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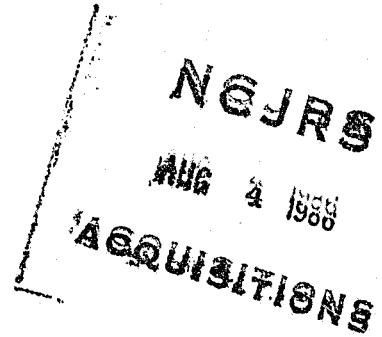
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DIRECT SUPERVISION MODELS

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DIRECT SUPERVISION MODELS

INTRODUCTION

Jails and prisons that make possible the direct supervision of inmates through architectural design have been endorsed by several national corrections groups within the last year. The American Correctional Association endorsed the concept of a podular design in conjunction with a direct inmate supervision approach in their publication, Design Guide for Secure Adult Correctional Facilities published in November, 1983. The American Institute of Architecture's Committee on Architecture for Justice appointed a subcommittee in 1983 to draft a statement in favor of the concept for adoption by AIA. And the National Institute of Corrections' Advisory Board took a formal position on the podular design and direct supervision management concept at their November 21, 1983 meeting. The statement of the Board is as follows:

"The Advisory Board of the National Institute of Corrections advocates that jurisdictions that are contemplating the construction or renovation of jails and prisons should explore the appropriateness of the podular direct supervision (new generation) concept of jail and prison design and management for their new facilities. The NIC Advisory Board believes that the economic, social and professional values explicit in this concept of jail and prison design and management exemplify an appropriate direction for detention of persons who require incarceration. Evidence indicates such facilities are more cost effective in terms of both construction and operation.

The Board instructs the Director of the National Institute of Corrections to give emphasis to the dissemination of information; the training of jail and prison practitioners; the provision of technical assistance; the formulation of standards and policy; and a continuous evaluation of the effectiveness of the Podular/Direct Supervision concept of jails and prison design and management, in addition to existing NIC programs."

Despite these evidences of a growing acceptance of the principle of direct supervision models, however, understanding of these models is still somewhat limited among architects as well as among jail and prison administrators. The purpose of this paper is to trace the development of the podular/direct supervision model, to define the principles inherent in its design and operation, and to describe some of the remaining barriers to its general acceptance. The paper will also cite some examples of facilities designed around the direct supervision concept and discuss some potential implications of the direct supervision model for future detention facilities planning.

THE PODULAR/DIRECT SUPERVISION CONCEPT

The prisons and jails that have been constructed during the past decade can be classified into three basic architectural/management categories:

1. Linear/Intermittent Surveillance
2. Podular/Remote Surveillance
3. Podular/Direct Supervision

While all new facilities have unique characteristics and many combine parts of each category, this identification of three basic models provides a means of organizing some basic comparisons.

Linear/Intermittent Surveillance

The most common category is what can be referred to as the linear/intermittent surveillance model, a design patterned after the institutions of our not-so-glorious past. The design is generally rectilinear, with corridors leading to either single or multiple occupancy cells arranged at right angles to the corridor. With several exceptions, most of our eighteenth and nineteenth century institutions were of this Linear/Intermittent Surveillance type.

The management of a linear institution is, of necessity, oriented towards intermittent surveillance and supervision. Since officers cannot see around corners, they must patrol to see into cells or housing areas. When in a position to observe one cell, they are seldom able to observe others; thus, when the inmates are not being directly observed they are essentially unsupervised. Prisoners who require close supervision have been known to create horrendous management problems. Examples of the resulting barbarity and security breaches need not be enumerated to correctional practitioners or experienced designers.

The critical variables that determine the severity of problems associated with the linear/intermittent surveillance category are the frequency and thoroughness of patrols and the aggressiveness of inmates in multiple occupancy cells. Once a problem is detected, help usually must be summoned to resolve it. The interval between patrols is a management variable not easily controlled, given the exigencies of the detention setting and the influence of inmates on patrol frequency. In a linear/intermittent model, inmates can use the intervals between patrols to make escape preparations, fashion weapons, assault others, etc. Because destruction of fixtures and furnishings also occur with regularity during unsupervised intervals, it is necessary to install expensive vandal-proof housing materials.

The surveillance deficiencies of the linear design were recognized early in the history of prisons. One of the earliest prison reformers, Jeremy Bentham, introduced the "panoptican" model,¹ a circular, multi-floored structure with cells arranged around the circumference or outer wall of the building. From a position in the center of the circle an officer could observe all cells in the cell house. Despite his strong advocacy of the panoptican concept, it was never fully adopted in his lifetime.

The most prominent example of the panoptican design, and the fulfillment of Bentham's dream, is the circular cell house at the Illinois State Prison at Statesville, constructed in 1924.² At Statesville, the large scale of the panoptican design defeated the concept's utility, for it was difficult to determine who was being observed more effectively -- the officer or the inmates. The panoptican design did not prove to be an effective architectural solution.

Podular/Remote Surveillance

The panoptican design, however, may be considered the forerunner of the second category, the podular/remote surveillance model.³ Under this approach, inmate housing areas are divided into "manageable-sized" units or pods. In typical units, single occupancy cells are clustered around a common area and a secure control booth from which an officer observes inmate activity. Boulder County Jail in Colorado and the Ventura County Jail in California are representative of the podular/remote surveillance model.

The institutional size considered "manageable" in this model varies with the user's definition as well as with the constraints imposed by the size of the total population and separation requirements. In practice, unit size rarely exceeds 50 beds and generally is further divided into subsections of 12 or 16 to facilitate the control of negative inmate behavior.

The podular/remote surveillance design is associated with a reactive management style; i.e., it is organized to encourage officers to react to inmate management problems rather than to prevent them. From secure observation booths, staff have minimal contact with inmates; they are only in a position to observe and to summon help in case of inmate misconduct within a pod.

Anticipated negative behavior is further controlled by security doors, electronically closed and locked from the secure control booth. Cells are also equipped with vandal-proof cast aluminum toilets and bowls, steel or concrete beds, and security hardware and furnishings. The principle strategies for inmate control are a reliance on some degree of sight surveillance, technological restraints, and a response to negative behavior only after it has occurred.

In the case of jails, the podular/remote model is reported as a significant improvement over the linear/intermittent surveillance model. It has become popular with employee unions because staff are removed from contact with inmates, and assaults on staff have been reduced.

Since the experience of most local jurisdictions has been with linear facilities, managers and line staff with little exposure to other systems generally see the podular design as an opportunity to solve the problems of the old jail -- not as an opportunity to do things differently. Additionally, the general view of most practitioners is that problems that have traditionally plagued local jails are endemic to all jails. Few if any identify those problems as stemming directly from traditional architectural style and the inmate management system it imposes. As a result, the adoption

of podular/remote surveillance models can be interpreted as a design and management response to problems that do not necessarily have to exist. Remote surveillance does not capitalize on the potential of the podular design -- it merely uses it to attempt to solve the problems of the linear jail.

