

# Staffing Analysis Workbook for Jails

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# Acknowledgments

Assessing staff needs and allocating staff in a jail setting is a complex undertaking. This Workbook describes a process for conducting a staffing analysis and offers resource materials to supplement each component of the process.

While the procedures described in the Workbook may initially seem complicated for some jails (particularly smaller facilities), we believe that they will prove rewarding when implemented. Jail managers have already discovered many secondary benefits from this process.

We realize that there are many legitimate methods for conducting a staffing analysis. This Workbook assembles tested procedures into a new methodology allowing both the expert and the novice equal opportunities for success.

We received assistance from several sources during the development of this text. The contributions of the following persons are gratefully acknowledged:

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The Authors

## Foreword

The National Institute of Corrections (NIC) has addressed jail staffing issues in many ways. Through the training efforts of the NIC Academy, hundreds of jail administrators have received instruction regarding staffing analysis techniques. The Planning of New Institutions (PONI) programs have introduced staffing issues to many more administrators and officials. In addition, NIC consultants have conducted staffing analyses for jails throughout the United States.

This Workbook enables NIC to assist a broader audience by providing a comprehensive "how to" book on jail staffing. After two years of development, the Workbook reflects the contributions of many dedicated professionals. Through their efforts, a comprehensive new approach to jail staffing analysis is described.

NIC is pleased to provide yet another resource for jail managers, officials, and others concerned with providing appropriate staffing in jails.

*Raymond C Brown*

Raymond C. Brown, Director  
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ACQUISITIONS

# Executive Summary

Assessing staff needs and allocating staff in a jail setting is a complex undertaking. This Workbook describes a new process for conducting a staffing analysis and offers resource materials to supplement each component of the process.

The text of this Workbook is divided into two sections. The first provides an overview of staffing concepts. The second previews the staffing analysis process and provides detailed, step-by-step instructions for completing a staffing analysis. Several appendices contain court decisions addressing staff requirements, additional worksheets and forms, additional material concerning specific components of the staffing analysis process, evaluative instruments, and other resources.

Staffing a jail is an expensive proposition. In many jails, staff costs comprise more than 80% of the annual jail budget. Such a costly resource must be carefully managed. Each jail poses a unique operational challenge for managers who must respond to local philosophies, criminal justice system practices and budget constraints. In addition, three other forces shape jail operations: court decisions, standards, and physical plant.

This Workbook describes a new approach to staffing analysis that requires the user to consider alternative staffing and scheduling approaches. Data is organized into the smallest unit--the hour--to provide maximum flexibility and to encourage creativity.

Conducting a staffing analysis is a creative process rather than an exact science. Determining staff needs requires the analysis of the unique interaction between the facility, the prisoner population, the philosophy (mission) of the organization, management and operational styles, budget considerations, and standards and court requirements.

Because no two jail settings have identical features, it is not appropriate to suggest ratios or model staffing plans in this Workbook.

Jails are dynamic settings and changes are regularly encountered. As prisoner populations, philosophies, management styles, and facilities change, staffing plans must respond. As a result, the staffing analysis process is also dynamic and ongoing.

As proposed here, a staffing analysis identifies the unique characteristics of each jail setting. It reviews jail operations and prisoner activities and charts their impact on coverage needs. Scheduling and assigning staff are methods to address coverage needs, and there are virtually infinite variations which a creative manager may use to meet coverage needs.

The process described in this Workbook is comprised of seven steps:

1. "Profiling" the Jail Setting
2. Examining Intermittent Activities
3. Developing an Initial Coverage and Assignment Plan
4. Scheduling Staff
5. Evaluating and Improving the Staffing Plan
6. Preparing a Staffing Analysis Report
7. Implementing the Plan and Monitoring Results.

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# I. INTRODUCTION AND OVERVIEW

## A. How to Use This Workbook

Assessing staff needs and allocating staff in a jail setting is a complex undertaking. This Workbook describes a new process for conducting a staffing analysis and offers resource materials to supplement each component of the process.

The text of this Workbook is divided into two sections. The first provides an overview of staffing concepts. The second previews the staffing analysis process and provides detailed, step-by-step instructions for completing a staffing analysis. The appendices contain such items as

- Court decisions addressing staff requirements;
- Evaluative instruments; and
- Blank worksheets and forms.

You are encouraged to review the entire text before using the appendices. This will ensure an understanding of the principles and approaches on which the appendices are based.

Additional resource material which supports this Workbook is available from the National Institute of Corrections: **NIC Information Center**, 1790 30th Street, Suite 130, Boulder, CO 80301; Phone: (303) 939-8877.

The NIC Jails Division is a source of potential assistance for staffing analysis, including referral, training, and technical assistance. These resources are available from: **NIC Jails Division**, 1790 30th Street, Suite 440, Boulder, CO 80301; Phone: (303) 939-8866.

## B. Purpose and Audience

This Workbook has been assembled to help improve jail operations through implementing a staffing analysis. While the analysis process may seem complex for some facilities, many valuable by-products are created.

Users will find this Workbook helpful in the following situations:

1. To create an initial staffing plan for a new facility or to conduct a comprehensive staffing analysis for the first time;
2. To evaluate an existing staffing plan;
3. To revise an existing plan in response to changes in the facility, philosophies, operations, court orders or prisoner populations; and

4. To determine, through periodic reviews, if staffing plans are appropriate.

This Workbook guides readers through procedures to meet each of these needs.

A variety of persons may find this Workbook useful, including

- Jail Managers
- Supervisory Staff
- Sheriffs and Police Chiefs
- County Commissioners, City Council Members
- Personnel Managers and Budget Analysts
- Consultants
- Technical Assistance Providers
- Trainers
- Jail Inspectors
- Facility Planners
- Architects.

These primary users were considered during the development of this Workbook, and the materials attempt to respond to their needs.

## C. Benefits Derived From a Staffing Analysis

Staffing a jail is an expensive proposition. In many jails, staff costs comprise more than 80% of the annual jail budget. Such a costly resource must be carefully managed. Appendix A describes several creative staffing practices that can increase efficiency and effectiveness without adding staff.

Reasons for conducting a staffing analysis may be most dramatically described by reviewing the consequences of failing to provide appropriate staff. Jail staffing may be deficient in several ways:

- too many staff are provided;
- too few staff are provided;
- the wrong type of staff are hired or retained;
- staff are assigned to the wrong duties; or
- staff are not scheduled properly.

## 1. Too Many Staff

In some instances, jail staffing provides too many staff for a function or shift. The consequences vary and usually include staff boredom because they are underused. Another likely consequence is that other functions (or shifts) may not have enough staff because staff efforts have been "wasted." Overstaffing is rarely encountered in jails today, but a thorough staffing analysis may reveal situations that, if corrected, could result in savings, increased efficiency, and better staff morale.

## 2. Too Few Staff

Frequently in jails, the need for additional staff is demonstrated by the consequences of understaffing: safety and security problems, low staff morale and high turnover, and a variety of day-to-day operating problems. Sometimes the results of understaffing are tragic. Key safety and security tasks are not performed, resulting in injury, death, or breach of security. Occasionally these problems result in litigation against jail officials, staff, and county commissioners and other officials.

Lawsuits against jails often focus on inadequate staffing. When a prisoner dies or is injured, large damages have been awarded by the courts to inmates and their families who sue alleging "failure to protect." The court case summaries in Appendix B indicate the ways in which courts have responded to insufficient jail staffing.

A staffing analysis will determine if the jail is understaffed, and, equally important, it will suggest the types of additional staff needed and how they should be assigned.

## 3. Wrong Types of Staff

If appropriate and qualified staff are not hired to work in the jail, operations are threatened and liability increases. The consequences of this type of staffing deficiency are often the same as understaffing-- safety and security problems and increased operating errors. It is not only important to hire the right number of staff, but to hire the right types as well.

A staffing analysis will identify not only the numbers of staff, but the types of personnel required to operate the jail. It will also help to clarify the tasks for which staff will be responsible, and can lead to improved hiring and training practices.

Retaining staff members who are not qualified or suited for jail positions creates similar problems and liabilities. Many successful lawsuits have resulted from hiring jail officers who are not able to use force properly or to control their emotions with prisoners. A staffing analysis will help to identify operational problems and to analyze their causes.

## 4. Improperly Assigned Staff

Assigning personnel to the wrong duties also creates operating problems and increases liability (negligent assignment). Staff must be assigned to duties that are consistent with their knowledge, skills, abilities, and training.

For instance, if a jail operates a secure control center staffed by specially trained officers but fails to hire enough full-time staff for the post, then unqualified personnel are often called upon to fill the post. A staffing analysis will suggest the numbers and types of staff needed to operate the jail.

#### 5. Improper Scheduling

Even when the right numbers and types of staff are available on the work force, scheduling errors can create the same operational and liability problems already described. Proper staff scheduling requires a clear understanding of the dynamics of the jail and the characteristics of the work force and the prisoner population.

A staffing analysis requires a careful examination of the jail setting and encourages creative scheduling to ensure that the right staff are available at the right times. The creative scheduling that often results from a staffing analysis usually increases the efficiency of staff utilization.

In summary, the benefits derived from conducting a staffing analysis and implementing findings are

- increased safety;
- increased security;
- improved provision of basic prisoner programs and services;
- increased cost efficiency;
- decreased liability; and
- better management, protection, and use of resources.

### **D. When to Conduct a Staffing Analysis**

When should a staffing analysis be conducted? An analysis should be conducted

- when a new facility or major renovations are being planned and designed (at key points during schematic design, design development, and preparation of construction documents);
- when substantial changes are made or occur with the facility, prisoner population, operating philosophy, policies, or management approaches;
- if no analysis has been made for the jail before; and
- at least annually to ensure that the jail setting has not changed appreciably, and to prepare for the annual budget cycle.

Staffing practices respond to the total jail setting and must be evaluated and revised when any major component of that setting changes.

## E. Who Should Be Involved?

The staffing analysis process may be implemented in many forms. A variety of parties should participate to ensure broad input and increase the likelihood that the results will be implemented. Participation may be secured by forming a team to conduct the staffing analysis, or by assigning the principal staffing analysis duties to a single person who circulates initial findings to a larger group for review and comment. While the latter method may prove easier, it is not successful unless the larger group offers comments.

Persons to consider involving in the process include

- Administrative Staff
- Supervisory Staff
- Line Officers
- Program Staff
- Contract Service Providers (medical, etc.)
- Sheriff or Police Chief
- Policymakers (commissioners, council members, city managers)
- Budget Analyst and Personnel Managers
- Labor Organizations (unions, bargaining units)
- Jail Inspector.

Participation, in whatever form is selected, provides a way to tap the resources and ideas of participants and increase their commitment to the process, thereby increasing the likelihood of their support for the product. Staff may be more cooperative if schedules need to be changed, and officials who control budgets may be more easily convinced of the need for funds if they are involved in the process and shape its outcomes.

## F. Jail Characteristics and Staffing Considerations

The operational setting of the jail and key staffing considerations provide an important conceptual foundation for the staffing analysis process.

### 1. Characteristics of the Jail Setting

An understanding of the unique operational character of the jail setting is required for anyone involved with a staffing analysis.

Jails operate on a continuous basis, 24-hours per day, 365 days per year.

A wide spectrum of services, activities and programs must be provided to prisoners in jails.

Jails can be high-risk settings where prisoners are often dangerous to themselves and others.

Jail populations can fluctuate widely throughout the year and even on a day-to-day basis because a variety of factors determine admissions and releases.

Many jail prisoners spend only a few days in confinement; in some jails up to 90% of all prisoners are released within 72 hours of admission.

Staff turnover is high in many jails.

Admission and release procedures require much staff effort, and staff must be available at all times to admit and release prisoners; however, peak periods of admission are often difficult to anticipate.

Courts have held jail staff, administrators and funding officials increasingly liable for jail operations and conditions.

Extensive documentation is required for all activities and procedures at the jail.

Perimeter security and internal circulation and movement must be controlled at all times.

Access to and egress from the security perimeter, and movement within the perimeter, require positive identification.

Classification of prisoners is necessary to identify prisoner security needs and special needs. Supervision needs vary for different classifications of prisoners. Jails house pretrial detainees and sentenced prisoners, with each group bringing its own operating implications and constitutional guarantees.

## 2. Staffing Considerations

The characteristics of the jail setting combine to create a difficult staffing challenge.

"Backup" must be provided for staff in all areas of the jail. When a staff member has to respond to problems, critical incidents, or contingencies, additional staff must be available to provide support. Sending one officer into a maximum security cell creates a safety and security problem, but if a prisoner is apparently attempting suicide, crucial seconds (and maybe a life) will be lost waiting for staff assistance to arrive. A single staff member must not be faced with a choice between risking his/her safety or responding to an emergency.

Continuing prisoner supervision should be provided in all jails. Supervision extends beyond merely observing prisoners at regular intervals; effective supervision demands contact between jail staff and prisoners.

A constant minimum level of staffing is required to ensure prompt and safe evacuation of the facility during an emergency and to provide continuing prisoner supervision. Even the smallest jail facility requires at least two persons on-duty at all times, and additional trained personnel may be required within a reasonable response time to provide back-up support during emergencies. Minimum staffing levels will be different for each jail and may change during the year.

Electronic surveillance (audio monitors, closed circuit television) has its place, not as a substitute for staff, but as a supplement. Whenever such equipment is used to provide safety and security, staff must be provided to view monitors or to listen for calls for assistance. All too often, equipment is installed and staffing levels are inappropriately reduced.

Staff must be assigned to duties for which they are qualified. As indicated in the previous section, improper assignment creates major problems and increases liability.

"Short-Shifting" can be dangerous in a jail. When a scheduled staff member is unable to work, he/she must be replaced to ensure that staff levels are adequate. Key safety and security functions must be performed continually and cannot be delayed until more staff are available.

Staff must also be provided with supervision. Supervisors should not be assigned to a specific post, or they will not be able to move throughout the facility to supervise operations and to respond to problems. If supervisors are free to move throughout the facility, they can also help to fulfill needs for backup.

### 3. Prisoner "Surveillance" vs. Prisoner "Supervision"

It is important to underscore the difference between prisoner supervision and prisoner surveillance.

Surveillance describes activities that include observing or monitoring prisoner behavior. Often these are conducted through barriers (e.g., windows) or using audio or visual equipment. Surveillance is achieved when an officer views a housing area or dayroom through an enclosed control station or on a closed circuit television monitor.

Although surveillance enables identification of some behaviors, it does not usually help to identify the causes, to anticipate or respond to behavior, or to prevent problems. In some instances, surveillance can prove inaccurate, such as when an officer misinterprets a prisoner's call for help over an intercom.

Supervision is composed of staff activities that involve direct, barrier-free contact with prisoners. This includes opportunities to converse and interact directly with prisoners, allowing staff to see and sense prisoner moods, anticipate problems, and prevent future problems. Studies indicate that such "direct supervision" creates a jail environment that is less stressful and safer for staff and prisoners.

Providing prisoner supervision is an objective of jail staffing; surveillance can be considered a component of the supervision process, but it is not adequate alone.

## **G. Parameters in the Jail Setting**

Each jail poses a unique operational challenge for managers who must respond to local philosophies, criminal justice system practices, and budget constraints.

In addition to local philosophies and management styles, three other forces shape jail operations:

1. Court decisions
2. Standards
3. Physical Plant

## 1. Court Decisions

All levels of courts provide important guidance for jail managers and often establish mandatory practices.

Federal court decisions that constitute "precedent" for jails are:

- Decisions of the federal district in which the jail is located;
- Decisions of the Court of Appeals for the circuit in which the jail is located; and
- Decisions of the United States Supreme Court.

Thus, a decision on appeal of a case from Arkansas rendered by the Eighth Circuit Court of Appeals would bind subsequent decisions of federal district courts throughout the Eighth Circuit (e.g., North Dakota, South Dakota, Minnesota, Nebraska, Iowa, Missouri).

Similarly, court decisions at the state level (supreme court and/or appeals courts) are binding on all jails within the state. Lower court rulings and decisions are precedent only for the jurisdiction of the specific court.

In addition to the decisions of courts that are considered precedent, the decisions of any other court in the United States may eventually affect jails. Other court decisions are researched and considered during court deliberations and are often incorporated in whole or in part into new decisions in other jurisdictions.

Appendix B presents court case summaries that pertain to staffing requirements and needs. You are encouraged to review these summaries, with particular attention to cases in your federal circuit.

Courts have frequently found jail administrators and elected officials liable for incidents that have resulted from inadequate staffing. Costly damage awards have often been levied when staff and officials are found negligent in selecting, retaining, assigning, and supervising staff.

Many counties and cities have found out the hard way that it can cost more not to provide appropriate staff.

The holdings of key court decisions that address staffing may be summarized as follows:

- Staff must be provided to protect prisoners (from themselves and from other prisoners);
- Staff must be provided to make regular visits to prisoner-occupied areas and to maintain communication with prisoners;
- Staff must be provided to respond to prisoner calls for assistance;
- Staff must be provided to classify and separate prisoners;
- Staff must be provided to ensure the safety of prisoners at all times;
- Staff must be provided to maintain security;

- Staff must be provided to process and supervise female prisoners;
- Staff must be provided to operate electronic surveillance;
- Staff (or contract personnel) must be provided to ensure that all required prisoner activities, services, and programs are delivered (medical, exercise, visits, etc.).

Court decisions have defined important parameters for jail operations through establishing

- Minimum levels of service or performance;
- Performance objectives;
- Prohibited practices; and
- Specific required operational actions.

Jail managers should study prior and new court decisions to maintain a current perspective of the trends in court responses to jail operations and conditions. Reviewing the case summaries in Appendix B provides a starting point.

## 2. Standards

Professional standards have been developed by several national organizations, including the American Correctional Association (ACA) and the American Medical Association (AMA). These standards are used frequently as the basis for state standards and have been used by the courts when there are no mandatory state standards. A recent U.S. Appeals Court decision (Cody v. Hillard) concludes that the ACA standards can be used to determine constitutional requirements.

