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PROCEEDINGS OF THE
SECOND ANNUAL SYMPOSIUM
ON NEW GENERATION JAILS

National Institute of Corrections
Jail Center
Boulder, Colorado

May 8, 1987
Clearwater, Florida

Edited by Richard Wener & Jay Farbstein

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INTRODUCTION

In 1986 the National Institute of Corrections sponsored a one day symposium as a part of the annual conference of the American Jail Association, in Seattle, Washington. The goal of the full day meeting was to bring together people who are working in and with "New Generation"/direct supervision jails to share experiences, problems, and solutions. The genesis of the symposium came from a sense that greater interaction among practitioners was needed - that many problems were common, but solutions were not being shared. Facilities were often "re-inventing wheels" rather than learning from the experiences of others.

This first session was by invitation only, and limited to several dozen administrators, researchers, and designers. The goal was to gain the maximum opportunity for open exchange of information, and not to re-create direct versus indirect supervision debates. A proceedings of the meeting was compiled and is available from the NIC Information Center, Boulder, Colorado.

The evaluation of the session showed overwhelming positive response. Facility administrators welcomed the opportunity to speak with their peers and learn what others were doing. Uniformly they requested a repeat of the symposium at the next AJA conference. The only criticisms were from those seeking more detailed information on substantive issues - such as staff training - and from others at the AJA conference who wanted to be able to attend.

In response, the NIC again funded this forum, the **Second Annual Symposium on New Generation Jails**, at the annual AJA conference in Clearwater, Florida, May 1987. This time the session was made open to all who wanted to attend (there were over 100 in attendance). The goals were, again, to bring professionals in direct supervision management together to meet and share information, with a greater emphasis this year on providing greater detail on operation issues. This proceedings is a record of that session.

ORGANIZATION OF THIS PROCEEDINGS

The symposium consisted of four group sessions and several individual papers, as well as a series of small group "break-out" sessions which were held over lunch. In this proceedings we provide a summary of each of the sessions, a report on the

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session evaluation forms, five presentation papers, and a list of all those attending the symposium. For additional copies of the proceedings of this or the previous symposium, and information about future symposia, please contact:

National Institute of Corrections - Jail Center
1790 30th Street, Suite 140
Boulder, Colorado 80301
(303) 497-6700

VIDEO TAPES OF THE SESSION

The entire day's proceedings were videotaped and professionally edited. The three tape set is available for use and may be obtained by writing Dick Ford, American Jail Association, P.O. Box 2158, Hagerstown, Md. 21742.

PANEL SUMMARIES

INTRODUCTION TO SYMPOSIUM - MIKE O'TOOLE, NIC JAIL CENTER

The NIC Advisory Board has concluded that Direct Supervision has been very successful, especially in the Federal System and, at the county level, at Contra Costa Main Detention Facility. The NIC Jail Center has taken on the task of recommending that jurisdictions considering new facilities look into direct supervision. To support these jurisdictions, the NIC provides a variety of programs in training and technical assistance, of which this symposium is a part.

NIC has supported this symposium at AJA to:

1. Provide detailed information on important issues in Direct Supervision
2. Provide an opportunity for networking among operators of Direct Supervision facilities.
3. Provide information for those interested in exploring Direct Supervision.

PANEL 1 STAFF SELECTION AND TRAINING

MODERATOR: RICHARD WENER

**PANEL: SAM SAXTON, PRINCE GEORGES COUNTY, MARYLAND
DON MANNING, SPOKANE COUNTY, WASHINGTON
BEN MENKE, WASHINGTON STATE UNIVERSITY, PULLMAN,
WASHINGTON**

This session presented the experiences of two institutions in selecting officers for a new direct supervision facility. The issues they were responding to were: Do officers for a direct supervision facility need to be specially selected for particular skills? What are the qualities one looks for in officers for direct supervision? What kinds of selection procedures and criteria work best in selection?

Mr. Saxton's presentation described Prince Georges County's effort to review the hiring policies of a number of jurisdictions, and distill from them a set selection principles. They concluded that ideal officer candidates should have some college education; be more mature (over 19 or 20 years old); and be married. He also stressed the need to check references, and be wary of applicants who are looking for a stepping stone to the police force. An extended probationary period is critical in

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PANEL SUMMARIES

judging good candidates. Taking applicants on a facility tour, he noted, often weeds out those who do not really understand the nature of the job, from potential good candidates.