Podular/Direct Supervision

The third architectural/management category is the podular/direct supervision model, introduced in 1974 by the Federal Prison System's (F.P.S.) Metropolitan Correctional Centers. In 1969, the Federal Prison System developed three prototype detention facilities. Although the F.P.S. had extensive experience operating institutions for sentenced prisoners, its experience with pre-trial detention facilities was limited. Therefore, the F.P.S. launched an extensive planning effort that sought to incorporate the thinking of experts in local jail management. The resulting architectural programs were strongly influenced by the "functional unit management concept," which had recently been developed in F.P.S. institutions.⁴

Three architects from among the nation's leading firms were selected to design the Metropolitan Correctional Centers in New York, Chicago and San Diego. A special working condition was imposed on the architects that prohibited each from consulting with the architects selected to design the two other Metropolitan Correctional Centers. While each of the Metropolitan Correctional Centers reflected the individuality of its architect's response to essentially the same architectural program, they were all similar in that they effectively facilitated the same management orientation. The housing areas were divided into "manageable" units with cells arranged around a common multipurpose area.

In Chicago, the general population units contained 44 rooms; in the New York and San Diego facilities, the units contained 48 rooms. The units were not further divided into smaller sub-units, nor were they equipped with secure control stations, indestructible furnishings, fixtures and finishes that were characteristic of the linear/intermittent and podular/remote approaches.

The management orientation of the resulting podular/direct supervision design is proactive -- i.e., it is organized to prevent negative inmate behavior before it occurs. The podular/direct model relies on the staff's ability to supervise rather than on structural barriers or technological devices. Structure and technology are employed indirectly to facilitate staff efforts in controlling the population.

In the podular/direct model, each unit is staffed by one officer in direct control of 40 to 50 inmates. It is the responsibility of the officer to control the behavior of the inmates in his/her unit, keeping negative behavior to a minimum, reducing tension, and encouraging positive behavior. In this model, the role of the management team is to structure the operational environment so that correctional officers will be successful in proactive control.

During the eight years that the Metropolitan Correctional Centers have been in operation, a great deal has been learned about shaping environmental forces and structuring the officer's influence on the inmates to prevent most common

negative behaviors and to promote positive ones. As Appendix A shows, there have been fewer assaults in these institutions than in traditional jails, and suicides and escapes are rare. Note that the data presented on M.C.C.s are compared only to gross, or aggregate, data from traditional jails, and that they do not take into account variations in reporting procedures or definitions. Nevertheless, the tables do make clear that significant differences do exist between the two types of facilities particularly in relation to staff and inmate safety. In general, managers are pleased with the manageability of the M.C.C.s, and staff perceive the environment as safe, clean, and challenging.

Since the housing units are equipped with commercial grade fixtures and furnishings rather than costly indestructible security equipment, the podular/direct supervision facilities are less expensive to build. In addition, the normalization of the correctional environment facilitates the inmates' transition from institution to society. The cost of maintaining these institutions is also minimized because destructive inmate behavior is effectively controlled. Staffing ratios are reasonable and cost effective and compare favorably with other ratios in institutions designed to meet professional standards.

Specific principles and dynamics for managing the podular/direct supervision model have been identified which, when applied, encourage a desired inmate response. The application of these principles has confirmed that correctional workers can effectively manage the behavior of inmates so that the traditional problems of the American jail are neutralized.⁵ A discussion of these principles follows.

THE PRINCIPLES AND DYNAMICS OF DIRECT SUPERVISION MODELS

Principle I -- Effective Control

A detention facility, by definition, is a controlled environment for detention of those who are charged with a crime, awaiting a disposition, or serving a short sentence. Effective control of inmates is one of the primary objectives of any jail or prison.

A. Total Control

The managers of podular/direct supervision jails must be in total control of their jails at all times. Control should never be shared with inmates. When inmates are even temporarily unsupervised, they are in effect left in control of each other.

B. Sound Perimeter Security

The physical security of the podular/direct supervision facility is concentrated on the perimeter. A strong perimeter security permits greater flexibility of internal operating procedures and increases staff safety. Perimeter security is also important in the sense that staff in contact with inmates should never have the ability to cause the release of an inmate.

C. Population Divided into Controllable Groups

Dividing the jail population so that the administrator will not have to deal with more than 50 inmates at any one time will facilitate his ability to remain in control. The administrator may very well wish to manage larger groups of inmates when it is appropriate; however, this option should be discretionary and not dictated by design.

D. Easily Surveillable Areas

The supervising officer should always be in a position to easily observe the area he controls. This should be facilitated by the design of the unit. The concept of "protectable space", which was developed in the design of public housing and other public spaces vulnerable to theft and vandalism, can be very effectively employed in an inmate housing unit.

E. Inmates' Inner Control Maximized

One of the most significant elements of the principle of effective control is to structure the inmate's environment so that his inner controls will be maximized. Just as most inmates have the capacity for negative behavior to achieve their ends, they also have the capacity to conform their behavior to the desires of the administration if that will serve their needs. Many "street wise" inmates learn at an early age to manipulate their environment to their best advantage. In the traditional jail or prison environment, violent and destructive behavior is one of the means employed by inmates to achieve their needs.

A proactive management approach to this problem is to manipulate the inmate's environment so that his critical needs are best achieved through compliant behavior and his negative deeds will consistently result in frustration.

Principle II -- Effective Supervision

Direct staff supervision of inmates is requisite for the achievement of effective control. Effective supervision involves more than visual surveillance; it includes the use of all the human senses, as well as extensive personal interaction between staff and inmates. The elements of supervision proven to be effective in other human enterprise also can be productively applied in a detention setting.

A. Staff-to-Inmate Ratio

The military has struggled with the concept of supervision ratios for centuries. While there are still no precise figures or absolute rules, past practice indicates that a platoon of approximately 44 men is a manageable group for military purposes. The experience of the past eight years in podular/direct supervision detention facilities suggests that an officer can effectively supervise 50 inmates. There is some evidence indicating that the group of inmates being supervised by one officer may even exceed 50, but it is still too early to determine the validity or reliability of this data. However, at the present time there is sufficient experience to establish the one-to-50 ratio as a reliable benchmark for detention facility design.

As one would reasonably assume, smaller groups are easier to supervise. However, the cost effectiveness of a lesser ratio has to be taken into consideration, since it could represent a considerable increase in annual operating cost for larger institutions. On the other hand, smaller institutions, e.g., under 200, may not be able to achieve the one-to-50 ratio because of mandatory classification groupings.

When inmates are divided into groups of 12 or 16 as in the standard podular/remote surveillance facility, the separations serve as a severe impediment to direct supervision. To attempt to staff each of the subdivisions with an officer would result in an operating cost few communities could afford.

B. Officer in Control of Unit

Effective supervision depends on the officer's being in control of his unit. The unit officer should not be expected to contend with an inmate in his unit who is not agreeable to promptly obeying all lawful orders. The housing unit should always be viewed as the "officer's space" with the inmates in the role of the visitor; not vice versa, as is so often the case.

The principle that an officer must have the authority commensurate with his responsibility must not be confused with the old axiom that "the officer is always right". An institution must be managed by a clearly defined and understood set of policies and procedures, along with a good measure of common sense. When these are violated, management must promptly respond in an intelligent and equitable way.

C. The Officer's Leadership Role

One of the major sources of inmate violence is the struggle to assert leadership when a leadership void exists. This is a natural group response to such a situation in any segment of society. However, the struggle for leadership or the dominant role in an inmate group is usually violent and brutal. Inmate rapes, for example, are often tactics employed by inmates to exert their dominance over others.