Form 5B (Appendix C) uses the ACA standards as an evaluative tool to assess the adequacy of jail staffing. Professional standards such as these are necessarily broader in scope and less specific than state standards, requiring more interpretation by jail managers.

Standards have been promulgated by most states and are usually mandatory, accompanied by enforcement powers. State standards vary widely in form and content, ranging from broad statements to very finite, specific requirements. Many state standards are written as "performance objectives," clearly defining outcomes and conditions in jails but leaving broad latitude in the methods used to achieve compliance.

Standards offer a reference point for the staffing analysis which may be used from the beginning of the process and must be considered as an integral part of such an analysis. Developing a checklist of state standards pertaining to staffing is a useful way to evaluate your staffing plan. It is possible that such a list has already been developed by state inspectors. A sample of such a checklist (Maine) is available through the NIC Information Center.

Most states with standards provide inspectors who are available for technical assistance and consultation. Their advice can be very helpful during the staffing analysis process.

### 3. Physical Plant

Another important determinant of staffing needs is the existing jail physical plant (or a proposed plan for a new jail). In an existing facility, staff are often needed to compensate for its inadequacies. During design for a new facility, a staffing analysis should be conducted periodically during the schematic design and design development phases. Staffing implications can be assessed and should be considered from the initial development of a mission statement and throughout the design process.

When the staffing analysis indicates that additional staff are needed in an area, one solution is to change the facility, rather than increase staff coverage. Many jail administrators have found that the high costs of renovation are quickly offset by increased staff efficiency.

Several characteristics of the facility that have an impact on staff coverage are reviewed below.

Prisoner Separation. The extent to which prisoners are separated in the facility and the manner in which separation is achieved can translate into staffing requirements. The need to separate prisoners is underscored in all standards. Often, the greater number of distinct housing units there are in a facility, the more staff are needed to supervise the units.

Security Perimeter. Every jail should have a well-defined security perimeter with each point of entry controlled through a "sallyport" (a set of two interlocked doors that are only able to be opened at the same time in an emergency). All exterior windows and other potential means of egress from the security perimeter must be secure. The weaker the security perimeter, the more staff it will take to control and supervise prisoner movement and housing.

Sight Lines. The arrangement of spaces within the jail always creates areas that are not within the direct view of a staff member, duty station, or control center. These "blind spots" can pose safety problems and may increase staffing needs. Many new jail designs attempt to minimize the number of fixed posts and full-time control centers while maximizing direct sight lines.

While improved sight lines do not replace the need for staff and their direct contact with prisoners, they do decrease reliance on electronic methods of surveillance and control.

Evacuation Routes. Perhaps the "bottom line" for staff needs in a jail is to provide the number and types of staff needed to evacuate the facility safely and efficiently in an emergency. The design of the jail and the equipment used will be the key determinant of this staffing need.

Many older jails do not have equipment that allows cells to be unlocked in groups, so sufficient staff must be available to unlock each cell quickly. In addition, the number of distinct housing units and the facility circulation pattern influence staffing demands.

Secure "Compartments" in the Jail. After a security perimeter is established, jails are usually divided into distinct areas (zones or compartments). By carefully defining groups of activities and providing security separations between each, staff needs can be reduced. Using the concept of compartments, certain types of prisoners may be able to move within the facility without escort, decreasing staff needs.

Controlling Circulation/Movement. Jail operations require constant movement within the security perimeter. Staff move in prisoner areas at all hours, prisoners move to activities and services (exercise, medical care, programs, visiting, etc.), and the public enters the facility for a variety of purposes (visiting, providing programs and services, etc.).

Controlling movement within the jail is an essential ingredient of security, and the design of the facility will determine the number and types of staff needed to maintain security. Prisoner movement does not always mean that more staff are required; in many new facilities, prisoners are able to move unescorted between authorized areas of the facility.

Direct Contact Between Prisoners and Staff. The extent to which staff are physically separated from the prisoner population has a major impact on staffing needs.

Recent studies conducted by the National Institute of Corrections indicate that "new generation jails" are cost effective in terms of construction and operation. The NIC Advisory Board has endorsed the new generation concepts of podular design (housing units of manageable size, comprised of single cells clustered around a common dayroom) and direct supervision management (in which an officer is assigned to a housing unit in direct contact with prisoners).

New generation facilities provide strong perimeter security and easy observation of housing areas by the officer assigned inside the unit. Operations stress prisoner "inner controls;" prisoners in the general population are given privileges and a physical setting which they keep if their behavior complies with established rules and guidelines. New generation facilities also require careful division of prisoners into manageable groups and effective classification of prisoners to ensure proper assignment to housing units.

The new generation concept has received support for new jails and major renovation from the National Institute of Corrections, the American Institute of Architects, the American Correctional Association, and the American Jail Association.

## **H. Tasks Associated with Jail Operations**

Perhaps the best way to gain an understanding of the complexity of jail operations is to examine the results of recent "jail officer task analysis" projects. A task analysis is a method for analyzing jobs through determining which tasks are routinely encountered by staff.

Recent "task inventories" conducted in several states have yielded information on which tasks are encountered on the job, how often each task is implemented (frequency), and the importance of each task, measured in terms of the "consequences of inadequate performance."

A task analysis was completed in Maine in 1985 using a 623 item task list. Over 2/3 of all jail officers and supervisors participated in the project. Analysis of inventory data produced an assessment of tasks that were considered "core" to the job of jail officer based on frequency and importance.

Researchers were startled to find that 465 tasks are core to the jail officer's job--more core tasks than were found for the job of the law enforcement officer in a similar study. The results of the task analysis provide another important frame of reference for the staffing analysis. Note that a task analysis is based on the way that tasks are currently performed.

Core tasks have been organized under 43 groupings, which are shown below:

#### Safety and Security

Prisoner Supervision	Prisoner Movement
Searches	Perimeter Security
Control Center/Post	General Security
Security & Key Control	Prisoner Counts
Prisoner Transportation	Security Equipment
Fire Safety	Emergencies
Firearms	Prisoner Classification
Special Management	Prisoner Rules and
Prisoners	Discipline
Court Procedures	

#### Admission and Release

Admission and Prisoner	Release Date Calculation and
Orientation	Release Procedures
Temporary Release	Release Preparation

#### Prisoner Services, Activities and Programs

Medical Services	First Aid
Prisoner Mail	Telephone
Access to Courts	Visiting
Prisoner Grievances	Academic and Vocational
Prisoner Activities	Programs
Recreation and Library	Prisoner Counseling
Social Services	Religious Services
Prisoner Work Programs	Other Prisoner Activities
Food Service	Prisoner Hygiene
Laundry	Sanitation

#### Support Activities

Interpersonal and Human	Citizens and Volunteers
Relations Skills	Prisoner Records
Prisoner Accounts and	Inventory Control and
Property Control	Procurement
Facility Inspection and	Administrative and Support
Maintenance	Activities
Employee Orientation	Training and Communications
Staff Communications	Employee Evaluation
Grievance and Records	Physical Activities

## II. STAFFING ANALYSIS CONCEPTS, PROCESS, AND WORKBOOK

### A. A New Approach

This Workbook describes a new approach to staffing analysis. Earlier methods were heavily grounded in the "three, eight-hour shift" approach to scheduling which many medium and large jails have moved away from recently. The three/eight is not as widely applicable to jails today, and many jails are moving toward alternative scheduling approaches. The process described in this Workbook forces you, the user, to consider alternative staffing and scheduling approaches, and organizes data into a smaller unit--the hour--to provide maximum flexibility and to encourage creativity.

### B. Staffing Analysis Concepts

Conducting a staffing analysis is a creative process and is not an exact science. No formulas can be applied, although some state standards establish minimums (such as number of staff per floor or prisoner/staff ratios). Sometimes these oversimplify the staffing issue and do not always produce appropriate staffing plans.

Determining staff needs requires the analysis of the unique interaction between

- The facility;
- The prisoner population;
- The philosophy (mission) of the organization;
- Management and operational styles;
- Budget considerations; and
- Standards and court requirements.

Because no two jail settings have identical physical and operational features, it is not appropriate to establish ratios or model staffing plans.

Jails are dynamic settings and changes are regularly encountered. As prisoner populations, philosophies, management styles, and facilities change, staffing plans must be adapted to respond. As a result, the staffing analysis is an ongoing process. Managing a jail is a dynamic process, and determining staff needs and assignments is a challenge. Staffing poses unique problems and demands for which there are no single answers; there is always room to improve staffing practices.

A staffing analysis identifies the unique characteristics of each jail setting. Jail operations and prisoner activities are reviewed, and the impact on staff coverage needs is charted. Staff assignment and scheduling are methods to address coverage needs; there are virtually infinite methods which may be used to meet those needs.

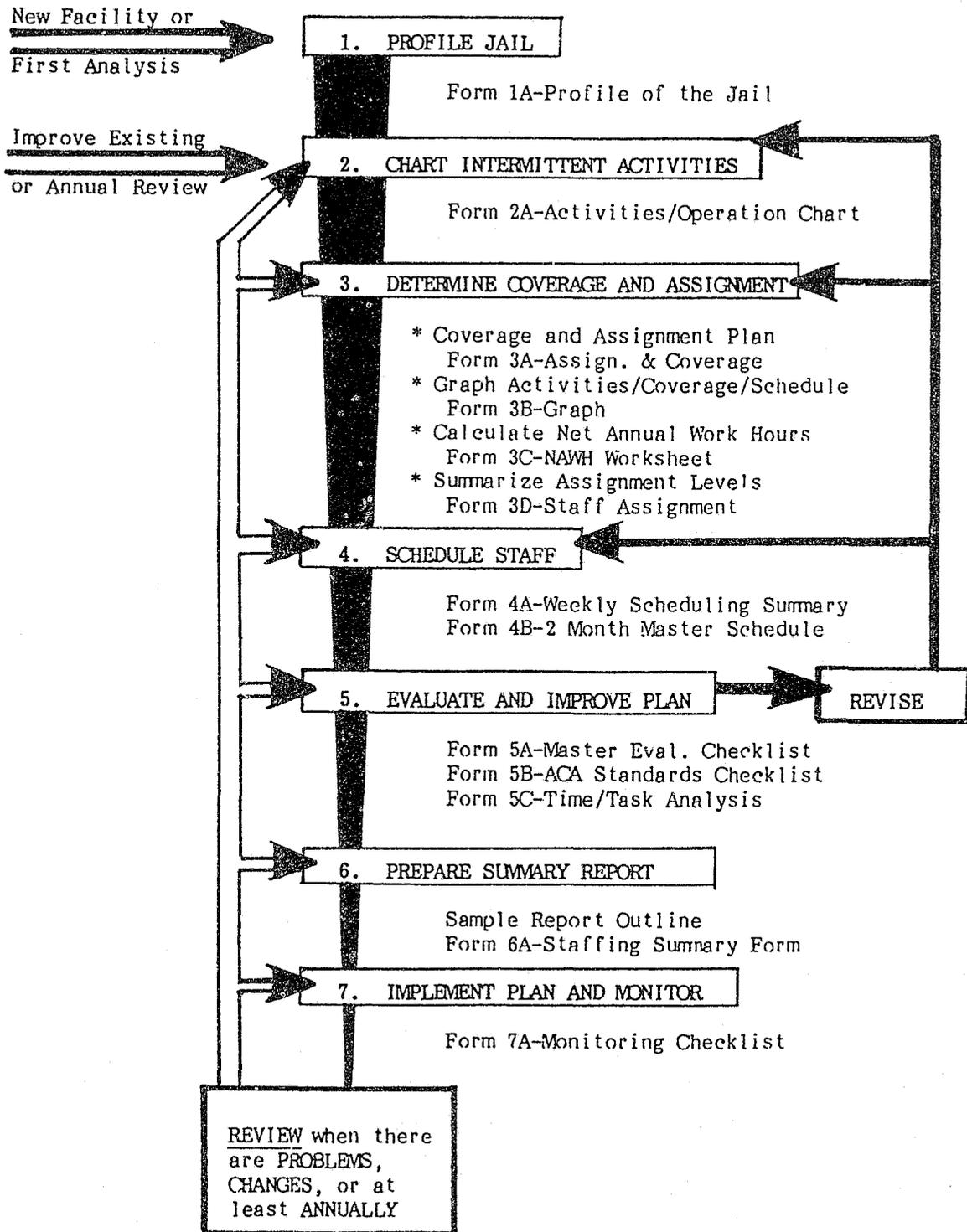
Proper staffing, to build on a statement from John Milosovich, means

- The right number of staff
- With the right skills
- In the right place
- At the right time
- Doing the right thing.

# C. Staffing Analysis Process

The flowchart below displays key elements of the process developed for this Workbook.

FLOWCHART: COMPREHENSIVE STAFFING ANALYSIS PROCESS



The process is comprised of seven steps:

1. "Profiling" the Jail Setting
2. Examining Intermittent Activities
3. Developing an Initial Coverage and Assignment Plan
4. Scheduling Staff
5. Evaluating and Improving the Staffing Plan
6. Preparing a Staffing Analysis Report
7. Implementing the Plan and Monitoring Results

Steps 2, 3, and 4 require initial decisions which combine to form the basis of the staffing plan. Step 5 requires a careful evaluation of the initial plan; if the plan proves inadequate, you should return to the appropriate step, make improvements, and continue through the process from that point.

If you are less experienced, the evaluative "loop" allows you to determine the adequacy of your work and to improve the plan prior to implementation. Step 5 (Evaluation) is the "equalizer" that allows anyone to produce an appropriate staffing plan eventually.

After you correct initial deficiencies, evaluate the plan again to be sure that corrective measures have not produced other deficiencies. Repeat the evaluative step until the staffing plan is acceptable.

You may enter the seven-step process at several points, as shown on the chart by the arrows on the left side of the page.

"First-time" users begin with Step 1 (first full analysis for a facility, evaluation of new facility plans). Completing the Jail Profile is an important first step for these users.

Users wishing to improve existing approaches may choose to start with Step 2, using existing coverage plans as the basis for subsequent evaluation.

Repeat users who wish to respond to problems or changes identified after a plan has been implemented may elect to enter the process at any of the first five steps, depending on the nature of the problem or change to be addressed.

## D. Step-by-Step Instructions—A Staffing Analysis Workbook

The following pages provide users with detailed instructions for completing each step of a comprehensive staffing analysis.

The material is presented in a "workbook" format. Each of the seven steps includes

- A brief narrative describing the methodology and process for completing the step;
- Instructions for completing each form; and
- A sample of each key form, filled in using a real jail situation, with comments and notes (blank copies of all forms necessary to complete the step may be found in Appendix C).

Because the process is complicated, two aids are provided to help you maintain your orientation to the process:

1. At the beginning of each step, a reduced copy of the staffing analysis flowchart is provided, with the current step highlighted.
2. At the top of every page, the step number is provided, along with a description of the material on the page.

Blank copies of all forms are provided in Appendix C. Brief instructions are provided on the form. If you have questions about completing a form, go to the appropriate part of the Workbook to find a more detailed description and a completed sample.

The following text provides completed copies of each form and worksheet to aid you in conceptualizing the process more fully. The samples were drawn from several NIC technical assistance reports produced for counties of various sizes.

Use of these samples, which have been "de-identified," does not imply that NIC either endorses or condemns the design, operations, or staffing approach for the facility; rather, real samples were chosen to provide readers with more continuity and consistency in this section of the Workbook.

STEP 1: Profile the Jail.....Narrative and Instructions

### 1. "Profiling" the Jail Setting

A detailed "profile" of the jail setting is an essential starting point for first-time participants in the staffing analysis process. It is the first step in conducting a comprehensive staffing analysis for a new facility or for the first-time analysis in an existing facility.

Although it is tempting to skip this step of the process, it is essential to compile this information to ensure that the basis for the staffing analysis is clear: the products may be needed later to justify requests to funding sources or even in court. Similarly, subsequent staffing analyses should include a quick review and updating of this material.

The profile examines and records key features and characteristics of the jail setting, including

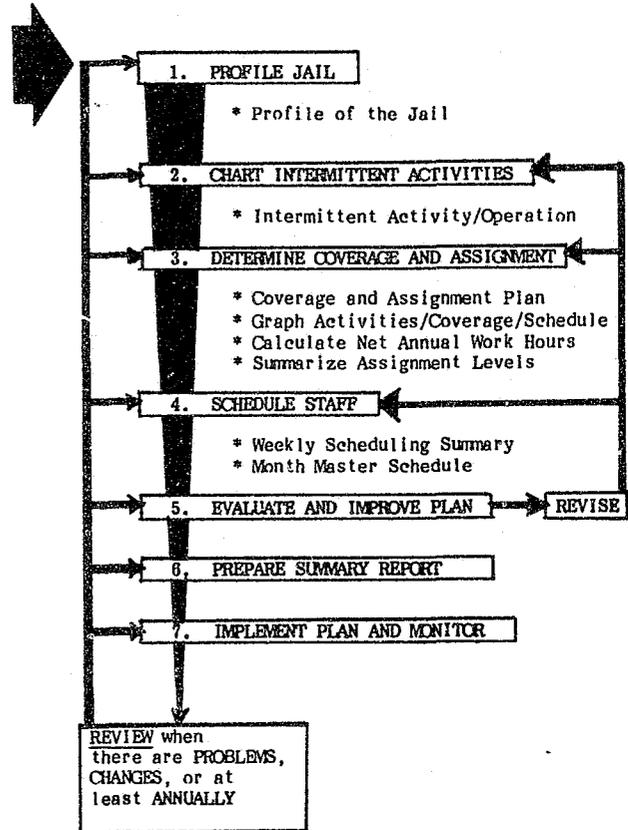
- A. Rated Capacity
- B. Jail Facility Layout
- C. Classification and Separation
- D. Admissions, Releases, and Average Daily Counts
- E. Prisoner Characteristics
- F. Mission Statement
- G. Organization and Management Philosophy
- H. Current Staffing Approaches
- I. Critical Incidents
- J. Summary of Standards Compliance Problems
- K. Summary of Applicable Court Decisions.

