. Good communications can also be achieved through shift roll calls, timely and clear policy and procedure statements, post orders, and unit logs. Team meetings with unit officers have also been found effective in providing the necessary opportunities for staff communication.

### **C. Communication Skills Training**

Staff should receive thorough training in interpersonal communication skills. The techniques of effective communication will greatly assist unit officers in achieving their objectives.

## **PRINCIPLE 7: CLASSIFICATION AND ORIENTATION**

---

The classification and orientation of inmates must be an integral part of the day-to-day operations of direct supervision facilities.

### **A. Knowing With Whom You Are Dealing**

Officers must know with whom they are dealing and should have the benefit of as much information about each inmate as possible. While it is true that detention facilities often receive many prisoners about whom little information exists, they also receive many repeaters whose confinement records should detail, among other things, their behavior patterns in confinement.

### **B. Orientation**

Inmates should be told during the admission process what is expected of them. For most people a correctional facility is an unfamiliar environment, and a direct supervision facility is unique among correctional facilities. A carefully structured orientation program will save time and prevent misunderstandings. A videotaped orientation presentation in the languages frequently encountered among admitted inmates has proven extremely effective.

### **C. Assumption of Rational Behavior**

Human behavior is amazingly responsive to expectations communicated. This has been demonstrated frequently in educational settings and has been the object of considerable research. When we convey to people the kind of behavior we expect from them, either verbally or non-verbally, their tendency is to respond to these cues.

### **D. Maximum Supervision During Initial Hours of Confinement**

Special attention during the orientation period is indicated since the first 24 to 48 hours of confinement are a critical period in the detention process. The highest rate of suicide occurs during this time, accounting for nearly half the total jail suicides. Intensive supervision at this phase of the detention process and the prompt identification of inmates with self-destructive tendencies will contribute to a lower suicide rate.

## **PRINCIPLE 8: JUSTICE AND FAIRNESS**

---

Justice is a fundamental aspect of correctional facility management. Because of the many implications of this issue on jail operations and its significance to jail management, it is regarded as an operational principle. The application of the following four sub-principles will help to achieve this concept.

### **A. Mission and Public Policy**

A critical part of the mission of most detention facilities is the provision of just custody. This is in recognition of the fundamental obligation to comply with constitutional standards and other applicable codes and court decisions. Despite widespread public confusion regarding the role of the detention facility, there is a public expectation that inmates should be treated fairly and in accordance with the law.

### **B. Consistent Root Cause of Collective Violence**

The level of violence in our society has reached such alarming proportions that there have been two Presidential commissions appointed to study this phenomenon. After examining the history of collective violence in the United States, they were able to identify a set of root causes present in all of the many occurrences. One consistent root cause, which is particularly relevant to the correctional setting, is that in every such event there was strong feeling by the participants that they had been treated unfairly. As a principle of inmate management, it is not sufficient for management to be just and fair; it is also vitally important that management's actions are *perceived* by the inmate population as just and fair.

### **C. Critical Leadership Quality**

As referred to previously, the officer's role as the leader of the unit is important in exerting positive control over the inmate population. A critical quality of any leader is a keen sense of fairness that subordinates can consistently depend upon. Any compromise of officers' reputation for fairness will seriously jeopardize their operational effectiveness.

### **D. Formal Administrative Remedy (Grievance) and Disciplinary System**

There will always be cases where an inmate does not accept the officer's position. Regardless of the basis for the inmate's disagreement, a formal administrative procedure should exist to channel such disputes. A creditable third-party review is not only a good pressure release mechanism, but it also serves as a monitoring system to ensure consistent equitable treatment. Disciplinary systems to deal with inmate rule violators should be structured and fair.

# Performance Appraisal in New Generation Jails

---

## Model Performance Appraisal Processes, Forms, and Training Materials for New Generation Jail Facilities

### Final Report

NIC Grant Award 87J01GGV2

### Prepared by:

Don Manning, Jail Commander  
Spokane County Sheriff-Jail Division

Ben A. Menke, Director  
Criminal Justice Program  
Washington State University

Linda L. Zupan, Assistant Professor  
Department of Criminal Justice  
University of Alabama at Birmingham

Mary K. Stohr-Gillmore, Graduate Assistant  
Department of Political Science  
Washington State University

Michael W. Stohr-Gillmore, Graduate Assistant  
Department of Political Science  
Washington State University

Nicholas P. Lovrich, Director  
Division of Governmental Studies and Services  
Washington State University-Spokane

September, 1988

Disclaimer: None of the views or conclusions contained here necessarily reflect the opinions of the National Institute of Corrections. The authors are responsible for all views, opinions, errors, and omissions.

Note: The appearance of this document has been changed from the original submission. The original content, with the exception of appendices A – E, is included. The original version of the report, which includes the appendices, can be found at the NIC Information Center using the web address: <http://nicic.gov/Library/007075>

## Table of Contents

---

<b>Introduction .....</b>	<b>3</b>
<b>Training .....</b>	<b>4</b>
Training in Spokane County .....	4
<b>The Development of the Job Related Evaluation Criteria.....</b>	<b>5</b>
Correctional Officer Evaluative Criteria.....	5
<b>The Critical Dimensions of Correctional Officer Performance.....</b>	<b>6</b>
Dimension 1: Managing the Living Unit to Assure a Safe and Humane Environment.....	6
Dimension 2: Handling Inmate Discipline .....	7
Dimension 3: Responding to Inmate Requests .....	8
Dimension 4: Building Positive Rapport and Personal Credibility with Inmates .....	9
Dimension 5: Supervising in a Clear, Well-Organized and Attention-Getting Manner.....	9
Dimension 6: Resolving Inmate Problems and Conflicts.....	10
Dimension 7: Maintaining Effective Administrative and Staff Relations .....	10
<b>First-Line Supervisor Evaluative Criteria .....</b>	<b>11</b>
The Critical Dimensions of First-Line Supervisor Performance .....	12
Dimension 1: Acting As a Leader/Decision Maker.....	12
Dimension 2: Anticipating Institutional Problems .....	13
Dimension 3: Acting As a Mediator/Negotiator.....	13
Dimension 4: Supervising in a Flexible Manner .....	14
Dimension 5: Performing Administrative and Routine Supervisory Tasks.....	15
Dimension 6: Responding to Inmate Needs and Disturbances and Investigating Inmate Requests .....	16
<b>Concluding Remarks .....</b>	<b>16</b>
<b>References.....</b>	<b>17</b>

## Introduction

---

The architectural design and style of inmate management in podular/direct supervision New Generation jails introduces complexity to both the environment and the work performed by correctional officers, supervisors and managers. This complexity has important implications for personnel management practices in direct supervision facilities. Our previous work for the Spokane County Detention Facility and for the National Institute of Corrections (Zupan, et al., 1986) demonstrates that the success of direct supervision is contingent on several factors. These factors include the articulation and inculcation of the direct supervision philosophy, the development of specific leadership skills and abilities, and the development of appropriate supervisory strategies for the daily coaching, counseling and monitoring of module officers' job performance.

Of vital importance for the linkage between, mission, operations and performance are initial employee recruitment, selection and training programs which introduce and emphasize the mission of the facility and its operations. However, once the training has ended and employees assume their duties, other mechanisms are necessary to provide continuous feedback that at once reinforces and monitors job performance. A well-designed performance appraisal system can provide this necessary feedback and reinforcement (Lovrich, et al., 1981; 1983).

This project is a follow-up to an earlier grant which focused on the development of a model selection process for podular/direct supervision New Generation jails. Our goal in this project was to develop a model behaviorally-based performance appraisal instrument and performance feedback process for the Spokane County Detention Facility and for use in other podular/direct supervision facilities. This goal was realized through the use of the "critical incident technique" to identify effective behaviors associated with the correctional officer and first-line supervisory jobs at several on-line direct supervision facilities. The second project (development of performance appraisal processes), then, builds on the first (development of selection processes) to form a more complete model for management of personnel in podular/direct supervision New Generation jails.

This report includes a description of the field research conducted at several correctional facilities around the country: Clark County, Nevada; Pima County, Arizona; Middlesex County, New Jersey; Prince George's County, Maryland; Dade County, Florida; Spokane County, Washington. In addition, included in this document is a follow-up report on the selection process,<sup>1</sup> copies of the Model Performance Appraisal forms for both correctional officers and for

---

<sup>1</sup> See Appendix C "Validating Situational Interviews: Predicting Performance in One New Generation Jail."

first-line supervisors<sup>2</sup> an up-to-date Annotated Bibliography on the relevant literature<sup>3</sup> and a Model Performance Appraisal Training Manual.<sup>4</sup>

## **Training**

---

Several personnel scholars have advocated the use of training as a means to minimize bias in selection and performance appraisals systems (Latham et al., 1973; Latham et al., 1980; Silverman and Wexley, 1987). These authors feel that the training of raters may well have some effect on the validity coefficients. That is, training raters may minimize rating errors and thus increase the validity coefficients of predictors in selection processes and increase the reliability in the observation of behavior in performance appraisal processes. Moreover, Napier and Latham (1986) suggest that progress cannot be made in performance appraisal systems if the practical needs of organizations are not taken into account. Training sessions which include the opportunity for supervisors and managers to give feedback and thus “customize” a selection or performance appraisal instrument to the practical needs and environment of a given facility may be one means to address this problem.