In order to avoid this situation, the officer must fill the leadership void and protect his role jealously. There is only room for one leader on a unit during any one shift and that must be the officer. Management's responsibility is to structure the unit environment to ensure that the officer remains the undisputed leader. Any inmate who vies for the leadership role has to be dealt with effectively, even if that involves his removal from the group.

D. Frequent Supervision by Management

Management must actively assume the responsibility for assuring that staff are successful in fulfilling their inmate supervisory responsibilities. This is achieved principally through the high visibility of managers in the housing units. The supervisor must ensure that the officer is performing his duties correctly, is achieving the desired results, and can be fully supported by management.

E. Techniques of Effective Supervision and Leadership

A considerable body of knowledge has been collected and verified concerning effective supervision and leadership in all forms of human endeavors. These principles are also applicable to supervision and leadership in a podular/direct supervision facility. Mastery of these techniques will enable the officer to accomplish his objectives skillfully and with a sense of professional competence.

The officer who practices the correct techniques of supervision and leadership on a daily basis will soon become expert in skills that are highly transferable. These skills will prove invaluable to the entire organization when the unit officer is eventually promoted to a supervisory position in his organization. All too often officers are promoted from the ranks to supervisory positions without the proper training and skills for the job. One of the residual

benefits of a podular/direct supervision facility which practices the accepted techniques of effective supervision and leadership will be the movement of highly skilled individuals into the supervisory and eventually the command ranks.

Principle III -- Need for Competent Staff

In order to run an institution where successful operation is dependent upon the effectiveness of staff rather than technological devices, the staff must be competent. A community which places little value on this factor would be best advised not to consider a podular/direct supervision facility.

A. Recruitment of Qualified Staff

A basic requirement for acquiring a qualified staff is a formal recruitment program which recognizes the qualifications for officers to staff a podular/direct supervision facility. A candidate for such a position should have the ability to relate effectively to people, to become a leader, and to learn the skills required of this position. Qualified candidates do not have to be college graduates, but should be capable of participating beneficially in the required training. Such candidates cannot be expected to be recruited at salaries lower than their road patrol counterparts.

B. Effective Training

In addition to basic correctional officer training, the officer needs to be trained in the history, philosophy and the principles and dynamics of new podular/direct supervision facilities. He should also receive training to develop the critical skills of effective supervision, leadership, management and interpersonal communication.

C. Effective Leadership by Management

Even trained staff can only function as effectively as their leaders. As indicated previously, management must assume the responsibility for making staff effective. They must develop their staff through constructive supervision and leadership, ensure that they receive proper training, and maintain high recruitment standards.

Principle IV -- Safety of Staff and Inmates

Probably the greatest concern about being incarcerated or seeking employment in a detention facility is personal safety. Our detention facilities have gained a reputation of danger that creates fear.

A. Critical to Mission and Public Expectations

Despite the general fear of detention facilities in our society, there is a public expectation that inmates should be safe, and 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 Code

Prisons and jails are often the scenes of tragic fires. During the past 15 years there have been more than a dozen mass-fatality fires in American correctional facilities. The fatalities from these fires occurred primarily from smoke inhalation which resulted from deficient evacuation plans and key control procedures. Any facility, regardless of architectural or management style, must be responsive to these critical issues.

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. It is a travesty that these public funds were not spent in the first place to correct the unsafe conditions responsible for the injuries.

D. Inmate Response to Unsafe Surroundings

A critical day-to-day element of this principle is how inmates respond to unsafe surroundings. Their response is rather predictable -- self-preservation. It is one of the basic instincts of man. 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, where they perceive it to be safer than the general population. The very acts which practitioners identify as the primary inmate management problems are often normal reactions to unsafe surroundings.

Inmates in a podular/direct supervision facility where personal safety is ensured do not find these defensive strategies necessary or in their best interests. On the contrary, such behavior is dysfunctional. It does not fulfill their needs and serves no constructive purpose. An important indicator of this condition is the almost total absence of contraband weapons in podular/direct supervision facilities.

E. Staff Response to Unsafe Working Conditions

Staff's response to unsafe conditions is not too different from inmate's since self-preservation is also one of their basic instincts. Staff often affiliate with unions to achieve safer working conditions. They avoid personal contact with inmates and avoid patrolling areas perceived by them to be unsafe. Staff often avoid coming to work altogether by using an excessive amount of sick leave for stress-related disabilities and at other times 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 through the granting of special favors.

F. Fear-Hate Response

The inevitable result of an unsafe environment is the "fear-hate" response. Fear and hate are closely related emotions. We usually hate those we fear, and fear those we hate. The inmates' fear and the resultant hate of other inmates and staff lead to some hideous consequences. The feelings toward inmates and even other segments of staff exacerbate the situation. The combined result of all of this intense hatred for one another is a "cancerous" working situation which is extremely hazardous. Such conditions fueled the atrocities of the tragic New Mexico State Prison riot in 1980.

Principle V -- Manageable and Cost Effective Operations

One very important consideration for any facility is that it be manageable and cost effective. Its mission and goals should be readily obtainable. Taxpayers are not anxious to spend more than they have to on corrections operations, and rightly so. However, detention facility expenses cannot be avoided by neglect. Many communities and states have tried this strategy, only to find it far more costly in the long run. The podular/direct supervision facility is able to fulfill the mission of the detention facility while at the same time reduce costs.

A. Reduced Construction Costs

Construction costs vary according to region and unique circumstances confronting the architect and contractor. Therefore, the costs of building podular/direct supervision facilities vary from one location to another. The fact that this type of institution is free to take on many architectural styles, as long as they facilitate the principles and dynamics, also contributes to the variation in cost.

There are, however, some basic component cost characteristics which are unique to the podular/direct supervision style. 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. When one considers that the cost of a china toilet and bowl is about \$150.00 and a stainless-steel vandal-proof toilet and bowl is about \$1,500.00, some appreciation for construction costs savings is gained. The costs of gang cell door closers and locking systems are also avoided. See Appendix C.

B. Wider Range of Architectural Options

Since the architect does not have to select materials primarily as a reaction to the anticipated destructive behavior of inmates, he is free to select a wider range of materials. For example, if a facility wishes to utilize carpeting as a floor covering and benefit from its relative cost advantage, ease of maintenance, and sound dampening qualities, it may do so.

C. Reduced Vandalism

One unique characteristic of the podular/direct supervision facility is the absence of graffiti and vandalism which are so pervasive in other types of facilities. This contributes to a reduced operating cost. As in other public facilities, vandalism and graffiti are significantly reduced by both pleasant appearance of the facilities and perpetual supervision and maintenance.

D. Anticipate Fundamental Needs

As indicated previously, much negative inmate behavior is driven by efforts to fulfill human needs. The proactive manager uses his knowledge of how human needs affect behavior to achieve the behavioral response he is seeking. He perceives them as environmental forces that can be effectively manipulated to assist him in accomplishing his agency's mission and goals. If the inmate understands that most of his fundamental human needs can be fulfilled on a general housing unit, then he has a very important investment in remaining on the unit.

One of the most powerful forces affecting the inmate's behavior, next to the self-preservation instinct, is the need to communicate and have contact with family and significant others. This need is particularly strong when a person finds himself incarcerated. The fulfillment of this need then becomes an influential dynamic in managing the general housing unit. The timing and conditions of the visiting area are all very important. If contact visits are available to those who conduct themselves responsibly, the motivation for responsible behavior is greatly enhanced. The potential loss of privileges that affect an inmate's relations with his loved ones is one of the most potent forces that can be applied to achieve responsible inmate behavior.