Use Form 1A to organize and record information for the profile. A blank copy is provided in Appendix C.

Samples of completed pages from Form 1A are provided on the following page.

**INSTRUCTIONS FOR COMPLETING FORM 1A.** Form 1A is presented in a narrative format, providing instructions for each of its components. Attach additional pages as necessary or as instructed.

FLOWCHART: COMPREHENSIVE STAFFING ANALYSIS PROCESS



## Profile of the Jail

### A. Rated Capacity

Describe the capacity of the facility, consistent with applicable jail standards:

	Max Security	Medium	Minimum	Other (Describe)
Adult Male:	10	40	29	30 ( )
Adult Female:				-- ( )
Juv. Male:	3	7	0	-- ( )
Juv. Female:				-- ( )
Special Purpose:	8	10		16 ( )

### B. The Jail Facility

To evaluate your proposed staffing pattern and levels, it is necessary to have clear floorplans for the facility as it is currently operated.

Attach black and white floorplans for each floor of your facility labeled to show the following:

- Each fixed security post in the facility;
- Location of any video monitors (camera locations and monitor locations);
- The function of every room and space in the facility (if law enforcement areas are in the same building and inmates never enter or use these areas, these do not have to be labeled in as much detail); and
- Security perimeter.

Be sure to identify and label areas in which inmate programs, activities and services are delivered (such as interview areas, exercise areas, visiting spaces, commissary, kitchen, laundry).

It would be helpful to assign a code number or letter to every area, so that it is easier to refer to the space later.

### C. Inmate Classification and Separation

Attach pages as needed to describe all of the separations between inmates made at your jail facility. For each separate group of inmates, identify the spaces used to house the group (using the labels on the floorplans).

### D. Admissions, Releases, and Average Daily Counts

Assemble the following data describing the types of inmates housed, the numbers, and the separations that result. (If comparable information has been assembled, attach copies of it and do not complete this section).

Month:	Average Count At Midnight				Average New Admissions/Releases							
	Adult		Juvenile		Admissions				Releases			
	M	F	M	F	Adult M	Adult F	Juv. M	Juv. F	Adult M	Adult F	Juv. M	Juv. F
1.	62	5.1	.8	.1	10	1	.5	.0	9	1	.5	.0
2.	65	4.2	.8	.1	8	1	.0	.0	8	1	.0	.0
3.	59	4.7	.5	.0	7	1	.0	.0	7	1	.0	.0
4.	56	3.9	.7	.0	5	.5	.5	.1	4	.5	.5	.1
5.	55	3.8	.6	.0	7	1	.0	.0	8	1	.0	.0
6.	53	4.3	.3	.2	6	.5	.0	.0	7	.5	.0	.0
7.	51	4.5	.5	.1	9	1	.0	.0	8	1	.0	.0
8.	53	4.1	.9	.1	4	1	.5	.0	5	1	.5	.0
9.	54	3.2	.3	.2	6	1	.5	.0	7	1	.5	.0
10.	58	3.1	.4	.0	8	.5	.0	.0	7	.5	.0	.0
11.	62	2.9	.7	.0	10	1	.0	.1	9	1	.0	.1
12.	63	3.2	.2	.0	9	1	.0	.0	10	1	.0	.0
AVERAGES for 12 mos.												
	58.4	3.8	.7	.05	6.2	.8	.3	.05	6.4	.7	.2	.06

### E. Prisoner Characteristics

Attach descriptive information about the prisoner population, including:

- length of stay
- age
- race
- sex
- residence
- charges
- classification
- time of day admitted
- time of day released
- status (pre-trial, sentenced)
- sentence
- reason for release
- criminal history
- program needs
- day of week admitted
- day of week released

**NOTE:** See NIC Jail Capacity Forecasting and Inmate Sample Workbook for data collection and analysis instructions if you wish to undertake research in this area.

### F. Organization and Management Philosophy/Mission Statement

#### 1. ORGANIZATIONAL CHART

Attach a copy of the organizational chart for your jail operations. (You may provide this by submitting the chart for the entire department or for the jail division.)  
See Attached Chart

#### 2. MANAGEMENT PHILOSOPHY/MISSION STATEMENT

It is important to understand your approach to operating a jail in order to evaluate your proposed staffing. Describe your philosophies which guide the operation of the facility on attached pages, or attach an existing document that meets this need (such as a Mission Statement or Goals and Objectives).  
See Attached Mission Statement

### G. Current Staffing Approaches

Attach a list of all current staff positions, staff assignment within the facility, and budgets for relief staff. It is important to document current practices in order to evaluate proposed approaches.

### H. Critical Incidents

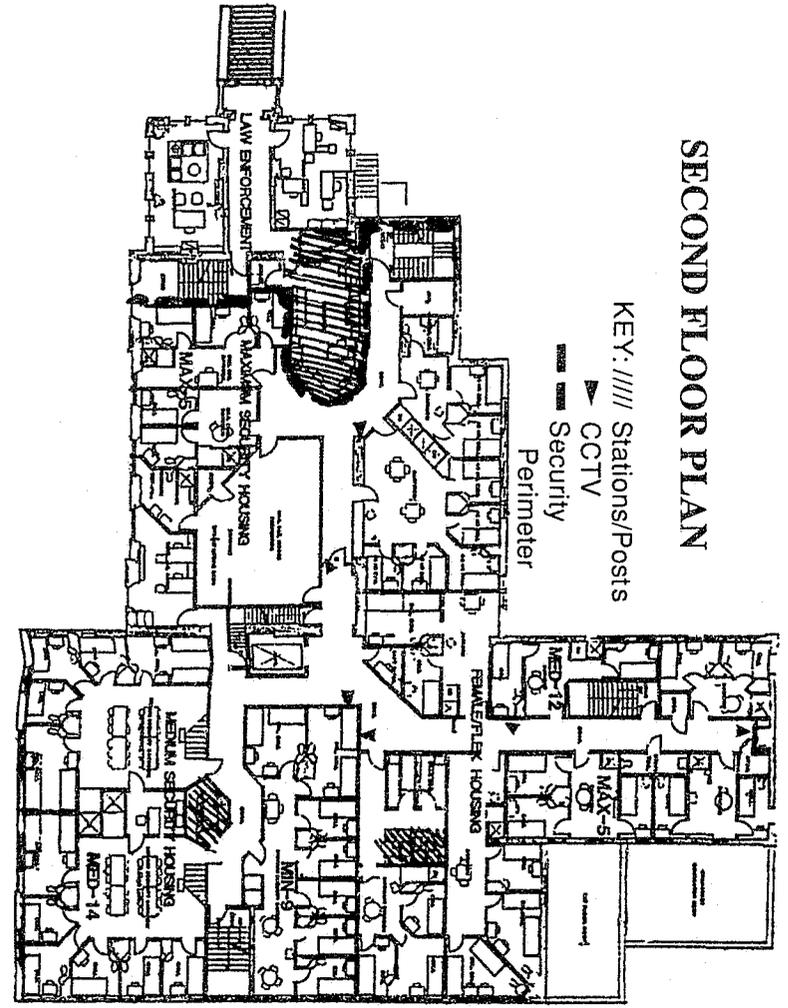
Attach a summary of critical incidents that occurred during the past year (e.g. suicides, assaults, escapes).

### I. Summary of Standards Compliance Problems

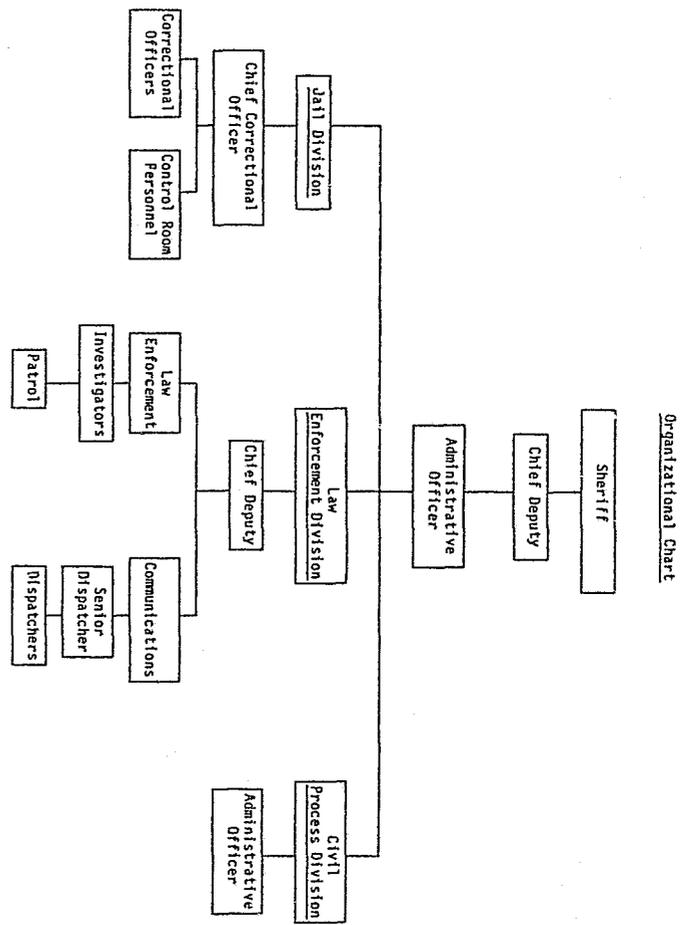
Attach a summary of compliance problems based on the most recent jail inspection report (or appropriate letters or charts).

### J. Court Decisions

If the facility is subject to the conditions of any court rulings or consent decrees, attach pertinent material.



Sample of Attachments



DEPARTMENT OF CORRECTIONS  
Graph of Non-Compliance

CATEGORY	%NON-COMPLIANCE	GRAPH OF NON-COMPLIANCE										
		0	10	20	30	40	50	60	70	80	90	100
ADMINISTRATION	6%	[Bar chart showing 6% non-compliance]										
TRAINING	0%	[Bar chart showing 0% non-compliance]										
RECORDS & DATA MANAGEMENT	11%	[Bar chart showing 11% non-compliance]										
SAFETY & SECURITY	13%	[Bar chart showing 13% non-compliance]										
SUPERVISION OF INMATES	14%	[Bar chart showing 14% non-compliance]										
ADMISSIONS & RELEASE	13%	[Bar chart showing 13% non-compliance]										
CLASSIFICATION	0%	[Bar chart showing 0% non-compliance]										
INMATE SEPARATION/MANAGEMENT	25%	[Bar chart showing 25% non-compliance]										
INMATE DISCIPLINE	9%	[Bar chart showing 9% non-compliance]										
SPECIAL MANAGEMENT INMATES	33%	[Bar chart showing 33% non-compliance]										
INMATE COMMUNICATIONS	6%	[Bar chart showing 6% non-compliance]										
MEDICAL SERVICES	3%	[Bar chart showing 3% non-compliance]										
FOOD SERVICES	5%	[Bar chart showing 5% non-compliance]										
INMATE ACTIVITY & SERVICES	12%	[Bar chart showing 12% non-compliance]										
INMATE PROGRAMS	0%	[Bar chart showing 0% non-compliance]										
TEMPORARY RELEASE	11%	[Bar chart showing 11% non-compliance]										
SANITATION/LIVING CONDITIONS	21%	[Bar chart showing 21% non-compliance]										
FACILITIES	61%	[Bar chart showing 61% non-compliance]										
ATTACHMENT #1 POLICY												
Section A	12%	[Bar chart showing 12% non-compliance]										
Section B	4%	[Bar chart showing 4% non-compliance]										
Section C	0%	[Bar chart showing 0% non-compliance]										
Section D	0%	[Bar chart showing 0% non-compliance]										
Section E	10%	[Bar chart showing 10% non-compliance]										
Section F	13%	[Bar chart showing 13% non-compliance]										
Policy and Procedures												
Total Average Non-Compliance	7%	[Bar chart showing 7% non-compliance]										

Date \_\_\_\_\_ Name of County \_\_\_\_\_

STEP 2: Chart Intermittent Activities.....Narrative and Instructions

**2. Examining Intermittent Activities**

The next step is to identify the functions and activities that take place in the jail.

The "Intermittent Activities/Operation Chart" (Form 2A) graphically displays a typical one-week period of jail operations. A completed sample follows the instructions. Blank forms are provided in Appendix C.

Follow the instructions on the form to produce a chart that reflects the routine dynamics of your facility. Complete the form carefully, accurately, and without regard to current staffing practices. The value of this tool depends on detail and candor.

**NOTE:** The activities and operations to be recorded on Form 2A are intermittent (those that do not occur throughout each day). Therefore, do not record the ongoing activities such as prisoner cell checks. The regular or constant activities and tasks will be reflected in the "basic coverage needs," which will be developed in the next step.

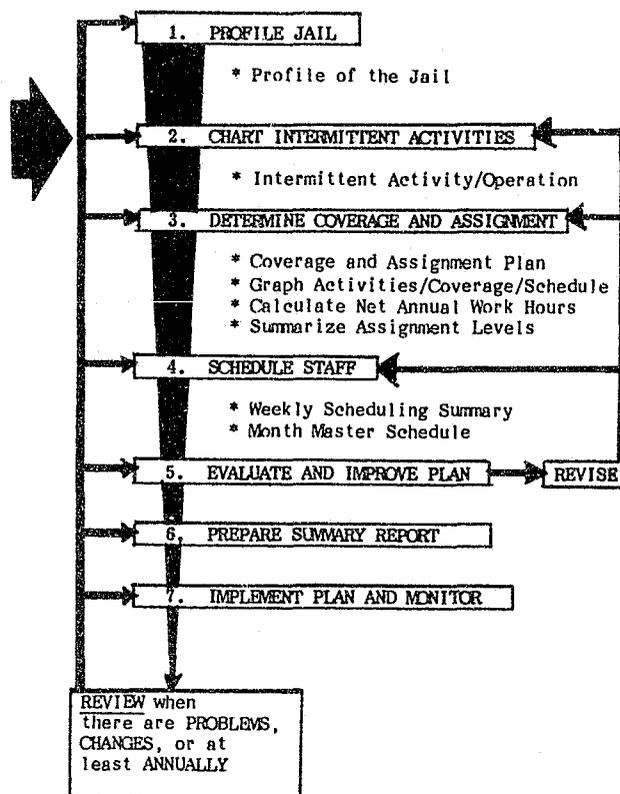
INSTRUCTIONS FOR COMPLETING FORM 2A

Form 2A encourages you to examine the daily and weekly operations of your jail as an indication of staff coverage needs.

Record specific activities, tasks, or operations that occur daily or weekly in the left column. For each of these, shade in the appropriate time frames on the 7-day chart, corresponding to the usual scheduling of each item.

Do not attempt to record activities that are constant throughout each day and night (such as prisoner health and welfare checks, control room operation, cell checks). These will be considered in the next step as the basis for determining the minimum staff coverage.

FLOWCHART: COMPREHENSIVE STAFFING ANALYSIS PROCESS



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STEP 2: Chart Intermittent Activities.....Instructions-Form 2A

---

Consider the following list as a starting point for your analysis. It contains some of the activities that may have enough of an impact on operations to merit inclusion on this form:

- Meal Service
- Peak Periods of Admission and/or Release
- Visiting
- Formal Counts/Lockdowns
- Exercise and Recreation
- Sick Call
- Administering Medications
- Telephone Access for Prisoners
- Court Appearances
- Commissary
- Prisoner Programs and Services
- Religious Services
- Prisoner Transports
- Library Access/Services
- Work Programs/Industry
- Staff Meetings
- Staff Training.

After you have recorded all of the appropriate activities on the chart, fill in the total number of lines for each 3-hour time period at the bottom of the chart.

To complete the bottom line, count the maximum number of lines which are darkened during each three-hour cut-off (count at 3 A.M., 6 A.M., 9 A.M., 12 P.M., 3 P.M., 6 P.M., 9 P.M., 12 A.M.) and record the number in the appropriate space. For instance, if one line (e.g. visiting) is only "darkened" for two hours, you would still count it as "1" below. The total at the bottom of each column should represent the maximum number of individual activities which occur at any time during the three-hour period. You will be using this information later.

When you are done, you may notice some high periods of activity. Examine these carefully at this time to determine if you need to restructure your weekly schedule.

Several types of improvements and innovations may present themselves, including:

- Rescheduling certain activities to "level-out" peak periods of events during the week;
- Changing policies and procedures; or
- Combining or separating duties to create different positions or posts.

You should explore these and other ideas as they present themselves.

If you change your operations, revise the chart, and continue through the process.