### **Training in Spokane County**

Training in the use of the correctional officer and first-line supervisor performance appraisal instrument in Spokane County involved three sessions. In the first session: the correctional supervisors and managers were briefed on the background of the model selection and performance appraisal projects, the importance of performance appraisal in the public sector and the legal incentives for development of a valid and reliable performance appraisal system. In addition, some guidelines for avoiding common mistakes in performance appraisal were shared. Finally, the correctional officer performance appraisal forms were distributed and the staff mere given the opportunity to make general comments on the form. They were asked to use the forms to make a “trial run” appraisal of those officers under their supervision. Several weeks later, after the supervisors had the opportunity to complete the appraisals, the second session of the training was scheduled. In this session, the supervisors and managers specifically critiqued portions of the form that appeared impractical for their facility. A third session was scheduled to allow for extended discussion on both the correctional officer and first-line supervisory form; appropriate deletions, additions and modifications were made to the forms to allow them to “fit” the needs of the Spokane jail.<sup>5</sup>

---

<sup>2</sup> See Appendices A and B “Spokane Jail-Correction Officer Performance Evaluation” and “Spokane County Jail-Supervisor (Sergeant) Performance Evaluation.”

<sup>3</sup> See Appendix D “Employee Selection and Performance Appraisal in Correctional Institutions: An Annotated Bibliography.”

<sup>4</sup> See Appendix E “Performance Appraisal Training Manual: Spokane County Sheriff-Jail Division.

<sup>5</sup> Per the request of Captain Don Manning, specialized forms for those officers working in Booking, Transport and the Control Rooms were also developed.

It was clear after discussion with the correctional personnel that some modification of the forms was in order. For instance, most personnel thought the forms were too lengthy and that some behaviors were similar enough that they could be deleted without detracting from the basic integrity of the form. In general, most personnel viewed the instruments, as modified, in a positive light, as teaching devices on “ideal behaviors” to be exemplified by correctional personnel.<sup>6</sup>

## **The Development of the Job Related Evaluation Criteria**

---

The first stage in the development of any comprehensive personnel process-be it recruitment, selection, training or evaluation-requires that the important elements of a job be identified through a systematic job analysis. The most common form of job analysis focuses on the enumeration of job-specific tasks. The major criticisms, however, of traditional task-based job analyses are that they do not take into account the full complexity of a job or how tasks are successfully performed. Behaviorally-based job analyses, on the other hand, focus on the actual behaviors necessary for effective job performance. Not only do behaviorally-based job analyses identify the critical job tasks, but they also describe the particular behaviors required for the successful completion of tasks as well.

The critical incident technique, a behaviorally-based job analysis method developed by Flanagan (19%) and commonly used in personnel-related research (Latham. et al., 1980; Latham and Wesley, 1981), was employed in this study to identify first-line supervisor behaviors which are crucial for the effective supervision of correctional officers in podular/direct supervision facilities. Each participant in the research reported on here was asked to describe actual incidents of both effective and ineffective job performance observed within the past 6 to 12 months. They were asked to describe, in detail. 1) the situation, circumstances, or background of the incident, 2) the effective or ineffective behavior exhibited by the correctional officer or the first-line supervisor, and, 3) the outcome of the incident or reasons why the behavior was an example of effective or ineffective behavior. The advantage of the critical incident technique over other methods of job analysis is that it provides behaviorally-based information about what employees are actually doing and what they should be doing, and focuses on the behaviors associated with successful and unsuccessful task performance.

### **Correctional Officer Evaluative Criteria**

At each facility, subjects were selected from the following groups: (1) correctional officers with more than one year of experience in a podular/direct supervision facility, (2) officers identified by supervisors as particularly effective in performance of their job (“waterwalkers”), and (3) first-line supervisors. Eighteen interviews (12 officers, 3 waterwalkers: 3 supervisors) were

---

<sup>6</sup> For advice/assistance on the correctional officer or supervisory forms contact Captain Don Manning at the Spokane County Jail or the Criminal Justice Program at Washington State University.

conducted at Las Vegas Detention Facility while ten (6 officers: 2 waterwalkers, 2 supervisors) were conducted at Pima County Detention Center. In addition to the interviews, a sample of officers from each facility were given detailed instructions and asked to provide examples of critical incidents and behaviors in writing. Twenty-three officers in Las Vegas and 28 in Pima County provided written incidents and behaviors. A total of 346 incidents were collected; 177 from interviews and 169 self-reported.

After all the incidents were collected, those that were similar: if not identical, were grouped together and ambiguous incidents were eliminated. In this stage, the incidents were synthesized into 70 behavioral items. The items were then categorized according to the similarities in the effective and ineffective behavior exhibited by the officer. The analysis yielded seven descriptive categories or dimensions of critical correctional officer behavior, each associated with 6 to 15 behavioral items. The seven dimensions represent the universe or totality of the podular/direct supervisor correctional officer's job. The items associated with the dimensions are the behaviors defined by practitioners as critical to effective direct supervision correctional officer job performance.

Content analysis of the items and dimensions was assessed by withholding 10% of the incidents prior to the editing stage (Latham and Wesley, 1981). These incidents were examined after development of the dimensions and were found to describe behaviors already represented in the established items and dimensions.

A final analysis was conducted to assess the degree to which the behaviors and dimensions were common to both facilities. A problem associated with conducting a job analysis at two different locations is that the differences between facilities may produce behaviors or dimensions which are specific to only one of the facilities. To address this issue, the original 346 incidents were redistributed amongst the dimensions and tabulated as to the source of the incident. The results of such a sorting indicate that these behaviors are uniformly distributed between the two facilities. The results indicate that none of the seven dimensions are specific to only one of the facilities.

## **The Critical Dimensions of Correctional Officer Performance**

---

The following section presents the seven critical dimensions of podular/ direct supervision correctional officer job performance, a formal description of the dimensions, and the critical behaviors associated with the dimensions.<sup>7</sup>

### **Dimension 1: Managing the Living Unit to Assure a Safe and Humane**

**Environment** - The extent to which the correctional officer used observation and communication to maximize compliant inmate behavior and minimize the occurrence of

---

<sup>7</sup> See appendix A for the Correctional Officer Performance Evaluation.

disruptive inmate behavior in the living unit; clearly communicated facility rules and expectations to inmates and immediately responded to all incidents of inmate misbehavior.

1. When observing a pattern of minor rule violations the officer calls a living unit meeting to discuss the problem.
2. Never delegates authority to an inmate.
3. Maintains an informal written record of important information about inmates.
4. Initiates frequent discussions of facility rules and expectations with inmates.
5. Explains to inmates' facility rules, personal expectations and answers inmates' questions about those inmates.
6. Aside from appropriate emergency restraint techniques, the officer never shoves, grabs, pushes, hits or physically touches an inmate.
7. Responds to all incidents of inmate rule violations regardless of their seriousness.
8. Makes certain that inmates have timely and complete access to formal grievance procedures.
9. Recognizes medical emergencies (e.g., mental, medical) and is prompt in calling for appropriate assistance.
10. At the beginning of each shift the officer solicits information from inmates. Makes announcements, explains the schedule and shares information.
11. Closely monitors the behavior and conditions of an inmate with special problems (e.g., suicidal, mental, medical).
12. Engages in continual visual observation of inmates and investigates any activities or changes in inmate behavior appearing out of the ordinary.
13. Gathers as much information as possible (records, conversation) about inmates in order to effectively supervise them.
14. Continually moves throughout the living unit observing, listening to and talking with inmates.
15. Is quick to recognize potential problems between inmates and moves swiftly to resolve them.

**Dimension 2: Handling Inmate Discipline** - The extent to which an officer responded fairly and effectively when disciplining inmates for disruptive behavior or rule violations.

1. Consistently enforces facility rules.

2. Follows all rules (hearings, grievance procedures, written reports) when formally disciplining an inmate (lock down, segregation, etc.).
3. When administering discipline to inmates who violate a facility rule, the officer explains to the inmate the rule he/she violated and the reason for the discipline.
4. Evaluates reasons for rule violations to insure that inmates are not unjustly disciplined.
5. Delivers on warnings to discipline inmates for misconduct or rule violations.
6. When an inmate violates a minor facility rule, the officer warns the inmate once before taking disciplinary action.
7. Recognizes the difference between minor and serious rule violations; repeated and occasional violations, and takes corrective action accordingly.
8. When responding to inmates' misbehavior, the officer disciplines only the responsible inmate rather than all inmates in the living unit.
9. Punishment or counseling of an inmate is handled "one-to-one" rather than in front of other inmates.
10. When disciplining an inmate for misbehavior the officer provides the inmate with the opportunity to explain his/her conduct.

**Dimension 3: Responding to Inmate Requests** - The extent to which an officer effectively responded to inmate requests and demands in a fair and balanced fashion; avoided inmate manipulation.

1. The officer never grants inmate privileges out of fear.
2. The officer says "No" to inappropriate inmate requests.
3. Whenever appropriate, the officer responds to inmate requests for information in writing.
4. In response to an inmate request, an officer never makes a promise he/she can't keep.
5. When responding to an inmate request, the officer always indicates: (1) that he/she doesn't know; (2) will find out and get back; or (3) refers inmate to appropriate source.
6. Treats all inmate requests the same; does not play favorites with inmates by fulfilling some requests and denying requests to others.
7. In response to inmate requests for information the officer links the inmate to specialists or sources (lawyers, etc.) who have the answers.
8. The officer, while acknowledging all requests, does not run every inmate errand.

9. When an inmate makes a request the officer always explains in a courteous fashion what action he/she will take in response to the request.

**Dimension 4: Building Positive Rapport and Personal Credibility with Inmates -**

The extent to which the correctional officer created an environment of mutual respect by demonstrating consistency and a courteous manner.

1. In daily contacts with inmates, the officer avoids doing or saying anything with degrades or belittles the inmates.
2. In day-to-day communications with inmates the officer is polite and courteous, but always firm.
3. When dealing with inmates the officer never swears.
4. Demonstrates common courtesy by using “please,” “thank you,” and by being an active listener.
5. Treats all inmates the same regardless of race: gender, appearance, or the offense for which they are incarcerated.
6. Except in emergency situations, the officer never communicates with an inmate by yelling across the living unit.