Telephone access is likewise an important priority for the inmate. Through the telephone, he is able to keep in communication with the important people in his life. We all know how frustrating it can be when our telephone access is limited when we have a need to communicate with someone important to us. Therefore, another important ingredient for the general housing unit is sufficient collect call phones to meet the population's telephone needs. Not only does this meet the inmate's need, but it relieves the officer from the annoying and time-consuming task of processing inmate telephone calls.

Television viewing is an important part of contemporary life. Most of the inmates have been raised on it since infancy. They have been conditioned to sit quietly in front of the tube for hours on end. Considering how effectively television occupies an inmate's time, it is one of the most economical devices we can obtain for this purpose. This is particularly true in those institutions where such equipment is purchased from the inmate welfare fund.

Television is by no means a panacea. As in the home, it can be the source of a great deal of strife. On a housing unit of 50 felons representing a variety of cultural backgrounds, the resulting discord over channel selection can be violent. The solution to this problem is to have sufficient television sets to be responsive to basic needs and interests of the population. Usually two to four sets are sufficient, depending on the design of the unit and the mix of the population. Using multiple sets can keep the sound volume lower and divide the population into smaller and more compatible groups.

Inmates should be able to purchase important items from the inmate store or commissary on a regular basis. When inmates are unable to make purchases from the inmate store or commissary, they will make their purchases from other inmates with all of the negative factors associated with these transactions.

The service of meals also takes on an exaggerated importance in correctional institutions. Good food well-prepared and presented goes a long way toward increasing the inmate's investment in the general unit. On the other hand, the unprofessional preparation and presentation of the same basic food can cause considerable unrest.

Security of personal property is another important consideration. The lack of secure storage for the inmate's personal property contributes to a high incidence of theft, along with concomitant corrective actions attempted by the inmate.

A great many problems occur in multiple or gang showers. The installation of sufficient individual shower stalls virtually eliminates the difficulties associated with daily activity.

Physical exercise is an effective way to release pent-up emotional tensions which accompany the stress of incarceration. The opportunity for exercise is also a condition of confinement required by the courts. When the unit is designed to meet this need, it is no longer a management problem.

Inmate idleness still remains one of the leading management problems in a detention facility. The introduction of industrial opportunities can contribute significantly to the resolution of that problem. The income earned by the inmate's involvement in this activity is a significant motivator to remain eligible for those assignments. Inmates involved in constructive activity are seldom management problems.

E. Sanitation and Orderliness

A very important dynamic in managing a unit in a podular/direct supervision facility is the set of activities involved in maintaining a clean and orderly unit. These activities promote a healthy interaction between staff and inmate in which the inmate becomes conditioned to responding to the officer's directives. The orderly state of the unit is also a continual reminder that the

officer is exerting active control of the unit. Competition between units for a prize awarded to the cleanest unit can produce amazing results in maintaining a high standard of sanitation and orderliness.

Principle VI -- Effective Communication

Effective communication is a critical element in the operational strategy of all human enterprises. Detention facilities are not exceptions, and management must be sensitive to the important impact of the various elements of this principle.

A. Frequent Inmate and Staff Communication

Frequent communication between staff and inmates should be encouraged. Inmates will often advise staff of illegal activities being planned by other inmates if they have the opportunity to do so without running the risk of being identified. The inmate's cooperation is motivated both by an expectation of favorable treatment from the administration and by a desire not to have his living conditions jeopardized by the irresponsible actions of others, particularly if he does not stand to benefit.

B. Communication Among Staff Members

Because of the assignment of individual officers to separate units, there is particular need for management to facilitate effective communication among staff members. This needs to be accomplished between shifts and between assignments. It can be achieved through shift role calls, timely and clear policy and procedure statements, post orders, and unit logs.

C. Training and Techniques of Effective Communication

Every officer should be trained in the techniques of interpersonal communication. These skills will greatly assist him in accomplishing his objectives. Considerable knowledge has been assembled over the years by communication specialists in correctional settings and should be fully utilized to ease the officer's task. The officer's acquisition of these important communication skills and his mastery of them through daily application will serve him well in other assignments as well as prepare him for promotional opportunities.

Principle VII -- Classification and Orientation

The classification and orientation of inmates must be included in the day-to-day operations of popular/direct supervision facilities.

A. Knowing With Whom You Are Dealing

The officer must know with whom he is dealing and should have the benefit of as much information about the inmate as possible. While it is true that institutions receive many prisoners on 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 what is expected of them. Any correctional facility is a strange and structured environment, and a podular/direct supervision facility is unique among detention facilities. A carefully structured orientation program will save a lot of time and misunderstanding and will provide a further opportunity to learn about the inmate's behavior.

C. Assumption of Rational Behavior

Human behavior is amazingly responsive to expectations communicated. This has been demonstrated frequently in educational settings and has also been seen in detention facilities. When we convey to a person the kind of behavior we expect from him, either verbally or non-verbally, his tendency is to respond to these clues.

The traditional detention facility approach is to treat all newly admitted inmates as potentially dangerous until they prove otherwise. The officers' expectation of the new inmate's behavior in these situations is clearly transmitted. In a podular/direct supervision facility the reverse approach is taken. All new inmates are treated with a clear expectation that they will behave as responsible adults until they prove otherwise. Staff are equipped to deal with those who prove otherwise, but the vast majority of inmates conduct themselves responsibly even during the admission process. Observers of this "phenomenon" from traditional jails frequently conclude that the podular/direct supervision facility has a "better class of inmate" than they do, when often the reverse is true.

D. Maximum Supervision During Initial Hours of Confinement

The first 24 to 48 hours of confinement is a critical period in the detention process. The highest rate of suicide occurs during this period, accounting for nearly half the total jail suicides. Intensive supervision at this phase of the detention process will contribute to a lower suicide rate.

Principle VIII -- Justice and Fairness

To advocate that detention facilities operate in a just and fair manner sounds more like a homily than a principle of detention facility management. However, the many implications of this issue in a detention facility warrant further examination, and because of its significance to correctional facility management, it is regarded as an operational principle.

A. Critical to 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 correctional facility, there is a public expectation that prisoners should be treated fairly and in accordance with the provisions of the law.

Unfortunately, a large segment of the public and even many corrections practitioners appear to be oblivious of the Fifth Amendment prohibition against pre-trial punishment. The Supreme Court's May, 1980 decision in *Bell versus Wolfish* is explicit in its interpretation of the Fifth Amendment to prohibit the imposition of any condition of confinement on pre-trial prisoners for the purposes of punishment. Most pre-trial punishment advocates back down when they are confronted with the illegality of their position and veil their position with such comments as "we can't make it too nice for them, can we?" or "we can't make it a country club" and "jails need to look jail-like". It becomes particularly obvious what is meant by these comments when used to criticize normal housing accommodations that are devoid of the harshness of the traditional jail. Even though the harsher furnishings are costlier, they are preferred because they are perceived to fulfill the punishment objective.

There is no place for the self-appointed public avenger in a professionally run constitutional correctional facility. Such preoccupations are counterproductive to the proactive resolution of management problems. It is, therefore, not only legally correct to manage facilities in harmony with our constitutional charter, but it is also a critical element in the principles and dynamics of managing podular/direct supervision facilities.