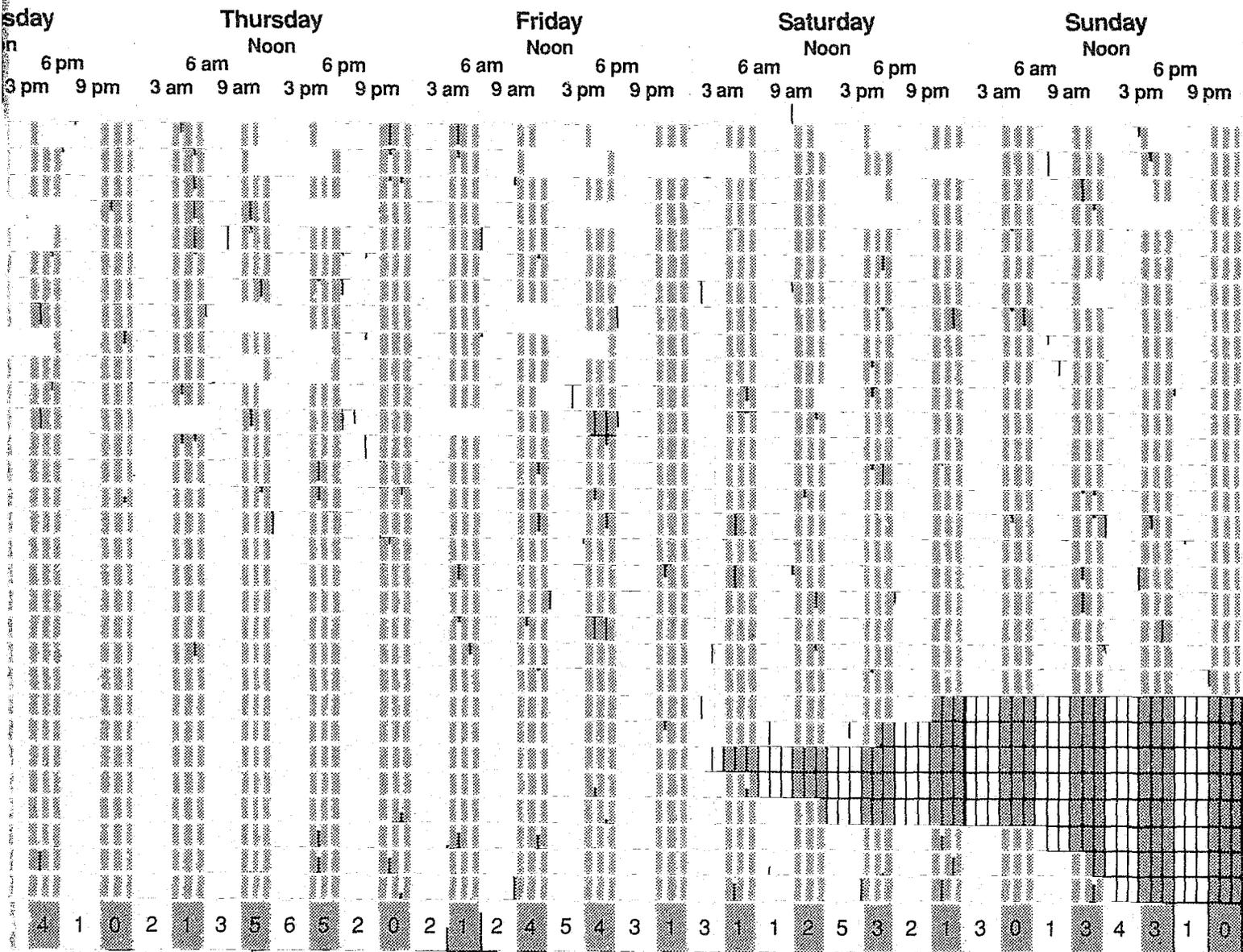
Use one line for each activity/operation

ACTIVITY/OPERATION:	Monday						Tuesday						Wednesday									
	3 am	6 am	9 am	Noon	3 pm	6 pm	9 pm	3 am	6 am	9 am	Noon	3 pm	6 pm	9 pm	3 am	6 am	9 am	Noon	3 pm	6 pm	9 pm	
1. Meal Service																						
2. Peak Admissions/Releases																						
3. Visiting																						
4. Exercise & Recreation																						
5. Sick Call/Meds																						
6. Commissary																						
7. Religious Services																						
8. Programs																						
9. Industries																						
10. Prisoner Transports																						
11. Mail																						
12. Clean-up																						
13.																						
14.																						
15.																						
16.																						
17.																						
18.																						
19.																						
20.																						
21.																						
22.																						
23.																						
24.																						
25.																						
26.																						
27.																						
28.																						
29.																						
30.																						
TOTALS..... (Record on Form 3B)	2	1	3	3	4	3	2	0	2	1	2	4	4	3	2	0	2	1	2	3	4	4

NOTE: When recording totals at the bottom of each column, count the number of lines (activities) that occur at any time during the three-hour segment. Do not total all hours.

# FORM 2A

## Intermittent Activities/Operation Chart



Source: Rod Miller and Dennis Liebert, *Staffing Analysis Workbook for Jails*, National Institute of Corrections, January 1988

FLOWCHART: COMPREHENSIVE STAFFING ANALYSIS PROCESS

### 3. Determining Coverage and Assignment

The third step in the staffing analysis process produces an initial staff coverage and assignment plan.

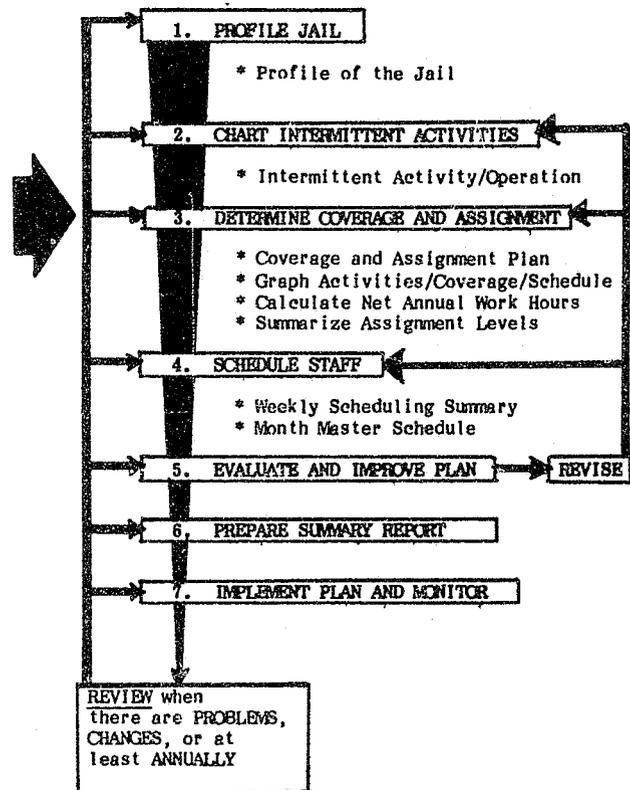
It is perhaps the most difficult for many because it may seem a bit intimidating. The staffing analysis process "takes the pressure" off of this step by preceding it with two steps that set the stage (profile, operations/activities), and by ensuring that the first attempt only begins the process and is followed by thorough evaluation (Step 5).

You will use four forms to complete this step. After you chart your coverage and assignment plan on Form 3A and graph coverage levels on Form 3B, you will use Form 3C to determine the "relief factor" for each classification of staff. Finally, Form 3D provides an opportunity to summarize staff assignment decisions.

Creating the initial staff coverage plan is a "trial and error" process for even the most experienced manager. It is a process of defining posts (fixed and roving) and positions and then determining the times each must be filled during a 7-day period.

During this phase of the staffing analysis process, ignore staff assignment logistics (shifts, numbers of positions, FTEs, etc.). All too often, existing assignment logistics become the driving force during the development of coverage needs, frequently resulting in coverage that is comfortable or convenient rather than necessary.

The coverage plan (Form 3A) is to be completed in two stages: the first involves identifying posts that are constant throughout each day of the week. These are the minimum staff coverage for the facility and represent the absolute lowest level of coverage that is feasible in the facility at any time. The second stage of the process identifies the additional periodic coverage needed to respond to intermittent needs and activities. These are posts, roving posts, and positions that are not constant throughout each day. Use Form 3A to create your coverage plan.



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STEP 3: Determine Coverage and Assignment.....Narrative (Continued)

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Defining Jobs in the Facility

An integral part of the coverage and assignment process requires the definition of "jobs" in the facility. A job is comprised of a finite number of tasks, duties and responsibilities assigned to a position or classification of staff member. Existing facilities have already established a set of jobs, and should have written job descriptions for each. Jobs may be very specific, or a few job classifications may cover the entire facility.

Samples of job classifications and titles were provided by the NIC Information Center) below.

ADMINISTRATIVE UNIT

- **General:** Jail Administrator, Assistant Jail Administrator, Administrative Assistant, Public Information Officer, Internal Affairs Officer
- **Personnel:** Personnel Officer, Training Officer, Payroll Clerk
- **Business:** Business Manager, Budget Officer, Accountants/Account Clerks
- **Clerical:** Administrative Secretary, Receptionist/Typists, Record Clerks, Clerk Typists, Clerks, Switchboard Operators
- **Planning/Research:** Planning/Research Director, Research Assistant, Research Secretaries, Planner

SUPPORT SERVICE UNIT

- **General:** Support Services Unit Supervisor, Secretary
- **Health Services:** Health Services Director, Physicians, Nurse, Physicians Assistant, Technician, Dentist, Pharmacist, Medical Consultant, Orderly
- **Food Service:** Food Service Director, Nutritionist/Dietician, Cook, Food Service Assistant, Baker
- **Miscellaneous:** Barber, Commissary, Property Clerk, Storeroom Officer, Purchasing Officer, Safety Officer, Mail Room Officer, Laundry Worker

PROGRAM UNIT

- **General:** Program Unit Supervisor, Secretary, Volunteer Coordinator
- **Treatment:** Psychologist, Social Worker, Clergy, Counselor, Caseworker, Recreation, Intern, Librarian, Drug Counselor, Alcohol Counselor
- **Diagnostic Personnel:** Psychiatrist, Clinical Psychologist, Social Worker
- **Education:** Director, Vocational Trainer, Academic Instructor, Intern
- **Work Release:** Work Release Coordinator, Job Developer, Instructor, Caseworker, Follow-Up Specialist
- **Classification/Intake:** Classification Officer, Intake Screener, Court Liaison Officer
- **Miscellaneous:** Grievance Officer, Disciplinary Officer, Ombudsman, Program Movement Officers, Legal Services Advisor

SECURITY UNIT

- **General:** Security Unit Supervisor, Secretary, Shift Supervisor, Assistant Shift Supervisor, Area Supervisor, Control Room Officer
- **Intake:** Intake/Release Super., Intake/Release Officer, Property Offic.
- **Records Unit:** Records Supervisor, Booking Clerks, Identification Officer, Property Clerk
- **Special:** Visitation Officer, Dining Room Officer, Reception Officer, Internal Movement Officer, Shakedown Officer
- **Transportation:** Trans. Supervisor, Trans. Officer, Courtroom Officer
- **Living Units:** Control Room Officer, Living Unit Off., Floor Control Off.

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STEP 3: Determine Coverage and Assignment.....Narrative (Continued)

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Defining jobs is a matter of prior local practice and management style. The coverage plan that emerges from Step 3 may suggest new job titles. These should be carefully considered.

For instance, one county found that several tasks were not being addressed under its current staffing pattern and approach. A new job, "Activities Officer," was created with duties which included supervising prisoner exercise and visiting. The Activities Officer was scheduled for special hours, corresponding to the duties involved, and unmet needs were satisfied efficiently.

Part 1 of Form 3A provides space for listing all job titles and classifications, and reminds you to attach job descriptions for each.

A "job" or "job title" describes a specific set of activities to be implemented by a staff member. A job "classification" describes the type of staff member who can be assigned to a job. For instance, "floor officer," "booking officer," and "control center officer," might be three different jobs defined for a facility; but all three might be staffed by the same classification of staff, such as a Correctional Officer I.

After you establish jobs, make a complete list and be sure that you have prepared detailed and accurate job descriptions. You can then complete Part 1 of Form 3A.

Throughout this phase of the staffing analysis process, existing employee contracts will be an important factor. Often contracts will prohibit changing classifications or even assignments without prior approval of employees. This should not discourage changing the staffing setting, but rather suggest involving staff directly in this analysis and in creating new and better approaches.

A good staffing and assignment plan will be embraced by all involved parties. Giving all parties a chance to participate in its formulation increases the chances of securing approval and cooperation.

#### Assigning Tasks and Functions to Jobs

Having established job titles and staff classifications, you are now ready to assign staff to specific functions in the facility.

Staff assignment determines which type (classification) of staff are assigned to which duties or functions, at which times during the week.

The challenge is to determine which types of staff will perform specific tasks and duties to ensure that the right number of staff, with the right skills are in the right place, at the right time, doing the right thing.

Form 3A is used to record the jobs and positions you create and to display the coverage plans for each. Follow the instructions for Form 3A and record the resulting coverage figures on Form 3B.

**STEP 3: Determine Coverage and Assignment.....Instructions- Form 3A, Part 1**

**INSTRUCTIONS FOR COMPLETING FORM 3A**

The "Staff Assignment and Coverage Chart" (Form 3A) matches the 7 day scale on Form 2A, the "Intermittent Activities/Operations Chart" and is designed to be compared with it. Form 3A is divided into four parts, which should be completed in order.

**PART 1**

Part 1 of Form 3A requires the identification of all distinct posts, positions, or functions within the facility. To complete this part of the form

- Assign a code number and/or letter to each distinct item.
- Describe the post, position, or function (e.g., Master Control, Classification Officer, Escort Officer)--this will often be a job title.
- Determine the classification of the staff member who will fill the post/position or function; some posts may require special staff. For example, in some facilities, officers who perform intake functions are a separate classification. Some facilities even use non-sworn personnel in these and other areas; and
- Determine if the post/position is **continuous** (always filled during the hours shown on the chart) or **staff-specific** (only filled when the specific staff member is available). Many positions are not relieved when the staff members are absent for vacations or sick days time (such as Administrator, Ass't Administrator, etc.). This determination is important for later calculations. Check the "Relieved" column if the post/position is relieved.

**SAMPLE-FORM 3A, PART 1**

Part 1:	Code	Title of Post/Position/Function	Staff Classification	Check if Relieved
	CC	Control Center	C.O. I	
	B	Booking/Intake	C.O. I	
	FO	Floor Officers	C.O. I	
	SS	Shift Supervisors	Sgt.	
	R	Rover	C.O. II	
	EX	Exercise Officer	C.O. II	
	(MED)	Medium Pod	C.O. I	
	(MV)	Movement Officer	C.O. I	
	MN	Minimum Security	C.O. I	

**STEP 3: Determine Coverage and Assignment.....Instructions-Form 3A, Part 2**

**PART 2**

Part 2 of Form 3A allows you to record the actual coverage hours needed to operate the facility on a chart that is similar to the one used in Form 2A. You will fill in Part 2 in two steps, starting with the minimum coverage needs, and then recording the additional coverage needs to correspond with intermittent activities.

Determining Minimum Coverage Needs. To calculate the needed staff coverage, first consider the tasks, activities, and unplanned contingencies that are **constant** throughout each day and night, seven days each week. These include but are not limited to

- Implementing ongoing prisoner supervision
- Admitting new prisoners
- Releasing prisoners
- Supervising and controlling prisoner movement
- Providing "backup" support for emergencies  
(e.g., evacuating the building when there is a fire)
- Supervising staff.

Considering these basic tasks and contingencies in your facility, you can develop the minimum staff coverage level for the facility. You may want to describe the minimum staffing on a chart like the one below, before using Form 3A, Part 2.

**SAMPLE WORKSHEET: Minimum Staffing**

<u>Position/Post Title</u>	<u>Tasks, Assignment Areas</u>
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

Recording Minimum Coverage Needs. For each post or position you determined to be part of the minimum staff coverage needs

1. Record the code number/letter in the left column;
2. Make a solid line to represent all hours which are to be covered; and
3. Count the total number of hours to be covered and record in the column at the end of the line.

---

**STEP 3: Determine Coverage and Assignment.....Instructions-Form 3A, Part 2**

---

Determining Additional Coverage Needs. Next, determine the **additional coverage** that is needed to respond to the intermittent tasks and activities displayed on the Intermittent Operations/Activities Chart (Form 2A). There may be a tendency to attempt to extend or overstate coverage needs to make the chart look more continuous; try to make coverage needs correspond closely to the activities which you charted on Form 2A.

As you develop coverage plans refer regularly to the patterns of the operations/activities chart (Form 2A). Do the activity levels generally correspond to the coverage levels?

During this phase of the process, several types of improvements and innovations may present themselves, including:

- Rescheduling certain activities to "level-out" peak periods of events during the week;
- Changing policies and procedures; or
- Combining or separating duties to create different positions or posts.

You should explore these and other ideas as they present themselves. If they are feasible and will be implemented, then coverage plans and subsequent analyses may reflect them. Be sure to document these changes as they are made.

Developing an initial coverage plan is a trial and error process-- use a pencil.

Where do you start? Have a reduced set of floorplans in front of you when you begin, then

1. Define fixed posts - determine exact locations for posts that require staffing during a period of time (such as control centers). Define each one, record on the plans and the key, and fill in the time blocks corresponding to the hours the post should be covered.
2. Define roving posts - determine, on the plans, the areas (zones) to be covered by each roving post. Show each zone on the plans, assign an identifying name and record on the key. Fill in the blocks corresponding to the hours that each post needs to be covered.
3. Define Additional Tasks and Functions - determine the types of additional functions to be implemented. Place an "X" in each time slot needed to be filled by each function (or darken the space). Consider grouping compatible functions together, as possible.

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**STEP 3: Determine Coverage/Assignment....Instructions- Form 3A, Parts 2, 3, 4**

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4. Consider Other Types of Personnel and Activities. Examine needs for program and support activities, classification of prisoners, food service personnel, and other types of staff who might have been forgotten. Classify each type of staff member and record coverage needs on the chart.

As you identify additional needs, describe each one on the chart and darken the appropriate spaces on the chart. Be careful as you determine coverage needs for each function; do not let current practices or shift patterns color your decision.

For each post/position or function:

1. Record the code number/letter in the left column;
2. Make a solid line to represent all hours which are to be covered; and
3. Count the total number of hours to be covered and record in the column at the end of the line.

PART 3

Part 3 of the form asks you to review the coverage hours for each period, to be used on the graph (Form 3B). This is identical to the format used in Form 2A.

To complete the bottom line, count the maximum number of lines which are darkened during each three-hour cut-off (count at 3 A.M., 6 A.M., 9 A.M., 12 P.M., 3 P.M., 6 P.M., 9 P.M., 12 A.M.) and record the number in the appropriate space. For instance, if one line (e.g. control room) is only "darkened" for two hours, you would still count it as "1" below. The total at the bottom of each column should represent the maximum number of staff members assigned at any time during the three-hour period. You will be using this information later.