**Dimension 5: Supervising in a Clear, Well-Organized and Attention-Getting**

**Manner** - The extent to which the officer exhibited effective skill in organizing, supervising and motivating inmates in their activities.

1. Whenever appropriate, the officer consults with inmates before making changes in work routines.
2. Gives prompt feedback to inmates which allows self assessment and self correction.
3. Employs a variety of techniques (e.g., praise, granting of privileges, humor) to motivate and reward inmate compliance and cooperation.
4. When giving an order, the officer sees to it that the inmate carries it out.
5. When giving an order or making a request, the officer makes sure that the circumstances permit the inmate to comply and that the inmate understands the directions.
6. Evaluates inmates’ work performance promptly.
7. Issues orders in a polite and courteous manner.
8. Assigns inmate work tasks in an even-handed manner to avoid the appearance of favoritism.

**Dimension 6: Resolving Inmate Problems and Conflicts** - The extent to which correctional officers provided guidance for the solution of inmate problems; recognized the steps involved in resolution of inmate conflicts; dealt with inmates in confrontational situations.

1. When resolving disputes between inmates, the officer separates the inmates by ordering both to their rooms and then speaks with each individually.
2. Gathers as much information as possible about inmate problems or confrontations before taking action.
3. Holds a meeting with all inmates in the living unit to resolve misunderstandings or tensions between the officer and inmates.
4. Whenever possible offers inmates face-saving alternatives to resolve problems.
5. Negotiates agreements to solve inmate problems.
6. Recognizes that inmate problems are different and initiates innovative actions to solve them.
7. When dealing with an irate inmate, the officer asks the inmate to go to his/her room to allow the inmate to calm down before discussing the matter.
8. Exhibits patience when resolving problems with inmates.
9. Uses casual conversation to calm agitated inmates.
10. When called an obscene name by an inmate, the officer remains calm and in control while dealing with the behavior.
11. When responding to inmate problems, an officer explains the alternatives to the inmate in resolving the problem.
12. When confronted by an agitated inmate, the officer talks with the inmate in a calm and controlled manner.

**Dimension 7: Maintaining Effective Administrative and Staff Relations** - The extent to which the correctional officer had knowledge of and consistently applied facility rules and procedures; coordinated activities with co-workers; supported the authority of staff members; communicated with supervisors and other administrators.

1. Promptly reports critical information (e.g., confessions to a crime, plans for escape, inmate set up) to appropriate staff members.
2. Refrains from expressing criticism of another staff member in the presence of inmates.
3. Maintains consistency of the living unit supervision by regularly consulting with other shift officers.
4. Supports the appropriate efforts of other officers in dealing with inmates.

5. Promptly calls for emergency back-up when necessary to prevent the escalation of inmate disturbances or protect own safety.
6. Coordinates with other staff on specific inmate discipline matters.

## **First-Line Supervisor Evaluative Criteria**

---

At each facility studied interview subjects were randomly selected from the following groups: (1) first-line supervisors with more than one year supervisory experience; and, (2) mid-managers responsible for the supervision of first-line supervisors. Ten interviews (7 first-line supervisors, 3 mid-managers) were conducted at the Middlesex County (New Jersey) Detention Facility; twelve interviews (9 first-line supervisors, 3 mid-managers) were conducted at the Prince George's County (Maryland) Detention Facility; eleven interviews (7 first-line supervisors: 4 mid-managers) were conducted at the Dade County (Florida) Detention Facility; eleven interviews (8 first-line supervisors, 3 mid-managers) were conducted at the Clark County (Nevada) Detention Facility; and, 10 interviews (8 first-line supervisors, 2 mid-managers) were conducted at Spokane County (Washington) Detention Facility. A total of 493 incidents were collected from the interview subjects (92 at Middlesex County; 83 at Prince George County; 80 at Dade County; 101 at Clark County; 137 at Spokane County).

After all the incidents were collected, those that were similar (if not identical) were grouped together and ambiguous incidents were eliminated. In this stage, the incidents were synthesized into 80 behavioral items. The items were then categorized according to the similarities in the effective and ineffective behavior exhibited by the first-line supervisor. This analysis yielded 7 descriptive categories or dimensions of critical first-line supervisor behavior, each associated with 11 to 12 behavioral items. The dimensions represent the universe or totality of the podular/direct supervision first-line supervisor's job. The items associated with the dimensions are behaviors defined by practitioners as critical to effective first-line supervisors' job performance in podular/direct supervision facilities.

Content analysis of the items and dimensions was assessed by withholding 10% of the incidents prior to the editing stage (Latham and Wesley, 1981). These incidents were examined after development of the dimensions, and all but five were found to describe behaviors already represented in the established items and dimensions. A final research step was conducted to assess the degree to which the behaviors and dimensions were common to all facilities (to minimize sampling bias) and to ensure the content validity of the performance appraisal instrument (Latham and Wesley, 1982). A group of supervisors and mid-level managers were contacted from each of the jails sampled to assist in this next phase of the instrument development. First, they were asked to assign a relative weight to each of the 7 performance dimensions; secondly, they were asked to categorize the behavioral items under their most appropriate performance dimension; and, finally, they were asked to indicate how important (critical) each behavior is (on an "importance scale") relative to the other behaviors associated

with being an effective supervisor.<sup>8</sup> The responses indicated that the behaviors were, for the most part, appropriately weighted (in terms of number of behaviors) and allocated to dimensions. Analysis of the responses indicated that 43 behaviors were rated as “very important” or “critical” by 65% of the correctional personnel; these behaviors were retained. In addition, the researchers added 8 more behaviors that were borderline (e.g., 62.5% of correctional personnel rated them highly) and/or they appeared essential to the performance of the first-line supervisor’s job. Moreover, one of the seven dimensions was not retained because it received the lowest weighting by the correctional personnel, and also because none of its associated behaviors were retained.<sup>9</sup>

### **The Critical Dimensions of First-Line Supervisor Performance**

The following section presents the six critical dimensions of podular/direct supervision first-line supervisor job performance, a formal description of the dimensions, and the critical behaviors associated with the dimensions.<sup>10</sup>

**Dimension 1: Acting As a Leader/Decision Maker** - The extent to which the supervisor fulfills a leadership and decision-making role; behaves in a professional manner; sets a good example for others; displays confidence; is innovative; uses organizational and goal setting skills; plans and schedules events; directs activity; carries out programs: conducts effective meetings; identifies problems; considers possible consequences of action; considers alternatives; gives authoritative orders when needed; follows up on decisions; is consistent in application of rules, procedures and discipline; audits and enforces adherence to procedures, regulations and laws on a consistent basis; knows and follows the necessary steps to resolve emergencies.

1. The supervisor ensures that command posts are covered during an emergency.
2. The supervisor sets an example for subordinates by coming to work on time, meeting deadlines, not abusing lunch or coffee breaks and maintaining a professional appearance and attitude.
3. The supervisor responds to an emergency by directing correctional officer and inmate behavior; takes action to address the emergency, advises his/her superior, protects evidence, stays calm and follows appropriate rules.
4. The supervisor uses physical force only when an inmate disturbance warrants it.
5. The supervisor formally disciplines correctional officers only in private, and only when the officer’s behavior warrants it.

---

<sup>8</sup> The importance scale was structured as follow: 1=unimportant-this behavior is in no way associated with being an effective supervisor; 2=minor importance-this behavior is only slightly associated with being an effective supervisor; 3=important-this behavior is associated with being an effective supervisor; 4=very important-a supervisor may not be very effective without this behavior; 3=critical - it is absolutely essential that a supervisor exhibit this behavior in order to be effective.

<sup>9</sup> This dimension was: Maintaining Police Officer, Attorney and Public Relations.

<sup>10</sup> See Appendix B for the Supervisor (Sergeant) Performance Evaluation.

6. The supervisor, when appropriate, issues verbal warnings and explains acceptable behavior before writing up correctional officers for unacceptable behavior.
7. The supervisor does not ignore correctional officers' behavior which violates the rules.
8. The supervisor enforces rules and procedures without favoritism.
9. The supervisor, when issuing orders and making requests, ensures that the instructions are clear, specific and understood.
10. The supervisor takes responsibility for decisions made on his/her shift.
11. The supervisor recognizes situations where direct orders are more appropriate than group decision making.

**Dimension 2: Anticipating Institutional Problems** - The extent to which the supervisor anticipates and provides direction for the resolution of possible problems involving correctional officers, inmates or the institution; clearly explains to those involved the reasons for the action taken to resolve problems.

1. The supervisor inspects areas of the facility that present safety problems and potential escape routes for inmates.
2. The supervisor arrives at work promptly in order to be briefed on any pertinent prior occurrences.
3. The supervisor anticipates scheduling problems and acts to solve them, thus averting staff shortages on shifts.
4. The supervisor briefs correctional officers in advance on the handling of potentially difficult incidents and inmates.
5. The supervisor ensures he/she can be easily reached during emergencies or problems at any time during the shift.

**Dimension 3: Acting As a Mediator/Negotiator** - The extent to which the supervisor recognizes and addresses correctional officer, inmate and institutional problems in a fair, expedient and controlled manner; investigates problems; listens to correctional officers and inmates; counsels correctional officers on the appropriate response in a given situation; avoids inmate manipulation; avoids confrontational situations when possible, but responds to them when they arise; explains rules and procedures.

1. The supervisor explains to correctional officers that verbally abusing an inmate usually worsens a disturbance and often leads to staff and inmate violence.
2. The supervisor speaks calmly to defuse the anger of irate inmates or officers.