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 within the past 15 years. After examining the history of collective violence in the United States, they were able to identify a set of root causes which were 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.

When a person is in a captive status, the impact of unfair treatment is greatly magnified. This is particularly true of Americans, because we have been conditioned to expect fair and just treatment by our government. As a principle of inmate management, it is not sufficient for management to be, in fact, 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 an important dynamic in exerting positive control over the inmate population. A critical quality of any leader is a keen sense of fairness that can be consistently depended upon by subordinates. Any compromise of the officer's reputation for fairness will seriously jeopardize his operational effectiveness.

D. Formal Administrative Remedy and Disciplinary System

There will always be those cases where the inmate does not accept the officer's position. Regardless of the basis for the inmate's disagreement, a formal administrative procedure should exist in which to channel such disputes. A creditable third party review is not only a good pressure release mechanism, but it also serves as a good monitoring system to ensure consistency of equitable treatment.

Conclusion

These principles and dynamics of detention facility management are neither dogma nor a philosophy around which a management approach was designed. They represent the collective observations of both successful and unsuccessful examples of the podular/direct supervision type detention facilities over a period of several years and under the leadership of a succession of chief executive officers.

It is reasonable to conclude that, if these principles and dynamics are implemented within an institution that is designed to facilitate them, they will achieve the same beneficial results as the successful examples. The results will be a safe, secure, humane, and just facility which will be considered an appropriate place for the detention of American citizens charged with crimes and requiring detention.

ACCEPTANCE OF THE PODULAR/DIRECT SUPERVISION CONCEPT

During the 1960's, the Federal Prison System (F.P.S.) began to develop the Unit Management concept based on models developed in the California Prison System. Basically, this concept sought to break down the inmate population of large institutions into separate functional units comprised of manageable sized groups of inmates. Because of successes with this strategy, the F.P.S. incorporated the concept into the Correctional Program Plans for its three prototype detention facilities. The Federal Prison System's experience with its experimental detention facilities, the Metropolitan Correctional Centers, has been very positive. The original three have now been in operation for nine years. They have been joined by two more: a new 200-bed, campus style facility in Tucson, and a converted Federal Correctional Institute in Miami. A new Metropolitan Correctional Center is currently in the planning stages for the Los Angeles area.

Although many features of these prototype centers have been incorporated in the design of local detention facilities, the overall concept has generally been rejected by local and state administrators. True, the podular design was adopted by many, but it was modified to fit the traditional practices with which most administrators were comfortable. The customary high-security, vandal-proof fixtures, furnishings, and finishes were added, and the 48-cell units were divided into sub-units of 12 or 16. Supervision was achieved either remotely from a secure observation post, or intermittently by officers patrolling the adjoining corridors.

The direct supervision concept is not new to the federal or most state prison systems. Many medium and minimum security facilities are open, and direct supervision and direct contact between staff and inmates are the rule, not the exception. However, there was virtually a universal disbelief among local and state administrators that direct supervision facilities could be safe, secure, cost effective, free of vandalism, and a desirable place to work. Even if the "Feds" found this to be the case, such an approach would not work with local jail prisoners, nor would it be accepted in the communities.

It must be remembered that for the past 200 years, correctional facility management has been based on successfully anticipating and responding to negative inmate behavior. Given this reactive management style, it is understandable that the podular concept was seen by practitioners as providing opportunities to more adequately respond to the problems that have plagued the traditional linear design. Ironically, the relative success of the modified podular design, coupled with high-security furnishings and high-security electronics, tended to mask the true potential of the podular concept. The successes in the Federal Metropolitan Correctional Centers were either ignored or attributed to the idea that the federal prisoner was somehow different. Few realized or accepted the point that this new design allowed management practices that would obviate the need for most of the reactive strategies so characteristic of traditional management.

A second substantial barrier to general acceptance has been that the correctional facility did not look like one. Certainly it did not fulfill the public's expectation of a place of punishment, even though, in most jails, over 60% of the prisoners have not been convicted or sentenced. But many

elected community leaders, as well as criminal justice administrators, have been reluctant to tell the public that the imposition of conditions of confinement for the purpose of punishment is in direct violation of the Fifth and Fourteenth Amendments. Because of this ignorance about the role of jails as holding centers, those plans that are based on non-punitive conditions of confinement are unacceptable in many communities.

The result was that the real benefits of the podular/direct supervision jails were never fully shared with the local communities until January, 1981, when Contra Costa County opened its new detention center in Martinez, California. The Contra Costa County Sheriff's Department fully adopted the operational concepts of the Chicago Metropolitan Correctional Center. However, they enhanced the design by incorporating the recommendations from a users evaluation, and added the open booking concept developed in St. Louis.

During the three years that the Contra Costa facility has been in operation, users have experienced the same benefits as the Metropolitan Correctional Centers -- and then some. Contra Costa has accomplished the objectives of safe, secure, humane, and just custody. In addition, inmates enjoy a vandal- and graffiti-free facility. More importantly, the deputy sheriffs assigned to the jail have found that the new facility provides an opportunity for interesting and challenging employment. The Contra Costa facility not only demonstrates that a podular/direct supervision facility can be effectively operated at the local level, but also that it can eliminate many of the personnel problems that plague local correctional operations.

Representatives of over 250 jurisdictions have visited the Contra Costa County Detention Center since it opened. Many believed that its success could be attributed to a temporary "halo effect" and would not last very long. Others felt that the facility was a "time bomb" waiting to explode. However, many visitors learned how the principles and dynamics have proven effective in a variety of detention settings over the past nine years. They understand that Contra Costa's experience is part of a well established pattern. And they also believe that this concept can be effectively employed in their jurisdictions.

Despite the early animosities toward -- and misapprehensions about -- the podular/direct supervision facility, 1983 marked a decided swing in local acceptance of the concept. The newly rebuilt Manhattan House of Detention, more commonly known as the "Tombs," opened as a direct supervision facility in October, 1983. Soon after, the new Multnomah County Jail in Portland, Oregon, also opened under this concept. In the spring of 1983, the Miami-Dade County Council voted unanimously to build a 1000-bed facility that they referred to as a "third generation jail". Nearly 30 other "new generation" detention facilities under construction or in the planning stage are listed in Appendix B.

CONCLUSION: THE IMPLICATION OF THE PODULAR/DIRECT SUPERVISION
CONCEPT FOR CORRECTIONAL PLANNING

While significant benefits have resulted from the podular/direct supervision category, other concepts may also achieve similar results. However, there are public policy and professional policy issues which transcend operational benefits and are critical to the strategic dimensions of current detention facilities planning.

For example, as a matter of public policy, does a community want a correctional facility that is proactive or reactive in addressing inmate problems and needs? And from a legal point of view, will the facility accommodate the "evolving standards which mark the progress of a maturing society," as prescribed by the Supreme Court? Will the new facility be an appropriate place for confinement of local citizens charged with a crime and requiring detention?

Architects have an obligation to create correctional environments that will improve our society, or at least do it no harm. Given the "state of the art" in corrections, "doing no harm" is a respectable accomplishment. While corrections has not been particularly effective in reducing criminal behavior of persons committed to its care, it does not necessarily follow that the "state of the art" will not improve. Certainly the environment in which inmates find themselves determines to a significant extent the probability for change from offending to non-offending behavior.