PART 4

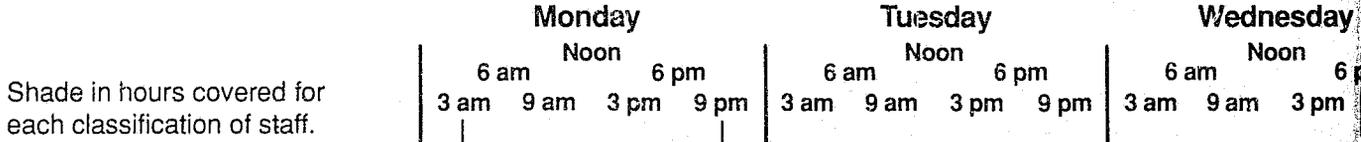
Part 4 of the form is a summary of coverage hours by classification of staff. Using the coverage hours that you recorded in the right-hand column on Part 2, total the number of coverage hours for each classification of staff and record on Part 4.

**Part 1:**

Code	Title of Post/Position/Function	Staff Classification	Check if Relieved
CC	Control Center	C.O. I	
B	Booking/Intake	C.O. I	
FO	Floor Officers	C.O. I	
SS	Shift Supervisors	Sgt.	
R	Rover	C.O. II	
EX	Exercise Officer	C.O. II	
(MED)	Medium Pod	C.O. I	
(MV)	Movement Officer	C.O. I	
MN	Minimum Security	C.O. I	

**DIRECTIONS**

- Part 1: Assign a code corresponding to each classification level.
- Part 2: Record each classification level for each day of the week.



- (CC) Control Center
- (B) Booking/ID
- (FO) Max Wing
- (FO) Flex Wing
- (FO) Juvenile
- (SS) Shift Supervisor
- (R) Rover
- (EX) Exercise Officer
- (MED) Medium Pod
- (MV) Movement Officer
- (MN) Min. Security

Start with minimum coverage needs. Then chart intermittent needs.

COLUMN TOTALS (Record on Form 3B)

7	7	10	10	11	11	11	10	7	7	10	10	11	11	10	10	7	7	10	10	11	11
---	---	----	----	----	----	----	----	---	---	----	----	----	----	----	----	---	---	----	----	----	----

**Part 3:**

**Part 4:**

Staff Classification	Total Coverage Hours
C.O. I	1176
C.O. II	203
Sgt.	168

Staff Classification	Total Coverage Hours



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**STEP 3: Determine Coverage and Assignment.....Instructions - Form 3B**

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**INSTRUCTIONS FOR COMPLETING FORM 3B**

This form will be used frequently during the process, so you will want to complete it carefully and keep it close at hand.

This form is a graph that allows you to record

- Activities and operations levels (from Form 2A);
- Coverage and assignment levels (from Form 3A); and
- Scheduling levels (from Form 4A).

By recording information from each step on this graph, you will be better able to analyze the character of your jail and the correlation between activities, proposed coverage, and staffing levels that are planned.

When you finish each form (2A, 3A, 4A), you should record the last line of numbers (bottom of form) onto the appropriate line at the top of Form 3B.

After you record a line of numbers, you may create a graph that represents the figures. Note the key on the form that tells you the type of line to use for each set of numbers:

Line 2A-use a solid line \_\_\_\_\_

Line 3A-use a dashed line -----

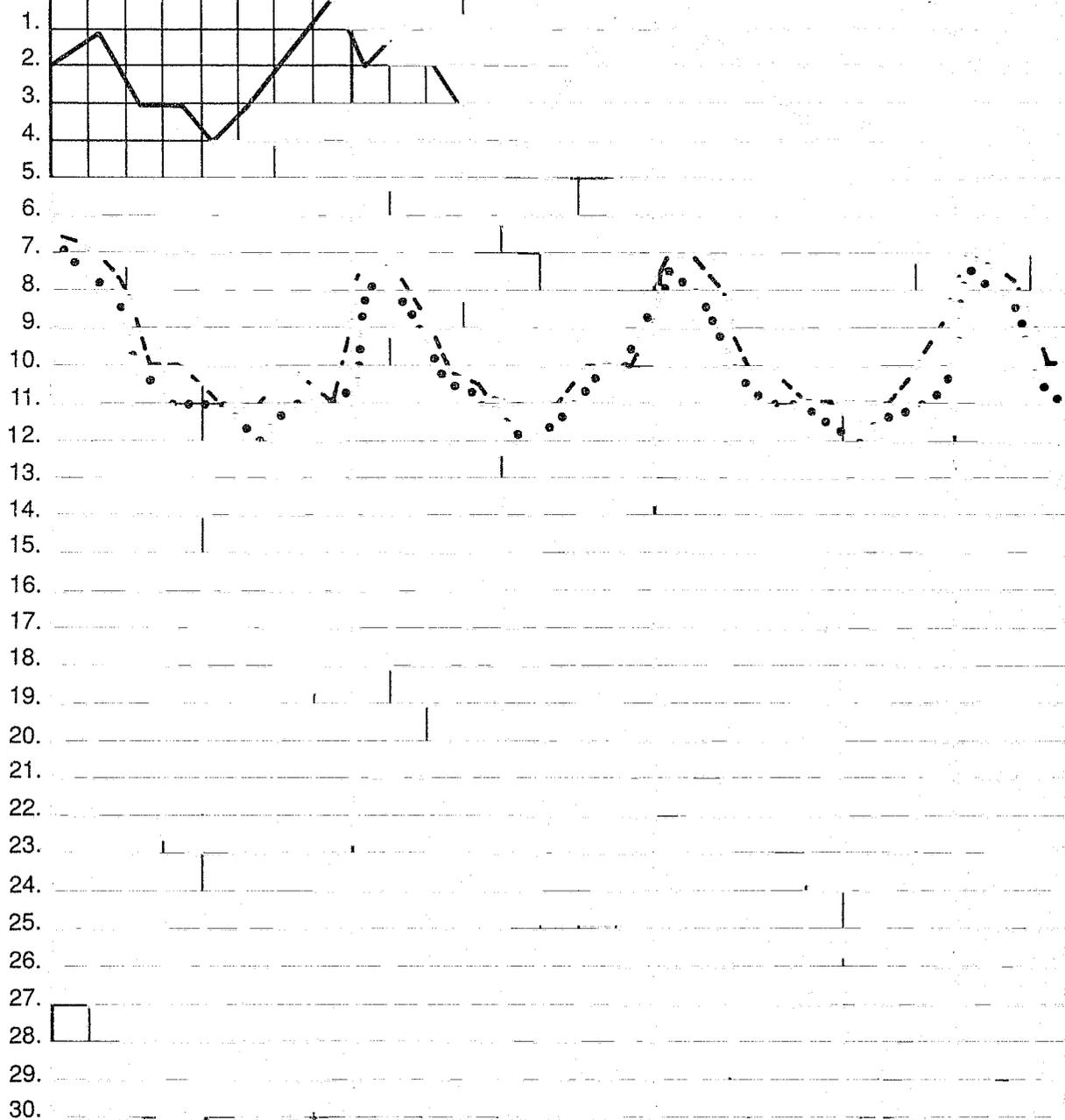
Line 4A-use a dotted line .....

Create the graph line by making a dot to correspond to each number, and then connect the dots with the appropriate type of line.

KEY FOR GRAPH:

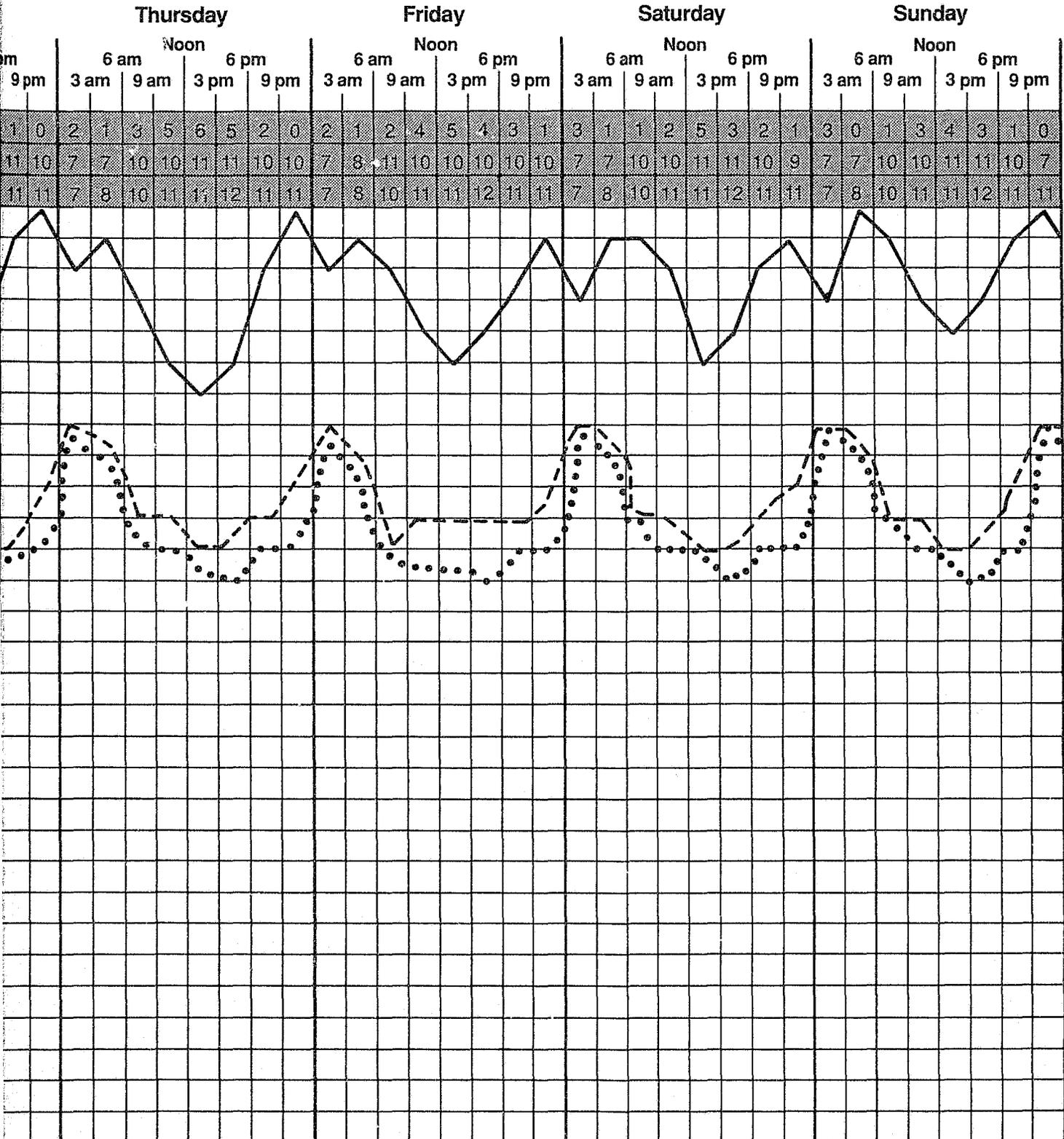
- 2A (Activities)
- - - 3A (Coverage)
- 4A (Schedule)

RECORD TOTALS FROM	Monday				Tuesday				Wednesday				Th														
	3 am	6 am	9 am	Noon	3 pm	6 pm	9 pm	3 am	6 am	9 am	Noon	3 pm	6 pm	9 pm	3 am	6 am											
2A. Activities/Operations	2	1	3	3	4	3	2	0	2	1	2	4	4	3	2	0	2	1	2	3	4	4	1	0	2	1	3
3A. Assignment & Coverage	7	7	10	10	11	11	11	10	7	7	10	10	11	11	10	10	7	7	10	10	11	11	11	10	7	7	10
4A. Scheduling	7	8	10	11	11	12	11	11	7	8	10	11	11	12	11	11	7	8	10	11	11	12	11	11	7	8	10



# FORM 3B

## Graph



Source: Rod Miller and Dennis Liebert, *Staffing Analysis Workbook for Jails*, National Institute of Corrections, January 1988

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**STEP 3: Determine Coverage and Assignment.....Instructions-Form 3C**

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**INSTRUCTIONS FOR COMPLETING FORM 3C**

**Determine Your "Net Annual Work Hours"**

You need to translate the assignment plan into FTE (Full-Time Equivalents) for budgeting and management purposes. This process is divided into two segments--posts and positions. By definition, positions are not filled continuously and are automatically one full-time equivalent (FTE) for each.

Posts are a different matter. Filling a single post, 24 hours daily, 365 days, requires from 4.5 to 5.8 full-time-equivalents. It is necessary to calculate the net number of hours an employee delivers each year for each job classification. Many classifications will have the same "Net Annual Work Hours," (NAWH) but some will vary because of differences in vacation and training. For example, entry level staff may have a lower NAWH because of the amount of initial training required during the first year of employment.

Form 3C provides a format and instructions for calculating necessary NAWH. This form is a new adaptation of similar forms that have been applied in correctional and other settings. This form uses hours as the basis for calculation.

Complete a column for every classification of staff for which there is substantial variation. For example, if control center operators are provided with more training than other staff, a separate NAWH should be calculated in a column. Similarly, supervisory staff may have accrued substantially more time off, requiring a separate calculation of NAWH.

Complete each line of the form. If an item is not applicable to your facility, fill-in "NA" and continue. You will probably have to convert "days" to hours, as most employee contracts are based on days (days off, training days, etc.). Usually one day will equal eight hours; however, if your facility operates on other than a 40 hour standard week, remember to adjust your calculations accordingly (e.g., a 43 hour contract week would yield an 8.6 hour day).

# Form 3C

## NAWH Worksheet Calculating "Net Annual Work Hours"

Introduction. This form is a special adaptation of similar forms that have been applied in correctional and other settings. This form uses hours as the basis for calculation.

(specify staff classification)

NAWHC

Directions. Complete a column for every classification of staff for which there is substantial variation. For example, if control center operators are provided with more training than other staff, a separate NAWH should be calculated in a column.

Complete each line of the form. If an item is not applicable to your facility, fill in "NA" and continue. You will probably have to convert "days" to hours, as most employee contracts are based on days (days off, training days, etc.).

Usually one day will equal eight hours; however, if your facility operates on other than a 40 hour standard week, remember to adjust your calculations accordingly (e.g., a 43-hour contract week would yield an 8.6-hour day).

	C.O. I	C.O. II	Sergeant		
1. Number of hours per year the employee is "contracted for" (if a regular work week is 40 hours, then 40 times 52.14 weeks = 2,086)....	2086	2086	2086		
2. Number of vacation hours per employee per year....	80	100	120		
3. Number of holiday hours off per employee per year.	88	88	88		
4. Number of sick hours off per employee per year....	70	60	55		
5. Number of training hours off per year.....	110	40	60		
6. Number of other hours off per employee per year... (Personal leave, military leave, etc.)	10	10	10		
*7. Number of hours off per year for breaks..... * Optional- may be an item in contracts	--	--	--		
8. Total number of hours off per employee per year.... (2 + 3 + 4 + 5 + 6 + 7 = total hours off)	358	298	333		
9. NET ANNUAL WORK HOURS (Subtract #8 from #1).....	1728	1788	1753		

Source: Rod Miller and Dennis Liebert, Staffing Analysis Workbook for Jails, National Institute of Corrections, January 1988

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**STEP 3: Determine Coverage and Assignment.....Instructions- Form 3D**

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INSTRUCTIONS FOR COMPLETING FORM 3D

Summarize Staffing. Form 3D provides a worksheet on which you may summarize the decisions and calculations from this step of the process. Space is provided to allow you to record the following for each classification of staff:

- Annual number of coverage hours
- "Net annual work hours" (NAWH) to be applied
- Total number of "full-time equivalent" (FTE) staff needed.

Directions.

Staff Classification. Each line of this form should represent a distinct classification of jail employee (e.g., corrections officer, intake officer, cook, etc.). Use the classifications previously identified in Form 3A, and for which figures were calculated on Form 3C.

A. Number of Coverage Hours. Form 3A, Part 4, provides a summary of necessary weekly coverage hours for each job classification. Record those figures in this column.

B. Hours Needed. To determine the number of actual staff hours needed to meet coverage needs, multiply the number of weekly coverage hours (column A) by 52.14 (representing the number of weeks per year- 365 days divided by 7 days/week). The product represents the number of actual hours needed each year to provide the level of coverage.

C. Net Annual Work Hours (NAWH). Record in column C the Net Annual Work Hours calculated on Form 3C (line 9) for the appropriate classification of staff.

D. Total FTE Staff Needed. To determine the number of "Full-time equivalent" staff required to provide needed coverage, divide the hours needed (B) by the Net Annual Work Hours (C). The result will represent the number of full-time staff who would be required to provide the net actual hours in the staff assignment plan.

E. Rounded Number of FTE Needed. Use of this column is optional. It allows you to record a number for FTE needs which has been rounded off to the nearest whole number. If you use the non-rounded figures, you will have to use part-time staff or full-time staff working extra hours, to meet the "odd" fraction of FTE needs. If this is not practical or desirable in your operation, use a rounded number.



## 4. Scheduling

Having completed the sometimes tedious process of creating a viable coverage plan, it is now possible to focus your energies on developing an approach to staffing the facility that efficiently meets coverage needs.

Consideration of staff scheduling has been deliberately divorced from the process of determining coverage needs. If you have been successful in this, the resulting schedule will probably seem inconsistent with your current or planned approaches to staff assignment and scheduling. View this as an opportunity, rather than a problem.

After you develop a coverage and assignment plan (Step 3), you may apply substantial creative effort to the challenge of creating an efficient and reasonable schedule. The following narrative explores each component of this step.