3. When appropriate, the supervisor separates fighting inmates and places them in separate pods or maximum security.
4. The supervisor is careful to guard against injury to staff or inmates when dealing with volatile inmates.
5. The supervisor resolves racial or other inmate conflicts by listening to both sides and responding in a fair and consistent manner.
6. The supervisor listens to subordinate complaints or problems with co-workers and suggests alternatives to resolve them.

**Dimension 4: Supervising in a Flexible Manner** - The extent to which the supervisor supports correctional officer authority; compliments good work; provides the correctional officer with the necessary direction, materials and staff support to facilitate supervision of the pod; monitors knowledge and understanding of rules and procedures; uses daily occurrences to train correctional officers; teaches the consequences of actions; suggests constructive behavior to the correctional officer; conducts research; presents information; develops training, knows institutional policies, procedures and related laws; uses interpersonal communication skills, listens to correctional officers, counsels correctional officers in private; solicits feedback from fellow workers: attends meetings; refrains from undercutting fellow workers and supervisors.

1. The supervisor supports the appropriate efforts of his/her superiors by refraining from criticizing them in the presence of subordinates.
2. The supervisor identifies officer work-related deficiencies and takes action (e.g., training) to correct them.
3. The supervisor visits the pod daily to look for tension or signs of disrepair, and to ensure that the officer has enough supplies to manage effectively.
4. The supervisor follows through on promises made to correctional officers.
5. The supervisors use a variety of techniques (e.g., verbal or written commendations) to compliment subordinates for exceptional job performance.
6. The supervisor uses non-accusatory counseling in discussions with correctional officers about their inappropriate behavior.
7. The supervisor refrains from intervening in situations which subordinates have under control and are handling appropriately.
8. The supervisor regularly trains correctional officers to behave in accordance with the facility's rules and procedures.
9. The supervisor gives physical support to correctional officers when they are dealing with unruly inmates.

10. The supervisor regularly explains expectations for behavior to both new and experienced officers.
11. The supervisor investigates, documents and reports all subordinate complaints about racial discrimination and sexual harassment.
12. The supervisor supports and follows the policies and procedures of the facility.

**Dimension 5: Performing Administrative and Routine Supervisory Tasks** - The extent to which the supervisor responds to administrative orders and completes routine supervisory tasks in a timely and decisive fashion; writes clear and concise reports; properly routes and correctly files paperwork; reviews correctional officers' report writing; performs evaluations; follows the chain of command; performs inspections; communicates important information to the next shift or the proper authority; disciplines effectively.

1. When writing reports, the supervisor cites the pertinent procedures and constructs reports that are clear and concise.
2. The supervisor supports the chain of command (e.g., refers employee complaints to the appropriate supervisor).
3. The supervisor communicates important information to the next shift supervisor to ensure consistency between shifts.
4. The supervisor acknowledges and investigates all inmate, public and departmental complaints about subordinates.
5. The supervisor relays important information about inmates to the officers who supervise them.
6. The supervisor ensures that correctional officers' paperwork/reports conform to departmental policy, are accurate, complete, well-organized, well written, and are completed on time.
7. When conducting performance evaluations, the supervisor thoroughly documents both effective and ineffective behaviors of officers.
8. The supervisor examines log books and reports for errors and omissions.
9. The supervisor effectively uses roll call to provide important information to officers concerning institutional operation, changes in policies and procedures, changes in the law, etc.
10. The supervisor maintains confidentiality about personnel problems.
11. The supervisor maintains detailed records of work performance for purposes of evaluating subordinate effectiveness.

12. The supervisor conducts unannounced security checks and inspections of the pods.

**Dimension 6: Responding to Inmate Needs and Disturbances and Investigating**

**Inmate Requests** - The extent to which the supervisor effectively responds to inmate requests in a fair and thorough manner; solicits inmate feedback; confirms inmate information; explains policies; investigates inmate complaints; follows through on promises; is consistent and fair in treatment and discipline of inmates.

1. The supervisor follows through on promises made to inmates.
2. The supervisor treats inmates with equity and consistency.
3. The supervisor uses respectful language when conversing with officers and inmates.
4. The supervisor counsels inmates in private: never in front of other inmates.
5. The supervisor consistently enforces inmate compliance with rules.

**Concluding Remarks**

---

Human resource development for podular/direct supervision detention facilities remains in its infancy. Direct supervision personnel systems such as job analyses, selection and performance appraisal processes have been developed on a site-by-site basis and are designed to meet the unique environmental and operational needs of each respective facility. Our goal in this project was to identify critical correctional officer and supervisor) behaviors required for successful implementation of the direct supervision philosophy regardless of environmental and operational variants. By using a behaviorally-based method of job analysis at several on-line, direct supervision facilities an effective evaluatory link has been established between the podular/direct supervision philosophy and the actual day-to-day implementation of that philosophy by correctional officers and supervisors. Thus, we believe that the results of the job analysis are generalizable, with some limitations, to other podular/direct supervision facilities.

While we are confident that the results of this job analysis describe the important elements of the podular/direct supervision correctional officer and supervisor job: facilities are cautioned in using them without careful and thorough review. For on-line supervision facilities this review may include a supplemental job analysis and/or an “iteration survey”.

To ensure that all critical elements of the supervisor job have been identified, the facility can undertake a supplemental job analysis. To accomplish this, we recommend that facilities use the critical incident technique, and interview a small sample of supervisors “waterwalkers” (both first-line supervisors and mid-managers) employed within the facility. The data gathered through this job analysis can be compared to our findings to identify facility-specific unique behaviors included among those dimensions of performance common to all New Generation jails.

To precisely identify any specific environmental or operational features that may be present the facility can conduct an “iteration survey” using the behaviors and dimensions reported here (Latham and Wesley, 1981). The self-administered survey, as described in the above, is distributed to a sample of first-line supervisors and mid-managers; it consists of two major sections.<sup>11</sup> Once the respondents’ have assigned a weight to each performance dimension, evaluated the importance of each behavior, and indicated which performance dimension the behavior is associated with, the results are analyzed as to agreement about performance dimensions and behavior importance.<sup>12</sup>

Once these two steps have been completed, dimensions and behaviors can be added, deleted or modified. Facilities are cautioned, however, in assuming that differences in the job analysis presented here and their own review findings are the product of environmental and operational uniqueness. Instead, the differences may be the result of problems with the facility’s training or operating procedures. Careful attention must be focused on why differences occur and whether the unique feature of the facility which produced the difference is consistent or inconsistent with the New Generation philosophy.

Facilities still in the planning stages may wish to use these results as a general guide in the development of their human resources. The dimensions and behaviors should, however, be reviewed by a facility’s personnel specialist for their applicability in a specific instance.

## References

---

- Latham, G.P., C.H. Fay, and L.M. Saari (1979) “The Development of Behavioral Observation Scales For Appraising the Performance of Foremen.” *Personnel Psychology*. 32(2): 299-311.
- Latham, G.P., L.M. Saari, E.D. Pursell, and M.A. Campion (1980) “The Situational Interview.” *Journal of Applied Psychology*. 65(4): 422-427.
- Latham, G.P. and K. W. Wexley (1977) “Behavioral Observation Scales For Performance Appraisal Purposes.” *Personnel Psychology*. 30(2): 255-268.
- Latham, G.P. and K.N. Wesley (1982) *Increasing Productivity Through Performance Appraisal*. Reading, Mass.: Addison-Wesley Publishing Company.
- Latham, G.P., K.X. Wesley, and E.D. Purse11 (1975) “Training Managers to Minimize Rating Errors in the Observation of Behavior.” *Journal of Applied Psychology*. 60( 5): 350-335.
- Lovrich, S.P., Hopkins, R.H., Shaffer, P.L. and Yale, D.A. (1981) “Participative Performance Appraisal Effects Upon Job Satisfaction, Agency Climate, and Work Values:

---

<sup>11</sup> See “Supervisor (Sergeant) Critical Incident Surrey (1988)” in Appendix B

<sup>12</sup> For advice and/or assistance in such efforts, please contact the Criminal Justice Program at Washington State University- (309)333-2544.

Results of a Quasi-Experimental Study in Six State Agencies.” *Review of Public Personnel Administration*. Summer.

Lovrich, S.P., Bishop, D.J., Hopkins, R.H. and Shaffer, P.L. (1983) “Participative Performance Appraisal in a Municipal Setting: A Pre- and Post-Implementation Study.” *State and Local Government Review*. Winter.

Silverman, S.B. and K.S. Wesley (1987) “The Selection Interview: Some Reasons for Optimism.” *Personnel Assessment Monograph*. Published by the Assessment Council of the International Personnel Management Association.

Zupan: L.L., Menke, B.A. and Lovrich, N.P. “Podular/Direct Supervision Facilities: Challenges for Human Resource Development,” J. Farbstein and R. Wener, eds. *Proceedings of the First Annual Symposium on New Generation Jails*. Boulder, Colorado: National Institute of Corrections.

Zupan, L. “The New Generation Correctional Philosophy: An Implementation Analysis and Impact Evaluation,” Unpublished Ph.D. Dissertation, Washington State University, August 1987.

Zupan, L. and B. Menke (1988) “implementing Organizational Change: From Traditional to New Generation Jail Operations.” *Policy Studies Review*. 7(3):615-626.