It is important that architects involved in the design of institutions strive to develop facilities that will accommodate advanced correctional practices anticipated in the twenty-first century. At the least, new institutions should be compatible with the knowledge we have gained about human behavior in the twentieth century.

The role of the correctional officer in our future institutions is also a critical issue and one that architects can have an effect on. The trend toward isolating the officer from the inmate is incompatible with the professionalization of corrections. As long as "guards" sit behind secure cages and fail to relate to inmates, there will be animal-like reactions from prisoners with resulting property damage, predatory attacks and injury of staff.

The podular/direct supervision architectural/management design provides a safe correctional environment that is compatible both with current knowledge of human behavior and with national correctional standards. It creates an environment in which the evolving standards of correctional practice can flourish. Professionals involved in the corrections field should advocate the design of detention facilities that encourage humane, people-oriented, architectural/ management strategies.

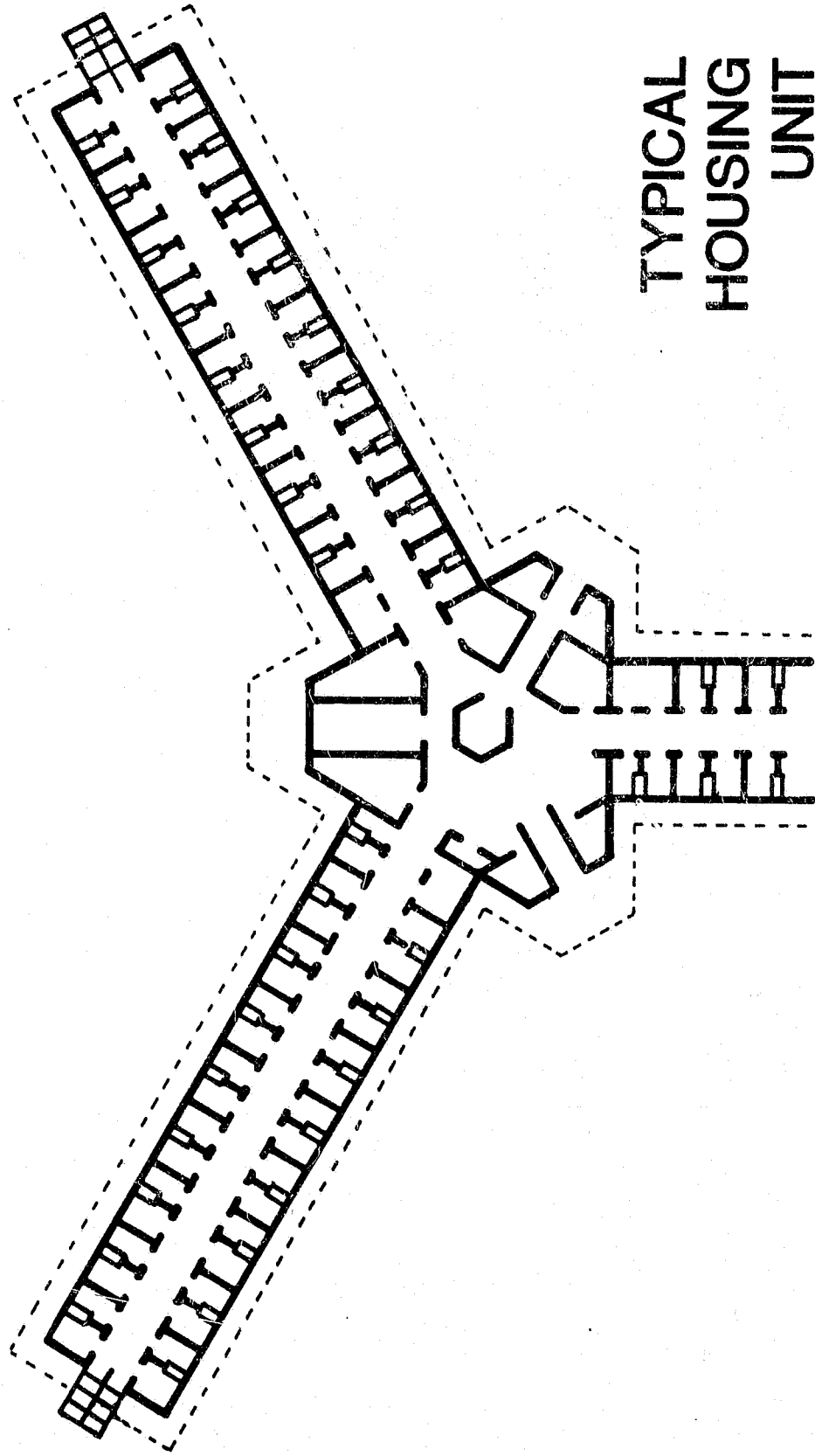
FOOTNOTES

1. Norman Johnston, The Human Cage (New York: Walker and Co., 1973), pp. 19-20.
2. Johnston, The Human Cage, pp. 19, 20, 57.
3. The term "podular" is coined to avoid the confusion associated with the term "modular". While the two terms can be, at times, interchangeable, the term "modular" is also frequently used to refer to prefabricated structures.
4. The functional unit concept was developed by the Federal Prison System in the late 1960's as a management strategy for dividing institutions into smaller components to facilitate more individualized treatment of inmates. The ideal unit consisted of 50 inmates in a separate housing unit staffed with a unit manager, a case manager, two counselors and correctional officers. See Robert B. Levinson and Roy E. Gerard, "Functional Units: A Different Correctional Approach," Federal Probation (December, 1973).
5. Further information on the principles and dynamics of managing PODULAR/DIRECT SUPERVISION jails is available from the National Institute of Corrections Information Center, Suite 130, 1790 30th Street, Boulder, Colorado 80301, and is included in the curriculum of the National Academy of Corrections.