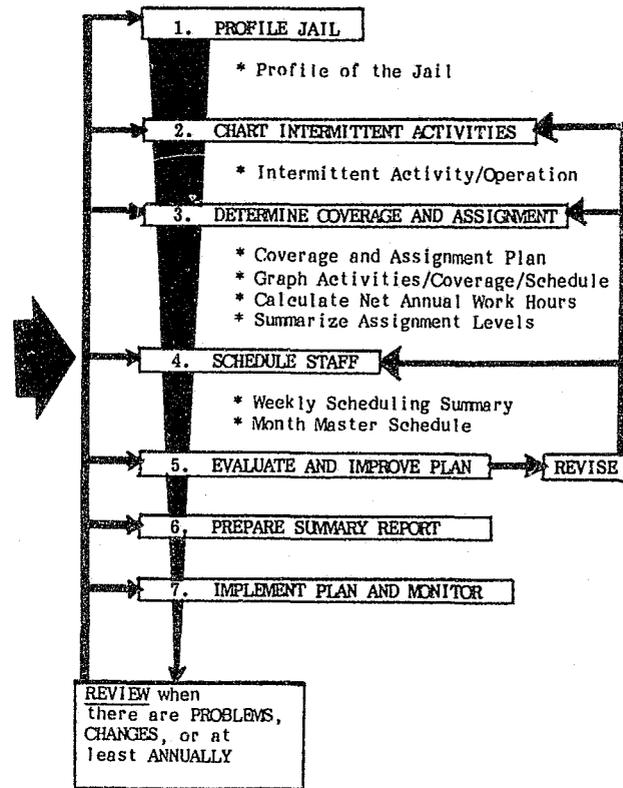
### Creating A Schedule

Scheduling requires decisions about when each type of staff member will be used in the jail and when individual staff will be scheduled. Staff scheduling usually follows two basic cycles-- seven day (traditional) and six day (four on, two off). F. Warren Benton provides a more expansive treatment of organizational issues and approaches in Planning and Evaluating Jail and Prison Staffing. The standard approach to shift patterns is a seven day pattern, with three, eight-hour shifts each day. Benton describes five additional approaches:

- 4/10 (four, ten-hour shifts)
- Flextime
- Shift assignment variation
- Part-time employment
- Split shift.

Many jails use some of these approaches selectively with success. The 4/10 pattern may work for an officer assigned to supervise an eight-hour prisoner work crew; a ten-hour shift allows needed time to set up and wrap up each day. Flextime does not work well for posts (requiring continuity) but may prove productive for certain positions for which hours necessarily vary (such as counselors, assistant administrators).

FLOWCHART: COMPREHENSIVE STAFFING ANALYSIS PROCESS



STEP 4: Scheduling Staff.....Narrative (Continued)

Shift patterns have become more important in light of the United States Supreme Court decision in Garcia v. San Antonio Metropolitan Transit Authority (105 S.Ct 1005, 1985). In this decision, a divided court overturned an earlier ruling (National League of Cities v. Usery, 426 U.S. 833, 1976) that exempted most traditional local government activities from the requirements of the Fair Labor Standards Act. The immediate result for many jails was the restructuring of schedules to avoid paying mandatory overtime. In November 1985, Congress passed a law that eased the impact of Garcia, allowing compensatory time to be awarded as an option, but requiring it to be given at the rate of 1.5 hours per hour worked (taking effect April 1986).

Many jails have explored shift assignment variations and have found that rotating assignments too frequently (more often than two/three months) is not successful because staff have difficulty adapting to new hours. Further, they have found that flexibility in assigning shifts offers a good management tool.

Part-time employees are used in almost every jail. There are appropriate situations for using part-time staff, but often they are used inappropriately to reduce costs (part-timers are usually less expensive). Using part-time staff for routine shift assignment should be avoided; they can fill-in for regular staff if full-time staff are not available. Also, they can be used to respond efficiently to coverage needs that do not rise to a full-shift level. Some jobs lend themselves to part-time staff (e.g., assistant cooks, program staff, etc.). Split shift assignment is often used successfully for jobs such as cooks (who break after lunch until dinner prep begins) and other jobs that are routinely discontinuous.

Shift pattern variations are virtually limitless. One source of many examples is the Manager's Guide to Alternative Work Schedules, published by the Institute of Police Traffic Management. It may be obtained on loan through the NIC Information Center, or a copy may be purchased from the Traffic Institute (Institute of Police Traffic Management, University of North Florida, 4567 St. Johns Bluff Road, S., Jacksonville, Florida, 32216). One sample is shown below. The sample shows a "4/10" schedule where individual staff work four days and have three off. In this example, however, staff change shifts weekly--a practice not suggested for jails.

Days of Week (Four Weeks)

Employee:	M	T	W	T	F	S	S	M	T	W	T	F	S	S	M	T	W	T	F	S	S							
A	0	1	1	1	1	0	0	0	3	3	3	3	0	0	0	2	2	2	2	0	0	0	1	1	1	1	0	0
B	2	0	0	0	1	1	1	1	0	0	0	3	3	3	3	0	0	0	2	2	2	2	0	0	0	1	1	1
C	0	2	2	2	2	0	0	0	1	1	1	1	0	0	0	3	3	3	3	0	0	0	2	2	2	2	0	0
D	3	0	0	0	2	2	2	2	0	0	0	1	1	1	1	0	0	0	3	3	3	3	0	0	0	2	2	2
E	0	3	3	3	3	0	0	0	2	2	2	2	0	0	0	1	1	1	1	0	0	0	3	3	3	3	0	0
F	1	0	0	0	3	3	3	3	0	0	0	2	2	2	2	0	0	0	1	1	1	1	0	0	0	3	3	3

1 = 1st Shift 2 = 2nd Shift 3 = 3rd Shift 0 = Offdays

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STEP 4: Scheduling Staff.....Narrative (Continued)

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Consider Using Alternative Work Schedules.

Because the jail is such a complex organization and staffing needs are often unique, one creative response is to adopt alternative work schedules (see page 41). Although changing work schedules can be an emotional and initially difficult task, the benefits may include:

- Improved staff morale as job satisfaction increases.
- Less turnover, less sick time, and improved quality and quantity of work.
- Savings to the organization by increasing the efficiency with which staff are used.

Careful use of alternative work schedules can reduce the gap between total coverage hours needed to operate the jail (Form 3A) and total hours of staff assigned (Form 4A).

The chart on page 41 summarizes the descriptive statistics for 24 different alternative schedules. These are drawn from the Alternative Work Schedules book. The chart allows you to compare features of each schedule and to tailor selections to your facility.

The chart describes work schedules which range from eight-hour days to twelve-hour days. Scheduling approaches such as split shifts and flex time are not described on the chart, as they do not lend themselves to this type of analysis. Definitions of key terms on the chart include:

- Cycle--the total of work days and off days necessary for one staff member to rotate through three shifts.
- Normal Work Week--defined in this analysis as 40 hours per week (times 52 weeks = 2,080 hours/year).
- Vacation--based on 12 eight-hour vacation days/year.
- Holidays--based on 9, eight-hour holidays per year.
- Compensatory Time--reflects time earned (as extra pay or as time off) that exceeds the normal workweek. This is particularly important in light of the Garcia decision.

Evaluating Alternative Work Schedules.

When considering alternative work schedules, you must weigh several factors. Often you will be forced to trade-off benefits and costs between these factors as you make your selection.

1. Hours of Operation and Time Frames. While many of the jail functions operate 24-hours per day, others may operate substantially less (visiting areas, public reception, etc.). If you examine each component of the jail, you may find that different work schedules fit each best.

		8 HOUR WORKDAY						9 HOUR WORKDAY				1
		5-2	5-2 Variable	3-2 7-2 5-2	6-2	6-2 6-3	7-2 7-3	4.5 2.5	5-2 5-3	6-3	7-3 7-4	4-3
CONSECUTIVE WORKTIME REQUIRED	Hours/Day	8	8	8	8	8	8	9	9	9	9	10
	Days/Week	5	5	3,7,5	6	6	7	4.5	5	6	7	4
WORKDAYS AND OFFDAY CYCLE	1st Shift	5-2	5-2	3-2	6-2	6-2	7-2	4.5-2.5	5-2	6-3	7-3	4-3
	2nd Shift	5-2	5-2	7-2	6-2	6-2	7-2	4.5-2.5	5-3	6-3	7-4	4-3
	3rd Shift	5-2	5-2	5-2	6-2	6-3	7-3	4.5-2.5	5-3	6-3	7-4	4-3
POSSIBLE SHIFT HOURS	1st Shift	0700-1500	0700-1500	0700-1500	0700-1500	0700-1500	0700-1500	0700-1600	0700-1600	0700-1600	0700-1600	0700-1700
	2nd Shift	1500-2300	1500-2300	1500-2300	1500-2300	1500-2300	1500-2300	1500-2400	1500-2400	1500-2400	1500-2400	1500-010
	3rd Shift	2300-0700	2300-0700	2300-0700	2300-0700	2300-0700	2300-0700	2300-0800	2300-0800	2300-0800	2300-0800	2300-070
SCHEDULED WORK CYCLE	Days/Cycle	21	21	21	24	25	28	21	23	27	32	21
	Cycle/Year	17.33	17.33	17.33	15.17	14.56	13.00	17.33	15.83	13.48	11.38	17.3
NUMBER OF WORKDAYS	Per Shift	5	5	3,7,5	6	6	7	4.5	5	6	7	4
	Per Cycle	15	15	15	18	18	21	13.5	15	18	21	12
	Annually	260	260	260	273	262	273	234	237	243	239	208
NUMBER OF OFFDAYS	Per Shift	2	2	2	2	2 or 3	2 or 3	2.5	2 or 3	3	3 or 4	3
	Per Cycle	6	6	6	6	7	7	7.5	8	9	11	9
	Annually	104	104	104	91	102	91	130	127	121	125	156
WEEKENDS OFF ANNUALLY	Full	52	0-26	34	6	8	14	52	14	10	14	52
	Partial	0	0-26	0	14	14	0	0	14	12	6	0
NUMBER OF OTHER OFFDAYS	Holidays	9	9	9	9	9	9	8	8	8	8	7.2
	Vacation	12	12	12	12	12	12	11	11	11	11	9.6
	Compensatory	0	0	0	13	2	13	0	6	12	8	0
COMPENSATORY COMPUTATION	Workdays	260	260	260	273	262	273	208, 52	237	243	239	20
	Times hours	8	8	8	8	8	8	9, 4	9	9	9	10
	= Total	2080	2080	2080	2184	2096	2184	2080	2133	2187	2151	20

# DESCRIPTIVE STATISTICS

## ALTERNATIVE WORK SCHEDULES

Assembled from: *Manager's Guide to Alternative Work Schedules*, Institute of Police Traffic Management, Univ. of North Florida

Y	10 HOUR WORKDAY				11 HOUR WORKDAY			12 HOUR WORKDAY						
	7-3 7-4	4-3	4-2 4-3	5-3 5-4	6-4	4-3 3-4	5-4 5-5	6-5	3-3	3.5 3.5	4-4	5-5	6-6	7-7
9	10	10	10	10	11	11	11	12	12	12	12	12	12	12
7	4	4	5	6	3 or 4	5	6	3	3.5	4	5	6	7	
7-3	4-3	4-2	5-3	6-4	4-3	5-4	6-5	3-3	3.5-3.5	4-4	5-5	6-6	7-7	
7-4	4-3	4-3	5-3	6-4	4-3	5-4	6-5	3-3	3.5-3.5	4-4	5-5	6-6	7-7	
7-4	4-3	4-3	5-4	6-4	3-4	5-5	6-5	None	None	None	None	None	None	None
0700-1600	0700-1700	0700-1700	0700-1700	0700-1700	0700-1800	0700-1800	0700-1800	0700-1900	0700-1900	0700-1900	0700-1900	0700-1900	0700-1900	0700-1900
1500-2400	1500-0100	1500-0100	1500-0100	1500-0100	1500-0200	1500-0200	1500-0200	1900-0700	1900-0700	1900-0700	1900-0700	1900-0700	1900-0700	1900-0700
2300-0800	2100-0700	2100-0700	2100-0700	2100-0700	2000-0700	2000-0700	2000-0700	None	None	None	None	None	None	None
32	21	20	25	30	21	28	33	12	14	16	20	24	28	
11.38	17.33	18.20	14.56	12.13	17.33	13.00	11.03	30.33	26.00	22.75	18.20	15.17	13.00	
7	4	4	5	6	3 or 4	5	6	3	3.5	4	5	6	7	
21	12	12	15	18	11	15	18	6	7	8	10	12	14	
239	208	218	218	218	191	195	199	182	182	182	182	182	182	182
3 or 4	3	2 or 3	3 or 4	4	3 or 4	4 or 5	5	3	3.5	4	5	6	7	
11	9	8	10	12	10	13	15	6	7	8	10	12	12	
125	156	146	146	146	173	169	165	182	182	182	182	182	182	182
14	52	10	16	14	52	26	12	16	52	18	20	22	26	
6	0	18	12	10	0	0	14	18	0	12	10	10	0	
8	7.2	7.2	7.2	7.2	6.55	6.55	6.55	6	6	6	6	6	6	6
11	9.6	9.6	9.6	9.6	8.7	8.7	8.7	8	8	8	8	8	8	8
8	0	10	10	10	2	6	10	9	0	9	9	9	9	9
239	208	218	218	218	191	195	199	182	156, 52	182	182	182	182	182
9	10	10	10	10	11	11	11	12	12, 4	12	12	12	12	12
2151	2080	2180	2180	2180	2101	2145	2189	2184	2080	2184	2184	2184	2184	2184

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STEP 4: Scheduling Staff.....Narrative (Continued)

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2. Days Operated Each Week. Again, many jail operations continue seven days per week, but others may vary. For instance, a jail may operate an industry or work program which closes each weekend. Scheduling of staff for these functions might require alternative approaches.
3. Objectives of the Organization. The goals and objectives of the jail may suggest appropriate scheduling. If your jail places a high priority on prisoner visiting, then visiting hours might be scheduled at the convenience of visitors rather than staff. As a result, work schedules might change.
4. Levels of Activity. Different components of the jail setting might require more intense staff efforts. For instance, maximum security prisoners are more difficult to supervise during outdoor recreation, suggesting the need for additional staff. A creative staffing plan might provide more staff for that function through overlapping shifts.
5. Employee Contracts, Labor Laws. Any potential change in work schedules must be evaluated in light of existing contracts and laws. Involving labor representatives and legal counsel early in the process is advisable.
6. Staff Training. If you find it difficult to provide in-service training for staff, adopting alternative schedules may create new opportunities (overlapping shifts, etc.).
7. Fatigue and Productivity. Research indicates that longer workdays decrease productivity and suggests that corresponding shorter work weeks may offset fatigue. Alternative work schedules must be carefully weighed to ensure that staff are not overly tired and therefore less able to perform critical duties.
8. Scheduling for Different Positions. As you examine the jobs created in your jail, it is likely that some jobs will suggest (or even demand) alternative scheduling.

Ultimately the decision to adopt and implement alternative work schedules will hinge on your assessment of the feasibility of implementing the schedule(s). If compensatory time is excessive, it will be difficult to implement.

Also, you will have to assess whether the changes can be implemented without too much disruption or negative reaction.

The rewards for creative use of alternative work schedules are great enough to overcome most potential logistical problems.

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STEP 4: Scheduling Staff.....Instructions- Form 4A

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INSTRUCTIONS FOR COMPLETING FORM 4A

This form allows you to display your schedule for a one week period and to show graphically how various staff overlap.

**1. List Job Classifications/Titles**

Use the left column to record the individual job titles and classifications you described on Form 3A (Part 2). If schedules will vary within a given classification, then provide a line for each different schedule.

For each classification (or line) use vertical lines to show the beginning and end of each shift. Use code numbers or letters to identify the shift. Darken time periods that are not covered.

**2. Record Total Hours Scheduled**

After all schedules have been recorded, enter the total number of staff scheduled for each time period at the bottom of the page. This should compare favorably with the coverage needs graphed on Form 3B. To make this comparison, record the figures in Part 2 of Form 4A line 4A of Form 3B. Following the instructions on Form 3B, the resulting graph will providing a good starting point for the comparison.

**3. Calculate Weekly and Total Hours**

For each horizontal line, record the total number of scheduled hours per week in the last column (on right). Total these at the bottom of the page. This total shows the number of hours you will be "paying for" to accomplish coverage needs.

The closer this number is to coverage needs, the more efficient your staffing plan is.

INSTRUCTIONS FOR COMPLETING FORM 4B (Optional)

Form 4B has been provided as an optional resource that may help you to display your schedule over a two-month time period. It can be used as a master schedule that will inform individual staff of their assignments.

To use this form:

Part 1. Record the dates at the top of each column.

Part 2. Establish codes for each different shift that will be encountered during the two month period and record them at the bottom of the page.

Part 3. Record individual staff names in the left-hand column. Enter the appropriate code for each day for each staff member.

**INSTRUCTIONS:** Use this form to display y  
the beginning and end of  
period. Darken the hours

**Part 1:**

JOB CLASSIFICATION/TITLE

1. Control Center

2. Booking/ID

3. Max. Wing

4. Flex. Wing

5. Juvenile

6. Rover

7. Shift Supervisor

8. Shift Supervisor

9. Medium Pod

10. Movement Officer

11. Min. Security

12. Exercise Officer

13.

14.

15.

16.

17.

18.

19.

20.

21.

22.

23.

24.

25.

26.

27.

28.

29.

30.

31.