Don Manning and Ben Menke described their experience in designing a selection system for Spokane County jail. Mr. Manning noted that they had to more than double staff in moving to their new facility. Planning for selection began years in advance to the actual move, and made use of criminal justice researchers at the local campus of Washington State University (Ben Menke and Linda Zupan) with technical assistance funds from the NIC (see following summary and paper in proceedings). The traditional county personnel selection system has not proved effective for choosing correctional workers.

The goals of the selection project were to:

1. identify the qualities necessary for a Correctional Officer to work in Direct Supervision;
2. provide structure and training for the selection process;
3. design an evaluation system to measure employee performance and the selection/training process.

Prof. Ben Menke, from Washington State University, described the critical incident technique which was employed to do a job analysis for new generation jail correctional officers, focusing on specific job behaviors. A sample of officers and supervisors were interviewed to describe difficult situations with inmates which have occurred in the past six months, and describe behaviors which led to successful resolutions of incidents. This process revealed 7 dimensions of characteristics and 72 specific behaviors related to successful job performance (see paper in proceedings).

PANEL 2 TRAINING MID LEVEL MANAGERS AND OFFICERS

MODERATOR: MIKE O'TOOLE

**PANEL: SARAH HEATHERLY AND JEANNIE STINCHCOMB, DADE COUNTY, FLORIDA
GUY PELLICANE, MIDDLESEX COUNTY, NEW JERSEY
RUSSELL DAVIS, PIMA COUNTY, ARIZONA**

This session focussed on programs to train staff for working in direct supervision facilities. Mr. Pellicane discussed a new NIC supported program to train mid-level managers for their special duties, while Ms. Heatherly and Stinchcomb described the training procedures for officers in Dade County, Florida. The Dade County program, called "investment in excellence", is being used to select 1000 officers for their new detention center, as well as for the 1200 additional beds under construction. The interpersonal communications training program, which is at the core of the program, involves 584 hours of training at the academy, and role playing with staff and actual inmates (see paper in proceedings).

Mr. Pellicane noted that experience has shown that getting mid-level managers to 'buy-in' to the direct supervision model can be a major problem. Major Davis also commented that as the officer develops more control under direct supervision, the supervisor loses control over day to day operation of the living area, and must undergo a major role redefinition. In some ways, these managers have the most radical shift in level and type of responsibilities. In his project for the NIC, Mr. Pellicane's group developed a detailed job description for mid-level managers in direct supervision, based on interviews with line staff, mid-level managers, and administrators. A policy review committee of managers was formed to identify management needs, define job elements, roles, and responsibilities (see paper in proceedings).

PAPER PRESENTATION

**PRESENTER: BARBARA KRAUT, NIC JAIL CENTER
DIRECT SUPERVISION JAILS: INTERVIEWS WITH
ADMINISTRATORS**

Ms. Kraut described the results of her interviews with a eleven of wardens of direct supervision jails on the importance of maintaining the direct supervision philosophy, the need for training prior to opening, budget allocation for full time transition, the importance of communication, and problems with staff and mid-level managers. The transcripts of these interviews

are compiled in a publication available from the NIC Information Center.

PANEL 3 UNIT SIZE, STAFF RATIOS AND DIRECT SUPERVISION

MODERATOR: JAY FARBSTEIN

PANEL: STEVE CARTER, COLUMBIA, SOUTH CAROLINA

RAY NELSON, BOULDER, COLORADO

ALAN MINISH, FORT COLLINS, COLORADO

TOM BARRY, NEW YORK CITY

SAM SAXTON, PRINCE GEORGES COUNTY, MARYLAND

This goal of this session was to discuss the relationships of unit size, staff-inmate ratio, and staffing levels. A key issue driving much of unit design and operational cost is the allowable population levels of a direct supervision living unit. Does a unit function differently with 48 inmates to 1 officer versus 65 inmates to 1 officer? At what levels do the principals of direct supervision break down? How can maximum efficiency of staff be achieved without sacrificing quality of operation?

The panel represented administrators from jurisdictions operating settings of various sizes - from 35 inmate units to unit with over 65 inmates, as well as planners and designers. Steve Carter discussed the process a jurisdiction needs to go through in approaching decisions on issues such as unit size. He noted the need to identified at what level basic decisions are being made (administration or vendors?), and what management goals the design must help achieve. Management goals must come first so that designs can be tested against operational scenarios (see paper in this proceedings).