JAIL ARCHITECTURAL/ MANAGEMENT CATEGORIES

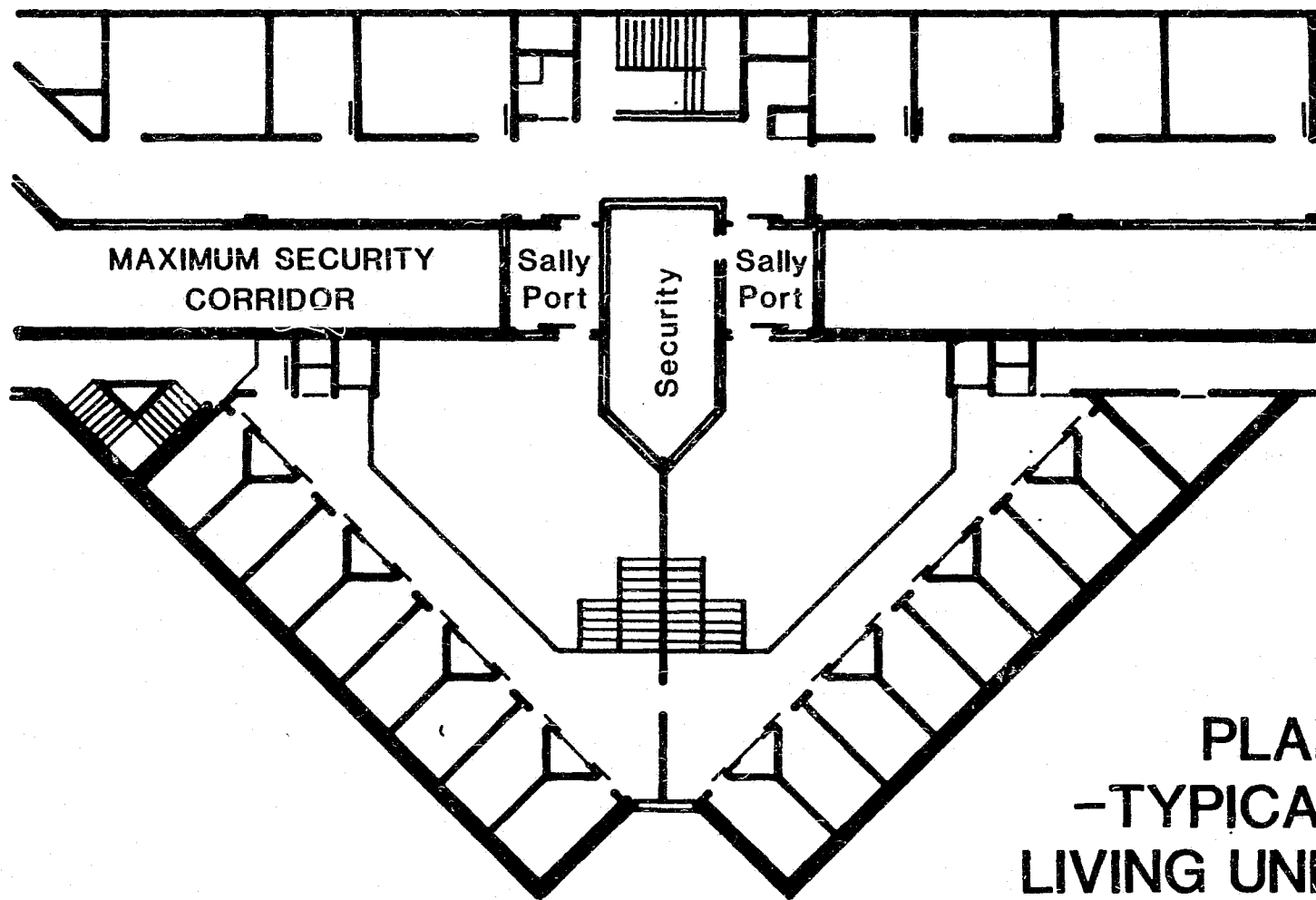
- **LINEAR/INTERMITTENT SURVEIL-
LANCE**
- **PODULAR/REMOTE SURVEILLANCE**
- **PODULAR/DIRECT SUPERVISION**

LINEAR/INTERMITTENT SURVEILLANCE



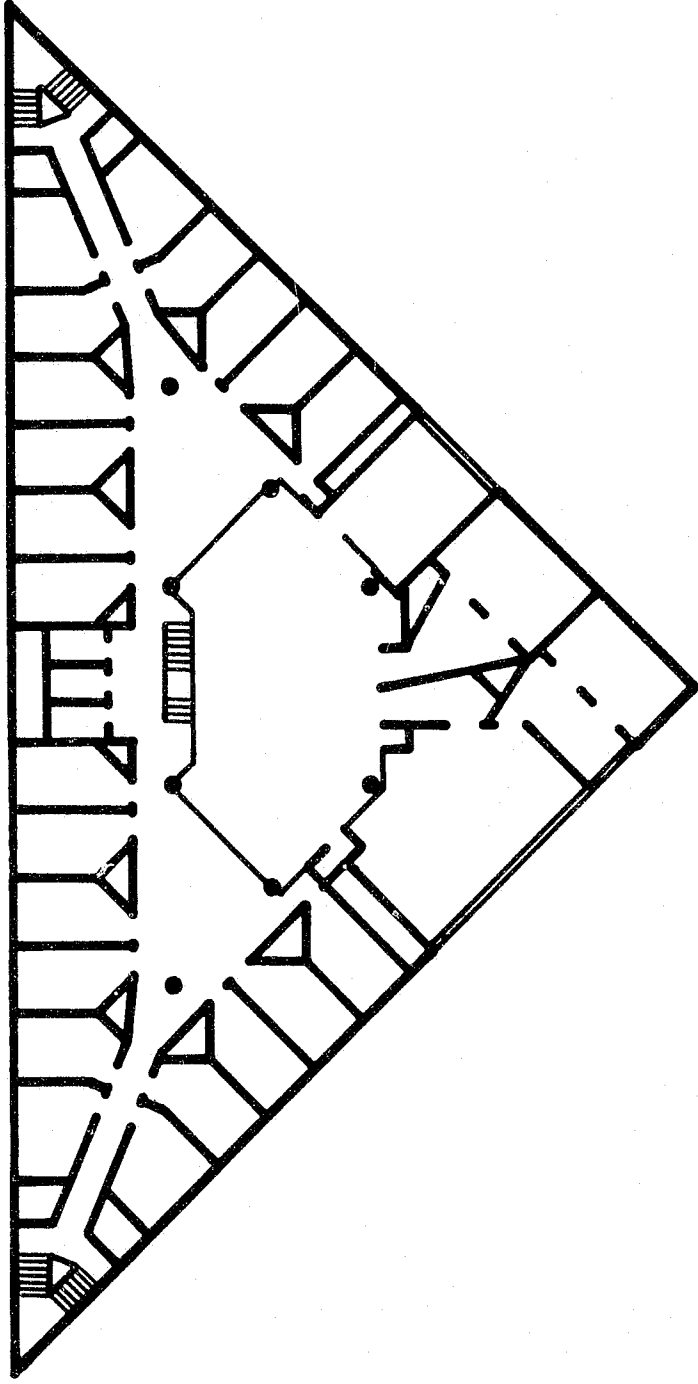
TYPICAL
HOUSING
UNIT

PODULAR/REMOTE SURVEILLANCE



PLAN
-TYPICAL
LIVING UNIT

PODULAR/DIRECT SUPERVISION



APPENDIX A

New Generation Jail Survey
Comparative Data from 1981 and 1982 on Assaults and Escapes*

*Data collected by Michael O'Toole of the NIC Jail Center

NEW GENERATION JAIL SURVEY
COMPARATIVE DATA FROM 1981 AND 1982 ON ASSAULTS AND ESCAPES

Institution	Escapes				Aggravated Assaults			
	1981 Number of Events	1981 Number of Escapees	1982 Number of Events	1982 Number of Escapees	1981 Inmate/ Inmate	1981 Inmate/ Staff	1982 Inmate/ Inmate	1982 Inmate/ Staff
Podular/ Direct Supervision								
1. Chicago MCC	0	0	0	0	3	0	1	0
2. San Diego MCC	4	7	2	3	2	6	4	8
3. New York MCC	2	2	0	0	2	1	1	1
4. Tucson MCC	N/A	N/A	0	0	N/A	N/A	0	0
5. Contra Costa CDC	1	4	0	0	64	5	67	5
Comparative Traditional Jails								
1. County A	0	0	0	0	57	11	43	15
2. County B	1	1	1	1	- 220*	-	-	71*
3. County C	15	15	1	11	772	94	735	74
4. County D	1	1	4	1	354	90	290	86
5. County E	3	3	1	1	7	7	36	22
6. County F	4	4	8	10	180	60	182	144