## **PODULAR/DIRECT SUPERVISION DETENTION FACILITIES: CHALLENGES FOR HUMAN RESOURCE DEVELOPMENT<sup>i</sup>**

---

By Linda L Zupan, Ben A. Menke and Nicholas P. Lovrich  
Department of Political Science, Washington State University, Pullman

Note: The appearance of this document has been changed from the original submission. The original content is included. A copy of this presentation can be requested from the NIC Information Center at [www.nicic.gov](http://www.nicic.gov)

### **Introduction**

---

During the last decade, the practice of inmate management in local detention facilities (jails) has undergone a major re-evaluation. The questioning of the traditional philosophy has been the result of court mandated change, investigations by various state and federal jail commissions, and the activities of professional corrections associations (Nelson, 1984). From this reform movement has emerged the new generation, podular/direct supervision design for detention facility architecture and inmate management (National Institute of Corrections, 1983). The introduction of direct supervision management has dramatically changed the correction officer's role from occasional inmate supervision and crisis management to the management of all inmate behavior through continuous and direct interpersonal interaction.

The design of the podular/direct supervision facility is based on a number of principles about the effect of architecture on human behavior.<sup>2</sup> First, inmates are broken into smaller groups of 16 to 46 and housed in living areas called modules. Second, the modules are staffed, 24 hours a day, by a correction officer. Third, the modules are effectively self-contained to reduce movement of inmates and opportunities for breeches of security. Fourth, the modules are designed to enhance a correction officers interaction with and observation of inmates. Fifth, furnishings and accouterments within the modules function to reduce inmate stress associated with crowding, noise, lack of privacy and isolation from the outside world. Sixth, bars and metal doors are noticeably absent with the effect of reducing noise and the dehumanization typically associated with hard design correctional facilities.<sup>iii</sup>

Although podular/direct supervision facilities have been in operation within the Federal Prison System for 10 years and in various local jurisdictions for as long as 4 years, there is little research about the correction officer's contribution to direct supervision inmate management. The extant literature suggests that effective inmate management is achieved through the officers ability to maintain "total control," to "communicate effectively," and to be a "good leader" (National Institute of Corrections, 1983). However, little is known about the officers' implementation of these general principles in the direct supervision of inmates.

The purpose of this paper is to explore the role of the detention facility correction officer who manages inmates in a face to face context. More specifically, we focus on: 1) identification of officer behaviors which are effective or ineffective in maintaining control over inmate behavior, 2) the classification of these behaviors into performance dimensions to better understand the philosophy of interpersonal inmate behavior control, and 3) the policy implications of direct supervision inmate management for human resource development within the facility.

## **Methodology**

---

Correction officers and first line supervisors in two podular/direct supervision detention facilities, located in the western United States, were interviewed about the critical behaviors required for effective correction officer job performance. The critical incident technique, a method of job analysis developed by Flanagan (1954) and commonly used in personnel-related research (Latham, et al., 1980; Latham and Wexley, 1981), was used to identify correction officer behaviors required for the effective implementation of direct supervision inmate management. Each respondent was asked to describe actual incidents of both effective and ineffective officer job performance observed within the past 6 to 12 months. They were asked to describe, in detail, 1) the situation, circumstances or background of the incident, 2) the effective or ineffective behavior exhibited by the officer, and 3) the outcome of the incident or why the behavior was an example of effective or ineffective behavior. The advantage of the critical incident technique over other methods of job analysis is that it provides behaviorally-based information about what correction officers are actually doing and what they should be doing, and focuses on the behaviors associated with successful or unsuccessful task performance.

At each facility, subjects were selected from the following groups: 1) correction officers with more than one year of experience in a podular/direct supervision facility, 2) officers identified by a majority of supervisors as particularly effective in performance of their job (“waterwalkers”)<sup>iv</sup>, and 3) first line supervisors. Eighteen interviews (12 officers, 3 waterwalkers, 3 supervisors) were conducted at one facility while ten (6 officers, 2 waterwalkers, 2 supervisors) were conducted at the second. In addition to the interviews, a group of officers from each facility were given detailed instructions and asked to provide examples of critical incidents and behaviors in writing. Twenty-three officers in one facility and 28 in the other provided written incidents and behaviors. A total of 346 incidents were collected: 177 from interviews and 169 self-reported.

After all the incidents were collected, those that were similar, if not identical, were grouped together into one item and ambiguous incidents were eliminated. In this stage, the incidents were synthesized into 70 behavioral items. The items were then categorized according to the similarities in the effective and ineffective behavior exhibited by the officer. The analysts yielded seven descriptive categories or dimensions of critical correction officer behavior, each associated with 6 to 15 behavioral items. Content validity of the items and dimensions was assessed by withholding 10% of the incidents prior to the editing stage (Latham and Wexley, 1981). These incidents were examined after development of the dimensions and were found to describe behaviors already represented in the established items and dimensions.

In addition to the critical incident interviews, informal discussions were held with correction officers, supervisors and administrators from four podular/direct supervision facilities, one facility in the process of moving from a traditional to direct supervision design, and three traditional linear facilities. These discussions provided substantive material for contrasting correction officer performance in traditional and podular/direct supervision facilities.

## **The Critical Dimensions**

---

Emphasized throughout the interviews was the relationship between an officer's behavior and the climate of the module. Officers defined behaviors as effective when they produced an environment free from conflicts among inmates and between inmates and staff. Ineffective behaviors were those that produced tension, anger and resentment, incited verbal or physical confrontations and those that, either directly or indirectly, led to inmate rebellion or misbehavior. The officers exhibited a strong belief that through effective inmate management practices they could produce a safe and humane module environment.

The following seven performance dimensions summarize the most important behaviors required to produce a positive, safe and humane detention environment. While the following behaviors may be innovative when applied to inmate management, many are clearly reminiscent of the principles of effective personnel supervision or even, as several officers pointed out, effective parenting (International City Management Association, 1984).

### **DIMENSION ONE: Managing the living Unit to Assure a Safe and Humane Environment -**

The extent to which the correction officer used observation and communication to maximize compliant inmate behavior and minimize the occurrence of disruptive inmate behavior in the living unit: clearly communicated facility rules and expectations to inmates and immediately responded to all incidents of inmate misbehavior.

Three types of behavior were emphasized by officers as vital to the day to day management of inmates in the module. First, they emphasized the need for a proactive (preventive) approach to inmate supervision in contrast to the traditional reactive approach where, in general, the officer responds to threats to order after they have escalated into serious incidents. In one sense, proactivity referred to the continuous and active observation of all inmates and their activities. Moving among inmates while in the module, listening attentively, engaging them in casual conversation, observing their actions, and asking questions were activities the officer engaged in to gather information about what was occurring in the module, to gauge sources of conflict or tensions, and, above all, to identify and react to situations before they escalated into serious problems. Ignoring inmates, sitting behind one's desk reading a book or newspaper, isolating oneself from the activities of inmates were described as ineffective behaviors which often resulted in inmate problems. For example, one officer described a situation involving a group of inmates who were playing cards for 5 to 6 hours a day. The officer ignored the situation and sat at his desk reading a book. The ineffectiveness of his behavior was later revealed when it was discovered that the inmates were gambling for commissary goods and that cheating and extortion were part of the game.

Another type of proactivity concerned the recognition of potential problems and the necessity for prompt intervention before they escalated. An officer described a situation where two inmates were arguing over the seating arrangement at dinner. At the first indication of the argument, the officer intervened and ordered both inmates to their individual rooms. This was described as effective proactive behavior because it stopped an argument before it progressed to a more serious altercation. A corresponding example of ineffective behavior occurred when an officer allowed two inmates to continue an argument over which television show to watch. The argument erupted into a physical fight. Instead of dealing with two inmates exchanging heated words, the officer was forced to intervene between two battling inmates, risking injury to himself and to other inmates.

A third type of proactivity concerned the need to act upon every violation of a facility rule. While officers had the discretion to deal with minor inmate rule violations in a number of ways, the consensus was that every rule violation, no matter how minor, must be addressed and, at the least, brought to the attention of the offending inmates. Allowing a rule violation to go without acknowledgement was viewed as a signal to inmates to test other rules.

A second group of behaviors emphasized as necessary for day to day module management focused on the need to communicate official facility rules and policies to the inmates and explain personal expectations. Effective communication of rules and expectations was performed in a number of ways that ranged from: an initial viewing of a videotape upon arrival at the facility; meeting with inmates upon their arrival in the module; holding daily meetings with inmates; and casually discussing issues when the inmates were gathered together at meal time. Officers viewed these behaviors as effective because they reinforced facility rules, alerted inmates to officer expectations, and explicitly defined the bounds of acceptable behavior. Failure to communicate rules and expectations was seen as an invitation for inmate misbehavior and was believed to result in inmate hostility and tension over disciplinary action.

A final group of behaviors defined as crucial to the daily operation of the module concerned the vigilant guarding of officers' authority to prevent encroachment by inmates. The direct supervision philosophy of inmate management is predicated on the notion that the officer can be the only leader in the module (National Institute of Corrections, 1983). This is in direct contrast to many traditional facilities which formally or informally use and tolerate inmate leaders to maintain a semblance of order. Authority, when granted to or usurped by an inmate, becomes a coercive weapon used to manipulate others, including the officer. Several incidents were described where an inmate assumed duties that were the sole responsibility of the officer. In one situation an officer assigned an inmate to supervise the clean-up duties of other inmates. The inmate was free to use the situation to his own benefit. Other inmates viewed the action as "playing favorites." Hostility and tension developed between the supervising inmate and other inmates. The situation deteriorated to the point of potential violence against the supervising inmate and disruption of the module. By retaining authority, the officer could have prevented the situation from occurring.

**DIMENSION TWO: Handling Inmate Discipline** - The extent to which an officer responded fairly and effectively when disciplining inmates for disruptive behavior or rule violations.

The process of disciplining inmate misbehavior takes on added importance within the direct supervision facility. Discipline consists of a complex structuring of a range of penalties designed to achieve the overriding goal of an orderly module and compliant inmate behavior. The purpose of discipline is the maintenance of an orderly environment rather than the punishment of any particular inmate.