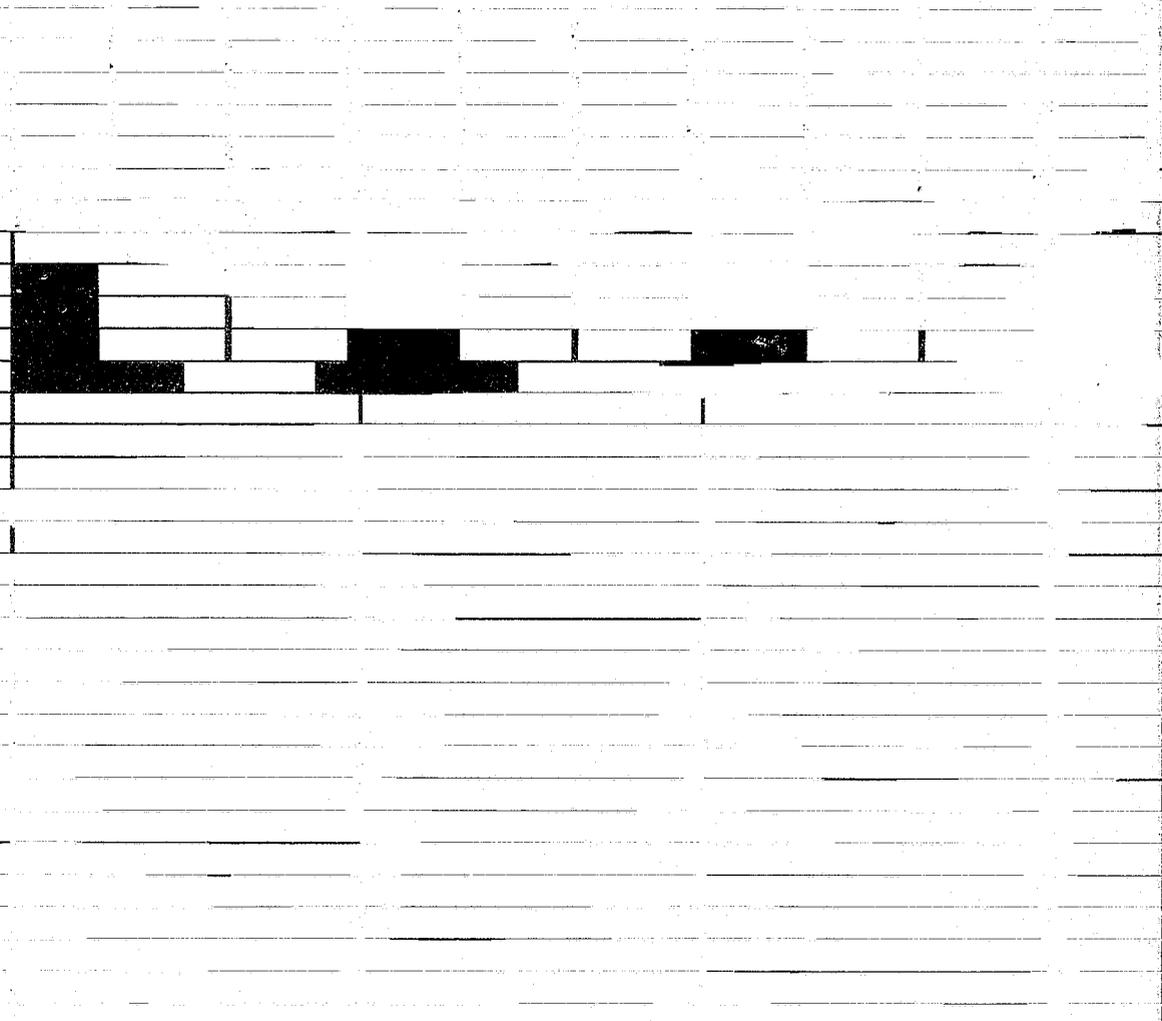
32.

**Monday**

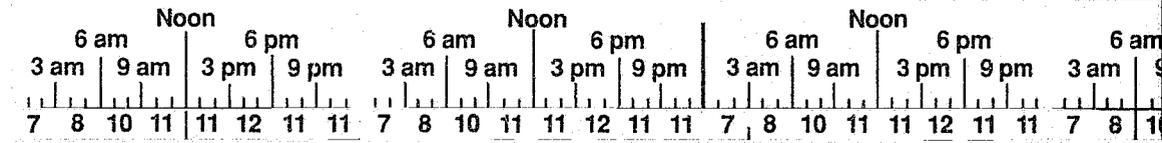
**Tuesday**

**Wednesday**

6 am Noon 6 pm 3 am 9 am 3 pm 9 pm 6 am Noon 6 pm 3 am 9 am 3 pm 9 pm 6 am Noon 6 pm 3 am 9 am 3 pm 9 pm 6 am Noon 6 pm 3 am 9 am 3 pm 9 pm



TOTAL HOURS SCHEDULED  
(Enter on Form 3B)



**Part 2:** 🏠

**NOTE:** When totalling scheduled hours, record the number of *staff* scheduled (maximum) during each three-hour period at the bottom of each column. Do *not* total the number of hours.



**INSTRUCTIONS:** Part 1: Enter dates for  
 across the top  
 Part 2: Assign a code for each day (hours) enclosed  
 Part 3: Record staff names and shifts assigned

**Part 3:**

**Part 1:** Month/Date:

March

Staff Name:	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	
Nichols, Ralph	o	a	a	a	a	a	o	o	a	a	a	a	a	o	o	a	a	a	a	a	o	o	a	a	a	a	a	a	o	o	
Newcomb, Walt	a	o	a	a	a	a	a	o	o	a	a	a	a	a	o	o	a	a	a	a	a	o	o	a	a	a	a	a	o	o	
Hall, Charles	a	a	o	a	a	a	a	a	o	o	a	a	a	a	a	o	o	a	a	a	a	a	o	o	a	a	a	a	a	o	
Lebel, John	b	b	b	o	o	b	b	b	b	b	o	o	b	b	b	b	b	o	o	b	b	b	b	b	o	o	b	b	b	b	
Phinney, Wes	b	b	b	b	o	o	b	b	b	b	b	o	o	b	b	b	b	b	o	o	b	b	b	b	b	o	o	b	b	b	
Clark, Billy	b	b	b	b	b	o	o	b	b	b	b	b	o	o	b	b	b	b	b	o	o	b	b	b	b	b	b	o	o	b	b
Marsh, Ed	c	c	o	o	c	c	c	c	c	o	o	c	c	c	c	o	o	c	c	c	c	c	c	o	o	c	c	c	c	c	
Dauphine, Joe	c	c	c	o	o	c	c	c	c	c	o	o	c	c	c	c	c	o	o	c	c	c	c	c	o	o	c	c	c	c	
Hackett, Frank	c	c	c	c	c	o	o	c	c	c	c	c	o	o	c	c	c	c	c	c	o	o	c	c	c	c	c	o	o	c	c
Lovejoy, Dave	o	o	o	g	g	g	g	o	o	o	g	g	g	g	o	o	o	g	g	g	g	g	o	o	o	g	g	g	g	o	o
March, Noel	g	g	g	g	o	o	o	g	g	g	g	o	o	o	g	g	g	o	o	o	g	g	g	g	o	o	o	g	g	g	
Reynolds, Ed	o	o	o	e	e	e	e	o	o	o	e	e	e	e	o	o	o	e	e	e	e	o	o	o	e	e	e	e	o	o	
Murch, Frank	f	f	f	f	o	o	o	f	f	f	f	o	o	o	f	f	f	f	o	o	o	f	f	f	f	o	o	o	f	f	
Wheeler, Slim	o	o	o	d	d	d	d	o	o	o	d	d	d	d	o	o	o	d	d	d	d	o	o	o	d	d	d	d	o	o	

**Part 2:**

CODES FOR SHIFTS:

o = off  
 H = holiday

Shift:  
 a = 0700 to 1500  
 b = 1500 to 2300  
 c = 2300 to 0700  
 d = 0600 to 1600  
 e = 1500 to 2300

f = 2300 to 0800  
 g = 1200 to 2200  
 h = \_\_\_\_\_ to \_\_\_\_\_  
 i = \_\_\_\_\_ to \_\_\_\_\_  
 j = \_\_\_\_\_ to \_\_\_\_\_  
 k = \_\_\_\_\_ to \_\_\_\_\_

# FORM 4B

## Two-Month Master Schedule

- Part 1: Enter dates for a two-month period across the top line of the form.
- Part 2: Assign a code to each "shift" (work hours) encountered.
- Part 3: Record staff name on each line; fill in assigned shift for each date.

April

24	25	26	27	28	29	30	31	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30
a	a	a	a	a	o	o	a	a	a	a	a	a	o	o	a	a	a	a	a	o	o	a	a	a	a	a	o	o	a	a	a	a	a	o	o	a	a
a	a	a	a	a	o	o	a	a	a	a	a	o	o	a	a	a	a	a	o	o	a	a	a	a	a	o	o	a	a	a	a	a	o	o	a	a	
o	a	a	a	a	a	o	o	a	a	a	a	a	o	o	a	a	a	a	a	o	o	a	a	a	a	a	o	o	a	a	a	a	a	o	o	a	a
b	o	o	b	b	b	b	b	o	o	b	b	b	b	b	o	o	b	b	b	b	o	o	b	b	b	b	b	b	b	o	o	b	b	b	b	o	o
b	b	o	o	b	b	b	b	b	o	o	b	b	b	b	o	o	b	b	b	b	b	o	o	b	b	b	b	o	o	b	b	b	b	b	b	o	o
o	o	c	c	c	c	c	o	o	o	c	c	c	c	c	o	o	c	c	c	c	c	o	o	c	c	c	c	c	o	c	c	c	c	o	o	c	c
c	o	o	c	c	c	c	o	o	c	c	c	c	c	o	o	c	c	c	c	c	o	o	c	c	c	c	c	o	o	c	c	c	o	o	c	c	
c	c	c	o	o	c	c	c	c	o	o	c	c	c	c	c	o	o	c	c	c	c	c	o	o	c	c	c	c	c	o	o	c	c	c	c	c	
o	g	g	g	g	o	o	o	g	g	g	g	o	o	o	g	g	g	g	o	o	o	g	g	g	g	o	o	o	g	g	g	g	o	o	o	g	g
g	o	o	o	g	g	g	g	o	o	o	g	g	g	g	o	o	o	g	g	g	g	o	o	o	g	g	g	g	o	o	o	g	g	g	g	o	o
o	e	e	e	e	o	o	o	e	e	e	e	o	o	o	e	e	e	e	o	o	o	e	e	e	e	o	o	o	e	e	e	e	o	o	o	e	e
f	f	o	o	o	f	f	f	f	o	o	o	f	f	f	f	o	o	o	f	f	f	f	o	o	o	f	f	f	f	o	o	o	f	f	f	f	o
o	d	d	d	d	o	o	o	d	d	d	d	o	o	o	d	d	d	d	o	o	o	d	d	d	d	o	o	o	d	d	d	d	o	o	o	d	d

Source: Rod Miller and Dennis Liebert, *Staffing Analysis Workbook for Jails*, National Institute of Corrections, January 1988

FLOWCHART: COMPREHENSIVE STAFFING ANALYSIS PROCESS

## 5. Evaluating and Improving Initial Staffing Plans

This step is the most important one in the process.

In many ways, the staffing analysis process requires a "trial and error" approach through which you test various operational changes, organizational structures, assignment schemes, and schedules.

The evaluative step is critical for both the veteran staffing analyst and the first-time user. It allows you to examine your work systematically up to this point and to identify problems before a report is written and before the plan is implemented.

Step 5 is the "equalizer" that puts the first-time user on equal footing with someone who has conducted many staffing analyses.

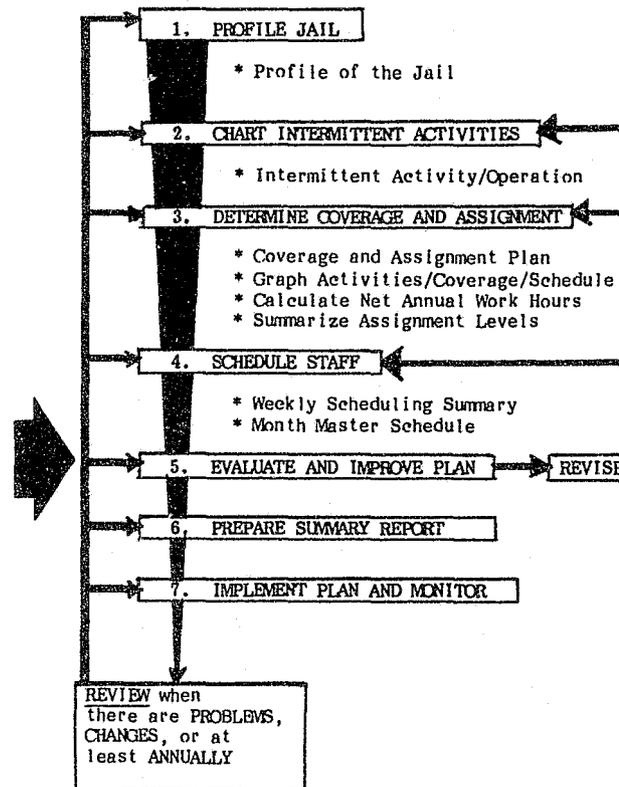
The evaluative step is divided into three components as follows:

- a. Evaluate "Internal" Efficiency and Consistency
- b. Complete Master Evaluative Checklist (Form 5A)
- c. (Optional) Complete Additional Checklists and Evaluative Procedures.

Completing the first two components is considered essential in this process; the third offers additional resources for those who find it necessary or desirable to expand on their evaluative efforts.

The evaluative process identifies problems or deficiencies with your staffing plan. As these are identified, you will need to return to specific steps to revise your work. Form 5A incorporates a "diagnostic" tool to help you determine which step(s) are needed to correct problems.

Because operating and staffing a jail is a creative process, use your imagination to revise the jail operations and facilities. Appendix A describes several "creative solutions" which may inspire an idea for your jail.



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STEP 5: Evaluate and Improve Plan.....Narrative (Continued)

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Responding to identified deficiencies often demands a wider range of changes than simply allocating more staff. As described in more detail in Appendix A, alternatives to consider include:

1. Reallocate existing personnel.
2. Alter facility design.
3. Use audio or video surveillance equipment.
4. Use volunteers or interns.
5. Use contractual services.
6. Improve productivity of existing personnel.
7. Provide more staff training.
8. Change job descriptions and task assignment.
9. Adjust operations.
10. Cross-train staff.
11. Revise hiring practices.
12. Streamline practices, policies, and procedures.
13. Reduce or modify prisoner populations.
14. Reduce services.
15. Use prisoner labor.
16. Use civilian staff to reduce costs.
17. Consider lessening "absolute" separations between prisoners.

Consult Appendix A during the evaluation/revision phase as frequently as needed.

Consider a "brainstorming" approach to improve your plan--assemble a team, put all the deficiencies on the table, and go to it.

Record all changes you make during the revision process, including changes in the jail setting (operations, facility). This will leave important "tracks" which will be helpful later in the process (reports) and in subsequent reviews.

**EVALUATE....REVISE, Then EVALUATE AGAIN**

The changes you make in response to deficiencies may create other problems. Evaluate revised coverage plans thoroughly. Use the results of secondary evaluations to guide further revisions.

Continue with the "evaluate-revise-evaluate" loop until an evaluation yields satisfactory results.

When your staffing plan receives a clean bill of health from an evaluation, you are ready for Step 6.

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STEP 5: Evaluate and Improve Plan.....Narrative (Continued)

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A. Evaluate "Internal" Efficiency and Consistency of Plan

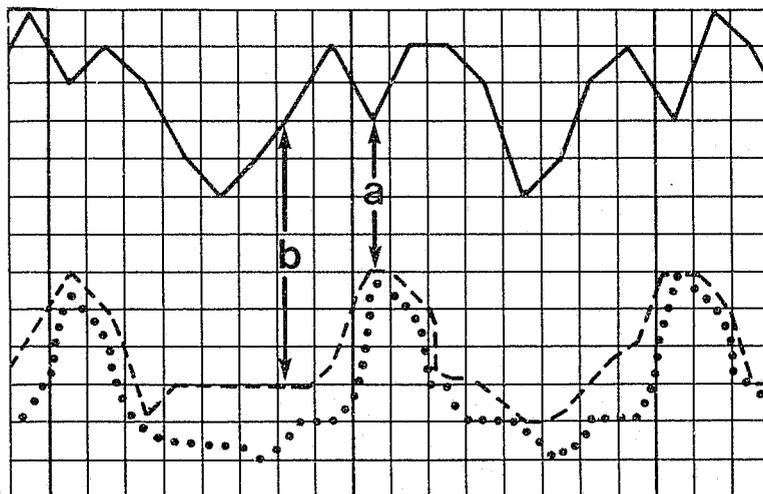
The first component of the evaluation is to carefully review the work which has been recorded on several forms. First, an examination of Form 3B (Graph) will allow you to determine if there is consistency between

- the initial graph of activities (from Form 2A, shown as a solid line on the graph);
- the initial graph of coverage needs (from Form 3A, shown as a dashed line on the graph); and
- the graph showing staff scheduling levels (from Form 4A, shown as a dotted line on the graph).

By comparing these three lines, you will be able to identify inconsistencies between the three components of the analysis.

Compare Activities to Coverage. When activity levels (solid line) do not generally correspond with coverage levels, either of two types of deficiencies may be indicated (see sample below):

- a. Activity levels exceed coverage, indicating times when staff levels may be too low; or
- b. Activity levels are lower than coverage, indicating times when staff levels might be high.



Sometimes the best solution to these deficiencies is to **change activity schedules**, to "level out" peaks and valleys. For instance, in the example above the peak activity level was caused by several activities occurring at one time (exercise, visits, programs). By restructuring the daily schedule, the peak is lowered and coverage levels appear more consistent.

Remember that activities and coverage do not have to correspond exactly. Levels of activity, as shown on the graph, indicate peak periods but do not translate directly into coverage needs. For instance, visiting is listed as one activity, but in some facilities it may require several staff.

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STEP 5: Evaluate and Improve Plan.....Narrative (Continued)

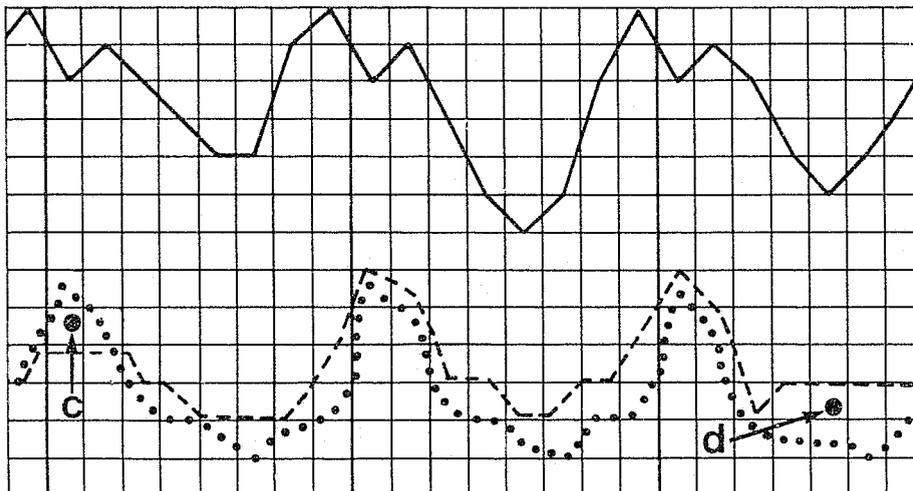
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Your first efforts should bring activities and coverage lines closer together.