* Not Broken Down

APPENDIX B

Examples of Facilities Designed Around
the Direct Supervision Concept

and

Planned or Committed Podular/Direct Supervision Facilities

Examples of Facilities Designed Around
the Direct Supervision Concept

1. Contra Costa Detention Facility
Martinez, California

Architect: Kaplan/McLaughlin
San Francisco, California
Size: 170,790 square feet
Capacity: 382
Cost of Construction: \$20,338,925

2. Federal Correctional Institution
Sandstone, Minnesota

Architect & Engineer: Ellerbe Associates, Inc.
Bloomington, Minnesota
Size: 21,744 square feet
Capacity: 100 men
Cost of Construction: \$1,032,533 (estimated and exclusive of inmate labor)

3. Larimer County Detention Facility
Fort Collins, Colorado

Architects: Edwards and Daniels Associates
Salt Lake City, Utah
More Combs Burch
Denver, Colorado
Size: 64,028 square feet
Capacity: 152
Cost of Construction: \$6,717,200

4. Manhattan House of Detention for Men
New York, New York

Architect: Gruzen and Partners
New York, New York
Size: 243,000 square feet
Capacity: 425 men
Cost of Construction: \$26,000,000

5. Multnomah County's Downtown Detention Center
Portland, Oregon

Architect: Zimmer Gunsul Frasca Partnership
Size: 472,038 square feet
Capacity: 430
Cost of Construction: \$53.5 million

APPENDIX C

The Cost Benefits of Podular Designed and
Directly Supervised Correctional Facilities

Dr. Stephen Horn, President
California State University at Long Beach
Member, NIC Advisory Board

February 16, 1984

THE COST BENEFITS OF PODULAR DESIGNED AND
DIRECTLY SUPERVISED CORRECTIONAL FACILITIES

Dr. Stephen Horn, President
California State University at Long Beach
Member, NIC Advisory Board

February 16, 1984

Improved safety and professional performance are generally associated with increased cost. A new generation correctional facility deploys trained staff to provide direct supervision of inmates in a correctional facility and setting that has been compatibly designed for that purpose. The result is reduced construction and operational cost.

When staff members are assigned to work within "podular" designed housing units that have approximately 40 to 50 cells arranged around a common living area, vandalism and other destructive behavior is significantly reduced. Because of the steadying and controlling influence of directly-involved, trained staff over inmate behavior, it is no longer necessary to provide vandal-proof fixtures and furnishings in 90% of the facility. The table below presents some examples of the cost differential between traditional security fixtures and the commercial fixtures that can be used in "podular/direct supervision" facilities.

<u>Item</u>	<u>Security</u>	<u>Commercial</u>
Lavatory and bowl	\$1,675	\$ 700
Table	975	320
Chair	140	40
Door	2,300	900
Lock	400	110
Light	434	120
Hinge	78	14
Bed	589	165
TOTAL	<u>\$6,591</u>	<u>\$2,369</u>

Since trained staff can effectively supervise approximately 50 inmates in a "podular" housing unit, there is also no need to construct additional barriers to further divide the housing units into smaller subunits as is the practice in typical "remote surveillance" facilities. It is also unnecessary to divide inmates into isolated small groups to accommodate inmate classification practices that were originally designed to protect one type of inmate from another as is necessary in traditional jails.

One may logically ask: "Are the structural savings offset by increased staffing cost?" While staffing deployment practices vary considerably around the nation, there is substantial evidence indicating that the "podular/direct supervision" concept is staff efficient and, more importantly, staff effective.

An excellent example of comparative staffing patterns for the three basic architectural designs and management styles is provided by Dade County (Miami, Florida). Dade County presently operates a large linear-style jail with an intermittent surveillance management approach. In mid-1982, they had an architectural firm prepare plans for a 600-bed "podular/remote surveillance" facility. After conducting extensive cost analysis of the three approaches, Dade County abandoned plans valued at \$250,000 for the "podular/direct supervision" approach. In addition to what Dade County officials believed to be improved operational performance, they expect to achieve sufficient cost savings from reduced staffing that will enable them not only to recoup the cost of the discarded plans and some construction cost, but also the entire \$37 million construction cost within the first 14 years!

As you can see on the attached chart, the staffing requirements of the "podular/direct supervision" facility, which the Dade County officials refer to as a third generation jail, are approximately 50% less than they presently require for their existing linear jail and 42% less than the initially-proposed "podular/remote surveillance" facility. While such staffing economies may not apply to this degree in all communities, this analysis is a valid indicator of the potential for staffing economies offered by the "podular/direct supervision" concept.

There are other presumptive cost savings to be derived from reduced officer injury, facility maintenance, and court judgments over conditions of confinement. As yet, sufficient data has not been collected to substantiate these presumptions as fully as we would like; however, there are numerous anecdotal observations that indicate their validity.

At a time when many of our communities spend more tax dollars on correctional facilities than schools or hospitals, reducing correctional costs while improving correctional effectiveness is an important issue for state and local governments to explore.

COMPARATIVE ANALYSIS OF DESIGN SCHEMES

DADE COUNTY STOCKADE EXPANSION

DADE COUNTY, FLORIDA
GSA PROJECT NO. 5202-003

HARPER & BUZINEC Architects / Engineers Inc.

DATA SUMMARY SHEET

Project Data	2nd Gen. 600 Man	3rd Gen. 600 Man	2nd Gen. 1000 Man	3rd Gen. 1000 Man	Existing Main Jail
Design Capacity (Inmate)	600	600	1,000	1,000	1,119
Construction Cost \$	16 Mil	28 Mil	24 Mil	37 Mil	NA
Total Area Sq. Ft.	165,876	202,000	263,875	282,000	194,913
Yearly Operational Cost (\$)	6.8 Mil	4.7 Mil	9.3 Mil	6.2 Mil	12.7 Mil
Sq. Ft. Per Inmate	298	337	264	282	182
Total Staff	216	129	295	172	358
Staff - Inmate Ratio	1/2.7	1/4.6	1/3.3	1/5.8	1/2.9

20 YEAR COMBINED CONSTRUCTION AND OPERATING EXPENDITURES 1000 MAN CAPACITY

	2nd Generation	3rd Generation
Initial Construction Cost	\$25,000,000	\$37,000,000
Annual Principal & Interest	2,935,937	4,352,941
Annual Operating Expense	9,313,056	6,238,901

Principal and interest is based on the debt of the total construction cost amortized over 20 years at an interest rate of 10%. The 10% annual interest rate is derived from the average interest to be paid on the recently passed Dade County Criminal Justice Bond Issue.

For the comparison, annual operating expenses are assumed to escalate at an annual rate of 7% due to inflation.

Total Expenditure to Year

Year	2nd Generation	3rd Generation	Total Savings
1	\$ 12,248,993	\$ 10,591,842	\$ 1,657,151
3	38,748,353	33,116,265	5,632,088
5	68,236,635	57,642,994	10,593,641
6	84,234,613	70,746,316	13,488,297
10	158,032,702	129,718,853	28,313,849
20	440,511,927	342,815,568	97,696,359

Summary

The above chart indicates that the operational savings of the 3rd generation design would be equal to the additional monies required for construction within approximately 5.5 years. Over a 20-year period the 3rd generation design constructed at a cost of \$37,000,000 would save Dade County approximately \$97,696,359 compared to the 2nd generation design.