The process through which the officer disciplines an inmate for violation of facility rules was repeatedly illustrated in the critical incident interviews. Two major behavioral themes emerged: 1) use of progressive discipline, and 2) the application of fair and consistent disciplinary measures.

Progressive discipline required officers to make a distinction between minor and serious rule violations and between occasional and repeated violations, and to take disciplinary action based on these judgments. The informal disciplinary means most often mentioned by officers were counseling or discussion with the offending inmate (discussing the rule violated by the inmate, the reason for the rule, determining why the rule was violated and explaining the consequences of repeated rule violation), a verbal warning or reprimand, and/or sending the inmate to his/her room. Informal discipline was viewed as an effective way to deal with rule violations too minor to take official disciplinary action and where the purpose of the discipline was to put to a stop the misbehavior without removing the inmate from the module. The effectiveness of informal discipline depended on the officer's willingness to follow through on warnings promises) to discipline continued misbehavior. Formal disciplinary options available to officers included (or extended lockdown of the inmate within his/her room or transfer to a segregation unit (a traditional maximum security module located within the facility).

The second of these emphasized the fair and consistent application of discipline. Officers described situations where inmate perception about inconsistent and unfair disciplinary action led to unrest and hostility, a breakdown of order in the module, stimulation of further inmate misbehavior, disruption of staff/inmate relations, and arousal of tension among staff members. Among the most effective behaviors for insuring fair and consistent discipline were: 1) disciplining only offending inmate rather than all inmates in the module, 2) disciplining an inmate in private rather than in the presence of other inmates, 3) explaining the reason for the disciplinary action to the inmate, in particular, identifying the rule the inmate violated, and 4) providing the inmate with an opportunity to explain the circumstances of his/her misbehavior.

In contrast to the discipline process in the direct supervision facility, the structure of traditional facilities (intermittent supervision) precludes fair and consistent disciplinary action. Because of the alternating presence and absence of the officer, discipline for rule infractions is differentially distributed and results from an officer's chance observation of misbehavior or from inmate snitches. Thus, in a traditional detention facility, an officer's ability to control inmate behavior is structurally compromised and his/her authority is subject to manipulation by inmate groups.

**DIMENSION THREE: Responding to Inmate Requests** - The extent to which an officer effectively responded to inmate requests and demands in a fair and balanced fashion avoided inmate manipulation.

In the direct supervision facility, the module officer is the most direct contact the inmate has with the facility's administration, other components of the criminal justice system and with the outside world. As a consequence, officers face a daily barrage of questions, requests for information, and complaints from inmates. How an officer deals with these questions and requests directly influences the degree of anxiety, hostility and isolation felt by inmates.

Several behavioral themes were discerned from the interviews. First was the need to acknowledge and respond to every inmate request even when the response was to deny the request. Several officers with experience in traditional jails highlighted the importance of this theme when they recounted how officers in these facilities, because of their intermittent contact with inmates, developed strategies to deal with inmate requests by lying about what they would do in response to the requests or by ignoring the requests. These survival strategies promoted further inmate isolation and hostility, led to increased tension and disorderliness within the facility and resulted in a tendency for the officer to avoid those inmates to whom promises had been made and not kept.

Other themes included responding to inmate requests in a polite and courteous manner, equal treatment of all requests, and fulfilling all promises made to inmates. One officer provided this example of ineffective behavior. An inmate requested a supply item provided by the jail to indigent inmates. The officer's response was to remind the inmate that he was in jail and should not even get air to breathe. The officer was faced not only with the hostility of the inmate but the hostility of all inmates in the module when the comment was circulated.

**DIMENSION FOUR: Building Positive Rapport and Personal Credibility With Inmates** - The extent to which the correction officer created an environment of mutual respect by demonstrating consistency and a courteous manner.

The officer, as the leader in the module, is expected to take responsibility for setting a positive tone for interaction among inmates and staff. If officers dehumanize, belittle or degrade inmates or are unable to control their emotions, the message communicated is that negative, antisocial and uncivil behavior is the norm. Inmate compliance and cooperation thus become problematic. If the officer's behavior reflects a mature, polite and civil demeanor, the message that incivility is intolerable is reinforced.

The need to create a module environment of mutual respect was accomplished by demonstrating consistency in day to day interactions with the inmates, maintaining a courteous demeanor, using common courtesies such as "please" and "thank you," and remaining emotionally controlled in contacts with inmates, regardless of the situation or circumstance. Several incidents were described in which officers were called derogatory names by inmates. Overwhelmingly, the officers agreed that retaliation against inmates by calling them derogatory names or taking excessive disciplinary action in an emotional fashion produced even greater inmate hostility and misbehavior.

### **DIMENSION FIVE: Supervising in a Clear, Well-Organized and Attention-Getting Manner -**

The extent to which the officer exhibited effective skill in organizing, supervising and motivating inmates in their activities.

The principles of effective supervision, irrespective of the organizational setting, require specific skills and abilities. The officers reiterated and elaborated on these general principles. Effective supervision of inmate task performance depended on the ability of the officer to 1) clearly communicate orders, requests and requirements of a task; 2) assign tasks equitably and consistent with inmate abilities; 3) motivate inmate compliance through praise and constructive criticism; 4) insure that inmates were able to comply with orders; 5) provide continual feedback to inmates on their performance; and 6) follow up on inmate compliance. The importance of effective supervisory skills was illustrated in several incidents. Two examples were given where inmates ignored officers' orders. In one situation, instead of insuring that the inmate complied, the officer gave the same order to another inmate, hoping that this inmate would obey the command. In the other situation, the officer performed the task assigned to the inmate. These behaviors were labeled ineffective because they demonstrated the officers' inability to exercise authority. It was predicted that both officers would be confronted with mass inmate disobedience in the future.

In the direct supervision facility officers rely on effective supervisory techniques to insure inmate compliance and accomplishment of daily tasks. In contracts, in traditional facilities the staff often relies on inmate leaders or "tank bosses" to supervise completion of daily inmate tasks. This creates several problems; the correction officer's authority is compromised and inmate manipulation of other inmates is facilitated to the detriment of facility order.

**DIMENSION SIX: Resolving Inmate Problems and Conflicts** - The extent to which correction officers provided guidance for the solution of inmate problems; recognized the steps involved in resolution of inmate conflicts: dealt with inmates in confrontational situations.

Within the close confines of any detention facility, conflicts and disputes will arise among inmates and between inmates and the correctional staff. The officers recognized the potential for escalation of these minor daily conflicts into large scale disruptive events. They argued that the effective officer was proactive and dealt with these conflicts at the first sign of disharmony.

The behaviors described under this dimension focused on officers' conflict management and problem-solving abilities. The officers described generally-accepted principles of conflict resolution. They pointed out that the effective officer separated inmates in a dispute by sending them to their rooms to calm down; gathered information about the cause of disputes; offered alternatives; and negotiated agreements. In addition, the officers discussed the importance of a patient and calm demeanor and the use of innovative and creative solutions.

The officers provided a number of examples of conflict situations. In one situation inmates were arguing over the use of the telephone. Several inmates needed to make "life threatening" telephone calls at the same time. An argument ensued. To deal with the potentially volatile situation, the officer arranged a row of chairs by the telephone. Inmates were instructed to take a seat and, when the telephone was available (each call was limited to 10 minutes), move

forward one seat. Although the situation appeared overly simplistic, the droll manner in which the officer offered the solution broke the tension and ended the arguing. Thus, the officer was prompt and innovative in his actions and averted a situation that was certain to erupt into a major conflict.

**DIMENSION SEVEN: Maintaining Effective Administrative and Staff Relations** - The extent to which the correction officer had knowledge of and consistently applied facility rules and procedures: coordinated activities with co-workers; supported the authority of staff members: communicated with supervisors and other administrators.

In traditional jails, staff -administrative relations are often mistakenly assumed to affect only the organizational dynamics and job satisfaction of individual employees. It became clear in our interviews that these relations are important for the achievement of an orderly module and for facility security. In contrast to officers in a traditional jail, the module officer is a crucial, if not the most important, organizational member.

The officers emphasized their role in maintaining effective relationships among staff and between staff and administration. Of critical importance was their emphasis on consistency between officers in dealing with inmates. In particular, consistency was demanded between module officers on different shifts. The rules enforced on one shift must be the same rules enforced on other shifts. Several behaviors were described as effective in maintaining consistency between officers including holding regular and informal meetings with all shift officers assigned to a module, providing pertinent information to relieving shift officers, refraining from expressing criticism of another officer in the presence of inmates.

Providing appropriate information to the facility administration in a timely manner was also reported to be important. One officer recounted a situation in which an inmate confessed to having committed a homicide to an officer. The officer, believing that the inmate was lying (he was in jail on different charges) did not relate the information to his supervisor. The inmate later confessed to the crime in court and told the judge that he had advised an officer of the crime. Not surprisingly, the officer faced disciplinary actions for his failure to report the confession to his supervisor. As illustrated in this example, open channels of communication between officers and supervisors and among officers is vitally important for module order, facility security and protection of the individual officer.

The officer's knowledge of and adherence to facility policies and procedures was mentioned as a vital component of effective staff-administrative relations. The officers argued that the policy and procedures manual was, in effect, "the Bible." By behaving in ways consistent with policies and procedures, the officers avoided inmate manipulation and promoted consistency in module management. In addition, officer practices consistent with official policy created a communication system where feedback and change in formal operating procedures was accomplished in a legitimate fashion.

While many of the behaviors described above may be practiced in traditional jails, the architectural design of these facilities limits their full and effective use. The fundamental element of direct supervision is the direct and continuous contact between corrections officers and

inmates. The linear design of traditional jails makes it structurally and fiscally impossible for this type of contact. Without the direct supervision of inmates, use of effective observation, proactive rule enforcement, communication, progressive discipline, consistency, personal interaction and the other principles described above are virtually impossible. Once the appropriate architecture is in place, however, the success or failure of the direct supervision facility rests on the effective performance of the module officers. Because of this the facility must assess and evaluate the processes through which officers are selected, developed and supervised.