Mike O'Toole commented that the number of inmates which one officer can supervise depends on other variables such as the competency of staff, classification procedures, and level of double bunking. Other presenters agreed and noted other related issues. Alan Minish and Tom Barry suggested that the degree of orientation to the institution, disciplinary procedures, and unit design (such as site lines) size of the day area, and shower locations were critical. Sam Saxton noted that the level of effort is greatly affected by the degree of medical care required. He suggested that the AIDS epidemic, and the related care needs it will generate, may overwhelm the ability of many institutions to operate.

PANEL 4 OVERCROWDING IN DIRECT SUPERVISION

MODERATOR: RICHARD WENER
PANEL: ROGER ROSE, SAN DIEGO, CALIFORNIA
LARRY ARD, CONTRA COSTA COUNTY, CALIFORNIA

Like most other jails, direct supervision facilities are often populated beyond intended capacity, at times at double original intended levels. This session was created to bring administrators from facilities experiencing significant overcrowding to discuss its impact on direct supervision. Does overcrowding inhibit the effectiveness of direct supervision? Does direct supervision respond to overcrowding better or worse than indirect models? How can administrators effectively deal with overcrowding?

Roger Rose noted that the population of the San Diego MCC has doubled, to 96 inmates per unit, although facility is functioning well. Much of the population are immigration cases, creating high turnover (100% per month) and language barriers between staff and inmates. He said that rooms with single beds have less violence than those with double bunks, although he felt violence was more related to inmate characteristics than density levels. Their largest problems from crowding comes in the areas of dealing with the levels of attorney and social visits, storage space, and maintenance. He indicated that crowding increases the importance of management visibility on the living units.

Larry Ard noted that the Contra Costs Detention Facility had also doubled in population since opening. As the unit progressively increased in population, staff complained and felt each level (48, 65, and finally 85 inmates) was the maximum possible, but in each case staff adjusted and were able to reasonably handle the population. When the population reached 85 inmates a second officer was added to the unit.

He does not feel the increase in population is without significant consequences. Noise has become a major problem, tension is increased, and mental health and disciplinary problems have increased. He suggested that in dealing with crowding administrators need to increase the amount of televisions available, offer more programs, and work harder to better classify inmates. Planners, he added, should design new institutions so that equipment, space, storage, and other facilities are scaled to possible eventual population levels.

PAPERS

NIC 2nd Annual Symposium on New Generation Jails
Davis

USING THE PRINCIPLES OF DIRECT SUPERVISION AS AN ORGANIZATIONAL MANAGEMENT SYSTEM

Russell M. Davis, Pima County, Arizona

During the past several years we have seen a general proliferation of Direct Supervision Jails across the country. From the beginning of the concept in the Federal Metropolitan Corrections Centers and through the pioneering in Contra Costa County, California, as well as facilities in Multnomah County, Oregon, Clark County, Nevada, Pima County, Arizona, and Larimer County, Colorado, we have seen the concept become accepted, refined and applied in a wide variety of different environments and different styles. The foundation of the concept, however, has always been the application of the eight principles of Direct Supervision. The principles have provided both a philosophical foundation for defining a style of managing inmate behavior, as well as a framework for understanding the dynamics of human behavior in a correctional setting.

Our experience has shown that while we spend considerable time, effort and money containing inmate behavior in traditional or remote supervision facilities, we had little impact on behavioral changes. Direct supervision however, has allowed us to very effectively control inmate behavior through the enforcement of boundaries of acceptable behavior and the administration of consequences for violating the boundaries.

As we examine the direct supervision facilities in operation today, there can be no doubt that the concept is extremely successful.

As managers of these direct supervision facilities work to perfect the methods of controlling inmate behavior we must also examine the environments in which we work and our management concepts as they relate to controlling staff behavior. If the principles of direct supervision work so well to control inmate behavior, will they also work as a framework for managing the overall organization and maximizing the potential of staff?

If we look at the eight principles of direct supervision as a concept of managing an organization it is easy to define the impact of each principle on the organization and personnel as well as the interrelationships between the eight principles.

Consider the principle of COMPETENT STAFF as a starting point for developing a management concept. Every good administrator knows that competent staff are the key to success.

A building is only a shell. It may be well-designed, but without competent staff the facility will fail. We must begin by recruiting and selecting qualified, career-oriented personnel for officers, supervisors, commanders and support staff in a direct supervision facility. Candidates must possess the ability to learn, be mature, and have confidence in themselves. They must have some life experiences dealing with people and they must possess a considerable amount of common sense.