## **Implications for Personnel Processes**

---

Schein (1981:88) argues that “organizations are becoming more dependent upon people because they are increasingly involved in more complex technologies and are attempting to function in more complex economic, political and socio-cultural environments.” This is nowhere more evident than in institutional corrections. External forces (courts, fiscal agents, etc.) are placing greater pressures on detention facilities to provide more humane incarceration for an increasing number of inmates at lower operating costs. Facilities have become more dependent on their employees to attain a wide spectrum of competing and conflicting goals - from maintaining facility security to protecting the community to providing safe incarceration to preventing expensive law suits. Yet research reveals that, in general, correction officers are a somewhat disaffected group. Symptoms of their plight include low job satisfaction, cynicism, alienation, job stress. etc. (Cullen, et al., 1985; Farmer, 1977; Jurick and Winn, 1986; Poole and Regoli, 1981; Shamir and Drory, 1982). The costs to the organization in terms of high attrition and absenteeism, increased error rates and reduced productivity, are astronomical.

Our research on the role of direct supervision officers implicates two factors in the personnel problems of detention facilities. These factors are: 1) the nature and design of the correction officer job, and 2) the lack of a coherent philosophy linking officer practices with detention facility goals. These two factors are inter-related. The lack of a coherent philosophy and goals prevents officers from clearly identifying the obligations of the job or the organization’s expectations of their performance. Deprived of these the officer must second guess the organization or rely on co-workers (or even inmates) to provide clarity. In either case, the risks are high that the officer may be performing in direct opposition to the facility’s formal mission and goals. Further distortion of the facility’s goals results from the nature and design of the correction officer’s job which focuses officer attention on fragmented tasks and routines rather than on the relationship of these to the overriding goals of the institution. The nature of the job promotes a focus on tasks and routines as ends rather than as means to an end. When tasks and routines predominate, responsibility for achieving goals becomes diffuse and fragmented.

An examination of correction officer activities, tasks and assignments in traditional facilities illustrates these points. The following tasks have been emphasized for New York correction officers: “Checks inmate passes and records inmates’ movements in and out of areas,” “Watches for unusual incidents and reports any to his supervisor either verbally or in writing,” “Makes periodic rounds of assigned areas checking for faulty bars, gates, etc. and checks areas for daily fire reports,” “Announces sick call,” “Frisks inmates and fills out frisk sheets,”

“Supervises bathing,” etc. (Tech, 1982:85-86). As is evident, the core obligations in the traditional correction officer role represent pluralistic, mundane and impoverished means to an end. The core obligations appear to be routine, fragmented and bureaucratic chores that require little or no judgment, initiative, or skill on the part of the correction officer and are not linked in any coherent fashion with an overriding facility philosophy or goal. In addition to promoting a means-oriented rather than goal-oriented officer focus, the nature and design of the job frustrates fulfillment of officers’ deeper, more personal needs for recognition, challenge, responsibility and achievement, and produces workers who are dissatisfied, unmotivated, alienated from their jobs and uncommitted to the goals of the organization.

In contrast, the depth and breadth of the core obligations revealed in our data suggests that the direct supervision officers’ job is an “enriched” one. Hackman (1981) argues that people are motivated and satisfied by jobs which are perceived as being meaningful, provide employees with responsibility for the outcome of their efforts and provide regular feedback as to the success or failure of their performance. Under the premises of job enrichment work is redesigned to provide optimal opportunity for workers to experience these conditions. Our analysis found that the direct supervision role possesses a number of enriching characteristics. The direct supervision officer role requires officers to observe, investigate and resolve inmate problems providing officers with the opportunity to use a variety of skills and abilities; requires officers to deal with problems and situations within the module allowing them to complete a job from beginning to end; requires officers to assess the impact of management skills on module order demanding that they evaluate the significance of their role; requires officers to make decisions within the module increasing their sense of responsibility and autonomy; and finally, requires officers to monitor inmate responses to their efforts providing them with information and feedback as to the effectiveness of their performance.

Whether or not job enrichment was an intended consequence of the direct supervision design is moot. Job enrichment is a consequence of the design and as such, has implications for management practices in these facilities. Of vital importance is the articulation and inculcation of direct supervision’s mission and goals to corrections officers. Direct supervision provides correction officers with new and complex responsibilities. In particular, the locus of daily decision-making and authority has shifted from supervisor to line officer. Because of the fragmented nature of the correction officer job in traditional facilities, first line supervisors compensate for the lack of employee commitment to organizational goals by either making all decisions or, at the least, closely policing the decisions made by line officers. The architectural and management style of direct supervision requires officers to assume broad decision-making responsibilities once held by supervisors. For officers to make decisions and align their activities and actions in a way consistent with the mission of the facility, they must not only possess a clear notion of what the mission is, but they must be dedicated and committed to it. When knowledge of and dedication to the organization’s mission are absent, officers will look to other sources for clues on how best to perform the job. The risks are too great in direct supervision for officers to function without a clear understanding of the facility’s mission.

Unlike most traditional detention facilities, direct supervision architecture and operations have been developed on a strong body of knowledge on human psychology. From this has emerged a clear and concise statement of the direct supervision mission. How the facility instills this mission with its employees - how the facility insures employee commitment to the mission - depends on the degree to which the organization has aligned its personnel practices with the direct supervision philosophy. An appropriate personnel system insures employee commitment by explicitly linking philosophy and goals to the processes of personnel recruitment, selection and socialization/orientation. It reinforces employee commitment by using the philosophy to specifically inform training, supervisory coaching and counseling, and performance evaluation. And finally, the organization rewards employees for the commitment by promoting salaries and benefits commensurate with officers' new responsibilities and by instituting collaborative management practices.

While success or failure of direct supervision rests heavily on the ability of the correctional staff to implement the philosophy, the processes through which talented and able officers are selected, developed and supervised have yet to be fully explored. Thus far, individual facilities have undertaken their own "search for excellence" in their personnel. Future research needs to be dedicated to assisting these facilities in development of personnel systems which fulfill the more complex demands on direct supervision employees. The result of our exploration into the changing role of the corrections officer leads us to offer the following for consideration:

1. The processes of recruitment and selection are crucial to insure that qualified and capable personnel are hired. Often overlooked, however, is that both send important messages about the philosophy of the facility and the standards of excellence expected of employees once hired. If, for example, recruitment and selection processes emphasize routine and mundane task performance, only by accident will employees who can integrate ends and means be recruited and hired.

Traditional methods of correction officer recruitment appear to be inadequate in fulfilling the personnel needs of direct supervision facilities. The demand for employees with the ability to make complex judgments, exercise leadership and understand and communicate with a broad range of people necessitates that the search for employees be broadened. It must be designed to draw applicants from diverse backgrounds by targeting heretofore ignored groups or categories of people. To accomplish this, the recruitment search must reach beyond local boundaries.

Personnel selection practices for traditional facilities are woefully inadequate. The process tends to focus on the "weeding out" of obvious undesirables. The direct supervision selection process must not only eliminate undesirables but must focus on ranking the qualities of those who meet the minimum standards. This process of gradation must be linked with the philosophy and practices in direct supervision facilities. The direct supervision role demands that the selection process focus on applicants' ability or potential to integrate means with ends rather than on the ability to merely perform a series of unrelated tasks.

2. Often ignored in the personnel process is the socialization or orientation period that occurs after officers complete basic training and assume regular duties. This is an important phase in the employee's development of attitudes and opinions about the job and will determine, in the long run, whether or not the employee will implement the skills learned in basic training and commit to the mission of the organization. It is vital that the facility provide an environment for the newly hired which reinforces basic training and reiterates the philosophy and goals of the facility. To meet this challenge, many direct supervision facilities have instituted a period of on-the-job training lasting up to 90 days during which the new officer is assigned to work with an experienced, qualified and appropriately committed officer.
3. While the short term goal of basic or in-service training is to provide employees with the skills necessary to perform their job, training can play an important role in instilling and reinforcing the mission of the facility. Although training needs to address the policies, procedures and practices of daily responsibilities, it must also facilitate a long term commitment to organizational goals. Training which is so narrowly and rigidly focused on task performance to the exclusion of linking tasks with goals, will consistently handicap the employee who faces unique situations not addressed in training. In this regard, the content of training must be balanced between imparting the necessary skills for task performance and providing employees with knowledge broad enough to allow formulation of effective responses in unique situations.
4. A unique feature of the move to direct supervision concerns the preparation of transitional staff (staff moving from the old to new facility). The experience of facilities who have made the transition indicates that among these employees turnover is high, there is resistance to change, and, often times, there is an attempt to sabotage the new operations. It is imperative that special attention be paid to the problems of these individuals through the following means. First, transition staff or their representatives must be involved from the beginning in the total planning and implementation processes to foster commitment and alleviate concerns. Second, whenever possible, it is recommended that transition staff members be sent to on-line, successful direct supervision facilities for on-the-job experience. Finally, specialized transition staff training must not only emphasize the new philosophy and operations but must address employees' fears concerning change.
5. Supervisor/officer relations in the direct supervision facility are critical to successful operations yet their implications are often overlooked. First, redesign of the correction officer job has moved the locus of many responsibilities from the supervisor to the correction officer. For supervisors, the change may be perceived as threatening and result in sabotage or confusion about the dimensions of their new role. Special attention must be paid to the redefinition of supervisor responsibilities and to their training needs. Second, supervisors play an important role in the reinforcement of the facility's mission and goals. Through continuous and regular coaching and counseling supervisors can ensure that officer performance is consistent with facility goals. Third, in the long run, the style of supervision must also be re-evaluated. The change in the correction officers' job redefines the officer as sole authority figure within the module. Supervisors must be sensitive to this. In general,

supervisors should not supersede, contradict or intervene except in the most critical situations or when officers are in direct violation of facility policy. Supervisor intervention, when necessary, should be respectful of the officers' authority and expertise. Their role must reflect a more collegial worker/supervisor relationship. They must realize that their role entails not only authority over officers but support for them. A caveat is in order. Experience indicates that during the early stages of operation of the new facility, supervisors are well advised to adopt a task-oriented style. That is, the supervisor must closely monitor officer performance to assure that it is consistent with facility policy and overall philosophy. Once officers are comfortable with their new role and when all officers share in a commitment to the philosophy, the supervisor can move to a style that emphasizes watching and the provision of support (Hersey and Blanchard, 1972). Fourth, supervisors must play an active role in preventing officer's feelings of isolation within the module and the possibility of cooptation by inmates. This is most effectively prevented through frequent supervisor contact insuring that officer are relieved from the module for breaks and meals, and by insuring that there are ample opportunities for co-worker contacts.

6. The performance appraisal process provides important opportunities for the facility to reinforce the direct supervision philosophy and goals. Formal performance appraisal provides the facility with opportunities to draw attention to officer performance which is consistent or inconsistent with the facility's mission: adjust behaviors that are counterproductive or inconsistent with facility policies: identify training or re-training needs: identify those with promotion potential or the potential for added responsibilities; and, practice career development and counseling. A meaningful performance appraisal process must include the following: 1) an adequate behaviorally-based assessment instrument capable of evaluating the critical performance dimensions and behaviors of the officers: 2) a process which emphasizes the relationship between ends of direct supervision and the means of task performance; 3) supervisory commitment to an ongoing, daily appraisal process supplemented with annual or bi-annual review sessions; 4) adequate supervisor observation and recording of pertinent behaviors: 5) a goal setting philosophy that focuses on the future performance of individuals rather than dwell on past performance; 6) a link between performance and formal and informal organizational rewards: and 7) a commitment to making the process a meaningful part of the organization's planning and development.
7. The issue of appropriate compensation and rewards is critical to the development of professional personnel. Three issues regarding compensation need to be addressed. First, the increased responsibilities of direct supervision employees require that salaries and benefits be commensurate with the demands. Second, retention of competent staff depends on an appropriate performance-reward link. Third, the recruitment of individuals in direct supervision relies heavily on the nature of pay and benefit packages. One of the most important factors in deterring the development of traditional detention facilities has been the inability to attract highly competent, motivated and career-oriented people. Part of this problem can be linked to the effects of inadequate compensation and to the fact that, traditionally, detention facility employees have been paid far less than law enforcement officers. The result is that detention facility personnel are perceived as "second class"

citizens. If employees are expected to assume new and demanding roles that emphasize judgment and wisdom over routine performance, it is vital that organizational energy be channeled into efforts to secure adequate compensation.

8. The redesign of correction officer and supervisor roles necessitates that administrators re-evaluate their overall approach to facility management. The nature of officer and supervisor roles provides employees with expertise, authority and knowledge heretofore absent from their jobs. To take advantage of this situation, the managerial approach adopted by the direct supervision facility must allow for the development of open, two way communication channels and the development of a general level of trust between employees and management.

The holistic design of the officers' job and their responsibility for implementing facility policy provides officers with opportunities to evaluate the success or failure of formal operating procedures. By soliciting the input of these "experts" management can ensure that policies are informed by practice. The importance of open, two-way communication in policy formation and evaluation was illustrated by officers in one traditional facility. In this facility, a policy was implemented which rewarded inmates for maintaining a clean living area. According to the officers, the policy not only failed to attain its goal but stimulated the deterioration of the living areas. The officer's attitude in not reporting the policy's failure to management was that "they never listen." How often are employees' energies directed away from organizational goals because "they never listen?"

Creating an environment that is supportive of increased levels of officer authority, autonomy and discretion presents a dilemma for management. On the one hand, it is imperative that management maintain a tight review process to ensure that the critical elements of direct supervision are met. On the other hand, management must recognize that these new responsibilities (perhaps professional ones) require the development of trust between the administration and employees. The resolution of this dilemma lies with the development of both unobtrusive, formal controls as well as a policy of collaborative and open decision-making and policy formation. How facilities adapt to this environment depends on their recognition of its requirements and their willingness to experiment with a number of diverse management styles.<sup>y</sup>

Our on-site study of several direct supervision facilities and a review of the pertinent literature leads us to conclude that, while there have been many programs, reforms and changes in institutional corrections, this may be the first time where a reform has been guided by an explicit, well thought out model which links philosophy, goals, tasks and implementation. The future success or failure of this endeavor depends upon a leadership that promotes an organizational culture which is universalistic rather than particularistic and fragmented. No only must leadership carefully integrate both means and ends in the management and operation of the facility, but it must also do so with its personnel systems.

## References

---

- Cullen, F.T., G. Link, N.T. Wolfe, and J. Frank (1985) "The Social Dimensions of Correctional Officer Stress." *Justice Quarterly*. 2(4): 505-533.
- Farmer, R.E. (1977) "Cynicism: A Factor in Corrections Work." *Journal of Criminal Justice*. 5:237-246. Flanagan, J.C. (1954) "The Critical Incident Technique." *Psychological Bulletin*. 7:327-355.
- Goleman, D. (1981) "The New Competency Tests: Matching the Right People to the Right Jobs." *Psychology Today*. January: 34-36.
- Hackman, J.R., G. Oldham, R. Janson and K. Purdy (1981) "A New Strategy for Job Enrichment." In Klinger, D.E., ed., *Public Personnel Management*. Palo Alto: Mayfield Publishing Company.
- Hersey, P. and K.H. Blanchard (1972) *Management of Organizational Behavior*. Englewood Cliffs, New Jersey: Prentice-Hall.
- International City Management Association (1984) *Effective Supervisory Practices*, 2nd ed. Washington, D.C.: ICMA Training Institute.
- Jurik, N.C. and R. Winn (1986) "Describing-Correctional Security Dropouts and Rejects: An Individual or Organizational Profile?" Presented at the 1986 annual Academy of Criminal Justice Sciences meeting in Orlando, Florida.
- Latham, D.P., LM. Saari, E.D. Pursell and M.A. Campion (1980) "The Situational Interview." *Journal of Applied Psychology*. 615(4):422-427.
- Latham, G.P. and K.N. Wexley (1981) *Increasing Productivity Through Performance Appraisal*. Reading, Massachusetts: Addison-Wesley Publishing Company.
- Nelson, W.R. (1984) "Isolation of Staff from Inmates: A Correctional Policy Issue for the 1980s." *Corrections Today*. (April): 106. National Institute of Corrections (1983) *New Generation Jails*. Boulder, Colorado: Library Information Specialists, Inc.
- Poole, E.D. and R.M. Regoli (1981) "Alienation in Prison." *Criminology*. 19(2):251-270.
- Schein, E.H. (1981) "Increasing Organizational Effectiveness Through Better Human Resources Planning Development." In Klingner, D.E., ed., *Public Personnel Management*. Palo Alto: Mayfield Publishing Company.
- Shamir, B. and A. Drory (1982) "Occupational Tedium Among Prison Officers." *Criminal Justice and Behavior*. 19(1):79-99.
- Toch, H. and J.D. Grant (1982) *Reforming Human Services*. Beverly Hills: Sage

---

<sup>i</sup> The authors wish to thank the following people for their assistance in this research. Captain Don Manning, Spokane County Detention Facility, Spokane, Washington, provided the impetus and interest for this project: Director Gordon Yach, Assistant Director Paul Martin and Sgt. Frank Tucker, Las Vegas Detention Center, and Major Russell Davis and Captain John Alese, Pima County Detention Center, for their willingness to open their facilities for an in-depth examination: Chief Robert Skipper and Captain Joseph Golden, Multnomah County Detention Center and Director

---

Larry Ard and Leslie Glenn, Contra Costa Detention Center, for their contributions to the study. Finally, we wish to thank all correction officers and supervisors who shared their time and expertise. The willingness to participate in such time consuming research is a sign of a new professionalism emerging in the field of corrections.

This manuscript was adapted from the article "New generation Jails: Innovations in Inmate Management," by Linda L. Zupan, presented at the annual meeting of the Western Academy of Criminal Justice Sciences, November 1985, in Reno.

<sup>ii</sup> In tandem, the architectural design and inmate management style of direct supervision function to alleviate staff and inmate fear and predation associated with an uncontrolled environment. For a discussion of these dynamics see Zupan, Linda L., "New generation Jails: Innovations in Inmate Management."

<sup>iii</sup> The concept of self-contained, direct supervision design is not new to the field of corrections and mental health care. For example, some variant of this style is found in both adult and juvenile treatment facilities. However, it is new to jails and it may be the first time where a coherent philosophy meshes architectural design and facility operations and management.

<sup>iv</sup> Harvard psychologist David C. McClelland argues that by identifying outstanding performers within an organization and by intensively interviewing them as to how they perform their job, judgments can be made about "what competencies these stars (show) that other people (fail) to show" (Quoted in Goleman 1981:36).

<sup>v</sup> There are a number of other personnel-related issues which need further research. Probably the most important concerns corrections officer career development. Facilities have approached this issue differently. For example Contra Costa Detention Facility places officers in the facility for a period of 18 months before transferring them to the street as deputies. Other facilities have developed a correctional career track where officers spend their tenure within the facility. Both have advantages and disadvantages, and have important implications for the personnel processes within the facility.