The responsibility of the training program is three-fold. First, it must provide the candidate with the knowledge and skills necessary to function as an officer. Secondly, it must provide the officers with the confidence in themselves and the organization necessary for success. Thirdly, it must provide the officer with the inspiration and motivation necessary to make success a reality.

The next principle of direct supervision is the principle of CLASSIFICATION AND ORIENTATION. When we are dealing with inmates, it is important that we classify the inmates properly so that we have a group of inmates that can function together well and then orient them properly so they understand our expectations. When we are dealing with staff, orientation becomes critical. It is very important that each employee know and understand what is expected from them and what they can expect from their supervisors, managers, and the organization. Mismatched expectations are one of the leading causes of conflict, anger, hostility, and lack of productivity in the workplace today. Management has the responsibility to administer consequences, immediately and consistently, for employee behavior. If the employees do a good job, let them know it. If they make a mistake, let them know. Take the time to review the mistake, determine the causes, identify alternative behaviors, and ensure that the employees are oriented properly on the new expectations.

Employee's behavior is motivated largely by consequences. These consequences may be both positive and negative. The consequences may be tangible items such as the paycheck, insurance, etc., or less tangible items such as a sense of belonging, personal self-fulfillment, ego gratification, etc. It is clear that in the absence of consequences there is no control. If there are no consequences for behavior then management does not have control of the employees' behavior and, consequently, does not have control of the organization.

To ensure that expectations are accurately and fully perceived and understood by both employees and supervisors the

third principle of direct supervision, EFFECTIVE COMMUNICATION, must be utilized. There are numerous barriers to effective communication, many of which will be present during any particular communication. Effective communication simply means that the receiver of the communication perceives and understands exactly what the communicator is attempting to communicate. If, as a communicator, you have not achieved this goal, then you have not had an effective communication. The responsibility for effective communication is on the communicator, not necessarily on the receiver of the communication.

Once you have recruited, selected and trained your employees, developed competent staff, and oriented them properly on your expectations through the use of effective communication, you are ready to implement the fourth principle of direct supervision, EFFECTIVE SUPERVISION. Effective supervision ensures that employees are fulfilling the expectations that you have effectively communicated to them. The supervisor may use a wide variety of management and leadership techniques to ensure effective supervision, which can be divided into four categories: positioning, leadership, evaluation and feedback.

The manager must position himself within the environment to determine if the employee is meeting or exceeding expectations. This positioning may include: physical observation of the officer at work, review of reports, grievances, log entries, etc., conversation with fellow officers, performance evaluations, conversations with inmates within the officers housing unit, etc. The supervisor must use any means available to constantly test the environment, evaluate the situation, and make improvements.

The manager must exercise leadership over the employees. Leadership is best defined as the ability to get employees to do what you want them to do, willingly. An effective leader will communicate effectively to employees a vision of the way things should be, then mobilize whatever forces are necessary to make that vision reality. Ownership is a key element in successful leadership. If the leader is successful in convincing everyone that they have a stake in the success of a project and that if one wins, everyone wins, the employees will be working with and for him rather than against him.

Evaluation is essential in continuing growth and improvement. The manager must constantly evaluate the personnel and the situation, determine if changes are necessary, and make changes when appropriate. A lack of decisiveness is destructive to employee morale and to the organization.

Feedback is the element that completes the management cycle. The increased flexibility and autonomy of direct supervision facilities will require improved feedback techniques. It is essential to the morale of employees to provide both positive and negative feedback concerning performance on a regular basis.

Since the officers in a Direct Supervision Jail are isolated from supervisors and managers, it is very difficult to maintain supervision by direct observation. Because of this environment it is essential that the supervisor/ subordinate relationship be based on a firm foundation of mutual respect. For the supervisor to earn the respect of the subordinate, one of the most essential elements is a belief that the supervisor treats the employee in a fair and equitable manner. Consequently, as the supervisor administers consequences for achieving, exceeding or failing to achieve expectations, it is essential to apply the fifth principle of direct supervision, JUST AND FAIR.

The foundation of the criminal justice system as well as the foundation of American Government, the Constitution of the United States, is based on the concept of "just and fair". Justice and fairness are an expectations of virtually all citizens. Lack of a "Just and fair" system is the root cause of collective violence by inmates in correctional institutions, as well as employee dissatisfaction, labor/management disputes, and job actions by labor unions. If employees are treated fairly, they will support the organization and work together with management in a team effort. If employees are not treated fairly, they will look out for themselves, often at the expense of the organization. If the principles of "just and fair" are not strictly applied, it will be impossible to successfully implement any of the other principles.

If we start with competent staff, orient them properly to eliminate any mismatched expectations, communicate effectively these expectations, supervise effectively to determine if expectations are being fulfilled, and administer consequences in a just and fair manner, then we achieve EFFECTIVE CONTROL, the sixth principle of direct supervision.

Effective control of the inmate population means that the inmates do what we want them to do. Effective control of employees in an organization means basically the same thing. The element of maximizing the person's inner controls works for staff just as well as it works for inmates. Management should create an environment where it is in the best interest of each employee to support the objectives of the organization and work within its boundaries, rules, and regulations. Effective control is best

accomplished by merging the needs of the individual employee with the needs of the organization.

Once we achieve effective control of the organization then we can ensure the seventh principle of direct supervision, SAFETY AND SECURITY OF STAFF AND INMATES. From an organization management perspective, the concept of safety and security may be rather vague. The primary concern to employees is an environment where employees feel secure and confident in themselves and their abilities, and safe from reprisals. If we are successful in creating a supportive environment, then we can move from a survival mode for staff to a much more creative mode of operation where employees are free, and in fact, encouraged to grow, flourish, and experiment within acceptable guidelines. It is in this type of environment that the technology of management, and certainly the technology of corrections, will progress.

Once we are successful in implementing the first seven principles of direct supervision within the management structure the result will be successful implementation of A MANAGEABLE AND COST EFFECTIVE OPERATION, the eighth principle of direct supervision.

It is important to consider what a manageable and cost effective operation really is. A manager who spends his entire time controlling and directing every aspect of the operation by making decisions, reviewing reports, and exerting control and influence is not necessarily a successful manager. The successful manager is one who surrounds himself with good people, develops their knowledge and skills, coaches them into always doing more and better, gives them room to exercise creativity, provides feedback, and reaps the rewards of his efforts.

As we encounter problems with inmate behavior in a direct supervision facility, we identify and describe the problems, examine them in light of the principles of direct supervision to determine which of the principles we have violated, and develop a plan of action for solving the problem within the framework and guidance of the principles of direct supervision. If we utilize the basic philosophical foundations of direct supervision as our organizational management concept, then we can simplify the problem solving process into a four step process.

The first step is to define the "root" problem. Managers must be careful to spend the time and effort necessary to strip away all the layers of symptoms that are obvious and find the root problem. The second step is to examine the root problem in relationship to all other aspects of the organization. The third

step is to analyze the problem in terms of the eight principles of direct supervision to determine if and how many of the principles were violated. The final step is to develop a plan of action to take advantage of the opportunity and implement a solution.

To illustrate this process in action, consider this typical example of a new Corrections Officer who successfully completed the academic training in the upper 25% of her class. She is now half way through her seven-week field training program. She is having a number of problems demonstrating her proficiency for the Field Training Officer. The evaluation of the FTO is that the employee may have satisfactorily completed the academic training, however, she is incompetent because she cannot translate the academics learned in the academy into acceptable performance in the real situation.

Do we accept the FTO's analysis or do we first ask ourselves the following questions?

1. Have we utilized the principle of effective communication to ensure that the employee perceives and understands the expectations of the FTO?
2. Have we effectively supervised the new employee to give her feedback on her performance? Did we effectively communicate this feedback?
3. Are we being just and fair with the employee considering her background, experience, training, and opportunities for learning and demonstration in the FTO program?
4. Have we fulfilled the principle of competent staff by effectively training this employee with the basic knowledge and skills necessary to perform her duties?
5. Have we created an environment where the employee has an opportunity to learn, is encouraged to experiment in a controlled setting, and is rewarded for positive behaviors while provided coaching and guidance for negative behaviors?

Only when we are sure that we have fulfilled the elements of all of these principles of direct supervision should we consider separating the employee from the organization.

One of the basic elements of human motivation is that the organization will get what it rewards. An organization must ensure that it rewards only positive behaviors and converts all negative behaviors into opportunities for improvement.

I have utilized this concept of management and problem solving in my own organization, the Pima County Sheriff's Department Corrections Bureau. In virtually every problem we have identified and examined, we have found the problem to be the result of violating one or more of the principles of direct supervision. Once we examined our actions and made the changes necessary to ensure we were operating consistently with the principles of direct supervision, the problem was eliminated.

The concept is valid and functional because it is a concept based on a thorough understanding and utilization of the principles of human behavior. It is deceptively simple but sometimes difficult to put into action. This concept of managing the behavior of staff in an organization works because it is the right thing to do.