Compare Coverage to Schedule. The next focus is on the consistency between coverage needs and staff scheduling levels. These two lines (dashed and dotted) should correspond very closely, as both reflect staff availability (whereas in the previous comparison, activity levels do not always correlate to coverage needs).

As with the previous comparison, a close correlation between the two lines is a good sign. Again, when the lines are not close together, either too many or too few staff are indicated:

- c. Coverage levels exceed assignment, indicating times when assignment levels may be too low; or
- d. Coverage levels are lower than assignment, indicating times when staff levels might be higher than necessary.



The goal in this analysis is to provide enough staff at the right times, without maintaining high levels of staffing when activities do not require them.

Many staffing plans will be deficient because too few staff are assigned. When this happens, tasks go undone, staff are overworked, and sometimes critical errors are made.

Other staffing plans will be deficient because staff assignment does not drop when it can (based on activities and coverage needs). In these instances, all tasks are accomplished, but at a higher cost than might be necessary.

Record deficiencies you have identified using the graph on Form 5A, and continue.

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STEP 5: Evaluate and Improve Plan.....Narrative (Continued)

---

Compare Total Hours. A final method evaluates the efficiency of your staffing plan by comparing

- the total coverage hours required from Form 3A, to
- the total assignment hours from Form 4A, to the
- total scheduled hours from Form 4D.

Each figure should be slightly higher than the previous. This increase, or "slippage," is unavoidable as the reality of staff assignment and scheduling is applied to coverage needs that were based on activity levels.

The proportion or amount of increase between each figure translates into staff costs and should be carefully analyzed. There is no rule of thumb or formula to tell you when the increase is too much, but if it seems reasonable to you, then you are probably in the right range. If the increases seem high, use Forms 2A, 3A, 3B and 4A as the basis for your investigation.

In some instances one or more of these figures may be lower than its predecessor. When this happens, consider it a red flag which tells you that staffing levels may be too low if the plan is implemented. Again, use the various forms to provide the basis for your investigation into this problem.

Record your findings on Form 5A and continue with the evaluation. If you have identified major deficiencies at this point, you may elect to correct them before you proceed with the evaluation. If you do, be sure to pick up this process where you left off. Do not skip to Step 6.

B. Complete the Master Evaluative Checklist

Form 5A provides a methodology for evaluating your staffing plan and its component parts from a variety of perspectives.

- Part 1 addresses internal consistency and plan efficiency.
- Part 2 asks key questions concerning assignment/scheduling.
- Part 3 provides a method to assess operational adequacy.
- Part 4 raises standards compliance issues.
- Part 5 evaluates provisions for "backup".
- Part 6 suggests securing broader review and comment.
- Part 7 provides a summary chart for problems and an aid to diagnose the appropriate responses.

C. Additional Checklist and Evaluative Tools

Appendix C provides two additional evaluative resources. These are optional, although each provides a more detailed and focused evaluation.

1. ACA Standards Checklist (Form 5B-Appendix C)

This 10-page checklist converts relevant elements of the professional standards developed by the American Correctional Association (Adult Local Detention Facilities - Second Edition) into a series of questions for which a "yes" answer indicates compliance.

Completing this checklist provides an indication of compliance with the professional standards and points to weaknesses with the breadth of services provided.

2. Time/Task Analysis Worksheet (Form 5C-Appendix C)

A more complicated tool, this worksheet offers a different perspective on the adequacy of the coverage plan. It requires delineating tasks to be completed at given times, determining the amount of time required to complete each task, and, after adjusting for "down-time," comparing required time with allocated staff.

INSTRUCTIONS FOR COMPLETING FORM 5A

Form 5A provides a comprehensive method to evaluate your initial staffing plans from a variety of perspectives. It is divided into seven parts; instructions are provided on the form for each part.

Part 7 is the final section of the form, and is also the most difficult to complete. It provides a format for recording problems and deficiencies which you identify in the preceding section.

Whenever you discover a problem with the plan, describe the problem on Part 7. Assign each problem statement an identification number (ID #).

After all problems have been recorded, determine which step of the staffing analysis process must be reviewed to correct each problem. For instance, if you find that there are too many activities occurring at a certain time of day for the designated number of staff to handle, start with Step 2-- Activities and Operations, to determine if the schedule can be revised.

### Part 7: Summary of Problems and Deficiencies

Use this part of the form to record all identified deficiencies and problems. You may find that the same problem is identified from a variety of sources; when this happens note all sources.

The columns at the right side of the page allow you to consider: (1) where the problem was identified; and (2) which step(s) of the staffing analysis process should be reviewed to correct the deficiency. Attach additional copies of this page as needed.

Ident. Code	Description of Problem	Source of Identification	To Solve, Go to STEP #...		
			2	3	4
1	Staff levels too high in late p.m.	Part 1	X		X
2	Supervisors not overlapping - 11 p.m.	Part 2		X	X
3	Shift change too close to breakfast	Part 3			X
4	Visiting understaffed	Part 3	X		
5	Midnight shift underworked	Part 6	X		

## 6. Preparing the Staffing Analysis Report

After your staffing plan has "passed" all of the evaluative efforts, the next step is to assemble decisions into a summary document. The centerpiece of this summary, for fiscal management purposes, is the Staffing Summary Form (Form 6A). This form is similar to Form 3D, which summarized assignment and coverage needs.

Completing Form 6A requires combining information from most of the preceding forms and analyses.

Form 6A is a calculation form that is an essential management tool, especially for budgeting. If a classification of staff (e.g., correctional officer) is scheduled to require 19.6 FTE's, but only 17 staff members are budgeted, an additional 2.6 FTE of overtime of part-time labor must be budgeted, or the post(s) will go unfilled intermittently.

### Assembling a Staffing Report

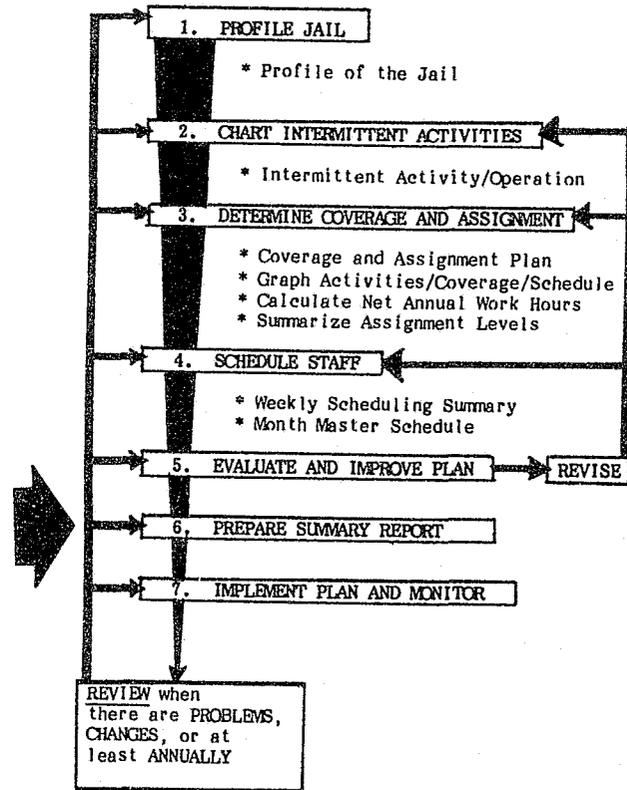
Having completed the staffing analysis process, you may now assemble the materials into a final report. The content and organization of the report should correspond to the audience for which it is intended. Some audiences want to see only the "bottom line" (how much will it cost?). Others want to examine all of the detailed decisions and calculations.

Assemble a complete, final copy of all materials, in order. This will serve as the contents for a master resource for the analysis. It is advisable to prepare some explanatory notes as well; it may be some time before you come back to this resource, and you may forget some of the reasoning.

Providing too little detail is a mistake. Even if some decision-makers are not interested in the "nuts and bolts," it is important to provide some indication of the process used to develop the staff assignment plan.

The outline on the following page provides one approach to a comprehensive staffing analysis report. Assembling this report should be an easy task because it draws upon the work and forms you have already completed.

FLOWCHART: COMPREHENSIVE STAFFING ANALYSIS PROCESS



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STEP 6: Prepare Summary Report.....Narrative and Sample Report Outline

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References in the outline are made (in parentheses) to pages of this Workbook and to forms. You are encouraged to extract sections from the text of the Workbook for inclusion in your report; when you do this, please give appropriate credit.

Adapt the outline as needed to meet the needs of the audience for your report.

**SAMPLE OUTLINE FOR A STAFFING ANALYSIS REPORT**

References in ( ) are to pages of Workbook and forms.

Letter of Transmittal  
and/or  
Executive Summary

Table of Contents

I. Introduction

- A. Purpose of Report
- B. Reason(s) for Conducting Analysis (2,3,4)

II. Staffing Analysis Concepts and Methodology

- A. Jail Characteristics and Issues  
(5-7)
- B. Staffing Analysis Concepts (13)
- C. Methodology (14-15)

III. Summary of Findings and Products

- A. Profile of the Jail Setting  
(17, Form 1A)
- B. Intermittent Activities  
(21, Form 2A)
- C. Coverage and Assignment Plan  
(24, Forms 3A, 3C)
- D. Scheduling  
(38, Form 4A)
- E. Evaluation  
(49, Form 3B and Part 7 of Form 5A)

IV. Summary of Staff Needs

Include Form 6A with narrative

Appendices

Attach additional material (checklists, notes, worksheets, etc.) as needed.

INSTRUCTIONS FOR COMPLETING FORM 6A

Summarize Staffing. Form 6A provides a worksheet on which you may summarize the decisions and calculations from previous steps. Space is provided to allow you to record the following for each classification of staff:

- Annual number of coverage hours scheduled
- "Net annual work hours" (NAWH) to be applied
- Total number of "full-time equivalent" (FTE) staff needed.

Staff Classification. Each line of this form should represent a distinct classification of jail employee (e.g., corrections officer, intake officer, cook, etc.). Use the classifications previously identified in Form 3A, and for which figures were calculated on Forms 3C and 4A.

A. Number of Coverage Hours. Form 4A, Part 3, provides a summary of scheduled weekly coverage hours for each job classification. Record those figures in this column.

B. Annual Scheduled Hours. To determine the number of actual staff hours scheduled each year, multiply the number of weekly coverage hours (column A) by 52.14 (representing the number of weeks per year--365 days divided by 7 days/week). The product represents the number of actual hours scheduled each year.

C. Net Annual Work Hours (NAWH). Record in column C the Net Annual Work Hours calculated on Form 3C (line 9) for the appropriate classification of staff.

D. Total FTE Staff Needed. To determine the number of "Full-time equivalent" staff required to provide scheduled coverage, divide the hours needed (B) by the Net Annual Work Hours (C). The result will represent the number of full-time staff who would be required to provide the net actual hours in the schedule.

E. Rounded Number of FTE Needed. Use of this column is optional. It allows you to record a number for FTE needs which has been rounded off to the nearest whole number. If you use the non-rounded figures, you will have to use part-time staff or full-time staff working extra hours, to meet the "odd" fraction of FTE needs. If this is not practical or desirable in your operation, use a rounded number.



## 7. Implementing and Monitoring

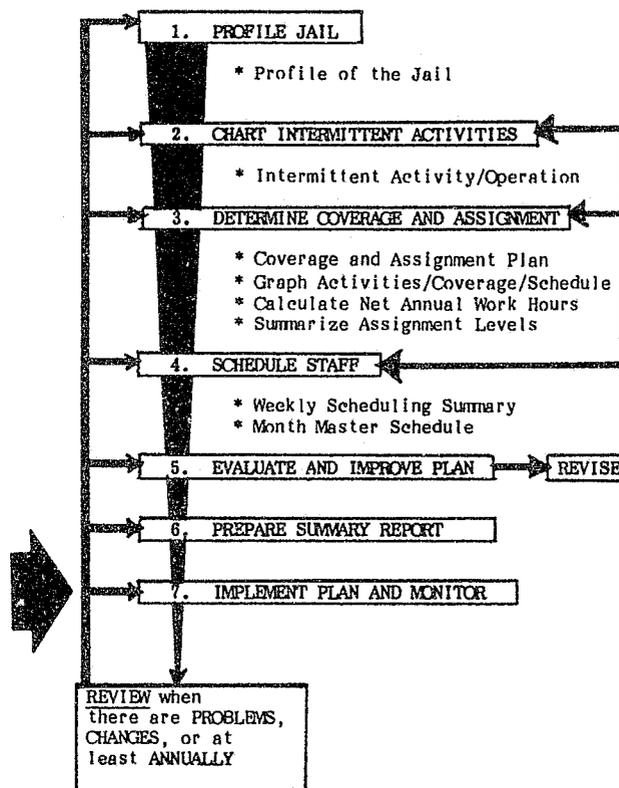
The final step in the staffing analysis process is to implement the staffing plan and monitor its effectiveness.

Implementation will be much easier if staff have been involved with the process.

Before changing staff assignment and scheduling, review relevant employee contracts to ensure that the changes do not violate any provisions. If problems arise, a cooperative effort should resolve them.

Staff should be fully aware of the changes and the underlying reasons before changes are implemented.

FLOWCHART: COMPREHENSIVE STAFFING ANALYSIS PROCESS



Monitoring the effectiveness of the staffing plan is an ongoing function. Form 7A (Appendix C) provides a checklist approach to monitoring the staffing plan and its impact on facility operations.

When problems are identified it will be necessary to revise the plan. When you make changes, remember that the process that produced the plan underscores the complexity of jail operations; be careful to assess the impact of changes on the rest of the plan before they are implemented.

Revising the analysis and plan will be necessary when significant changes occur in the "context" of the jail (facility, population, employee contracts, etc.). Using the initial analysis, revisions may be made efficiently.

Review the plan periodically. Conduct a thorough review at least annually, to correspond with the budgeting cycle of the facility. The flowchart above describes the periodic review loop of the process.

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STEP 7: Implementing and Monitoring.....Instructions-Form 7A

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INSTRUCTIONS FOR COMPLETING FORM 7A

Use the Monitoring Checklist (Form 7A) frequently to determine if the staffing plan is adequate. The checklist is divided into three parts; instructions are provided within each part.

After you identify all problems go back to the appropriate step(s) of the analysis and make necessary revisions. Be sure to document your activities in this area and to amend forms and narratives as needed.

Consider incorporating the preceding actions into your regular operations (through policy and procedures). An ongoing monitoring effort can benefit the jail organization in many ways.

# Glossary of Terms

Coverage Needs or Staff Coverage Needs. A determination of the numbers of personnel needed to operate the jail during a 7-day period, regardless of scheduled shifts of staff assignment patterns. Coverage needs are articulated and evaluated before assignment plans, and schedules are developed to ensure that the needs of the facility, not prior practice, drive the analysis process.

Fixed Post. A post is comprised of periodic duties and responsibilities in an area of the facility (zones). Officers who are assigned to roving posts move freely within their zones (e.g., female housing, intake and holding) during their assigned shifts, performing duties periodically (as defined by post orders) and responding to unscheduled demands for their services.

FTE (Full-Time Equivalent). A term used to translate staffing needs for posts into the number of full-time staff members who are needed to fill any required hours. FTE calculations consider the net amount of time available for a full-time staff member, after time away from the job (vacation, sick time, holidays, training, etc.) is subtracted.

Job Description. A detailed statement of the duties and responsibilities associated with a discreet job classification in the facility, but not necessarily tied to a specific post or shift (e.g. corrections officer, control room officer).

Position. A job held by a specific person and not filled by any other staff member when the person is not on duty (e.g., secretary, classification officer, assistant jail administrator). A position has tasks that can usually be deferred until the staff member is available. Continuity usually distinguishes a post from a position; a post has tasks that cannot usually be deferred.

Position Description. A detailed statement of the responsibilities and duties associated with a particular position in the facility. Also called a job description, although used differently here.

Post. A job that can be filled interchangeably by a number of staff members, defined by its location, time, and duties. Continuity usually distinguishes a post from a position; a post has tasks that cannot usually be deferred.

Power Shift. A shift that overlaps or is substantially different from regular facility shifts. For example, an intake officer might be assigned to work 8 P.M. to 4 A.M. on weekends to coincide with peak periods of admission.

Shift. A defined, recurring period of time to which staff are assigned to work.

Staffing Analysis. A comprehensive and systematic process of determining staff needs (in response to the philosophy, operations, and facility) and developing staff assignment patterns for the facility.

Staff Assignment Pattern. A detailed schedule that assigns specific types of staffs to duties and posts in the facility.

## Glossary (Continued)

Staffing Plan. Same as "Staff Assignment Pattern." A detailed schedule in which types of staff are assigned to duties and posts within the facility. A means to meet "Coverage Needs" consistent with local practices.

Standards. A broad term encompassing mandatory and voluntary minimum performance objectives. Standards provide important guidance for developing and evaluating staffing plans.

Supervision. Staff activities that involve direct, barrier-free contact with prisoners. This includes opportunities to converse and interact directly with prisoners, allowing staff to sense prisoner moods, anticipate problems, and prevent future problems. Studies indicate that such "direct supervision" creates a jail environment that is less stressful for staff and prisoners.

Surveillance. Activities that include observing or monitoring prisoner behavior. Often these are conducted through barriers (e.g., windows) or using audio or visual equipment. Surveillance is achieved when an officer views a housing area or dayroom through an enclosed control station or a closed circuit television monitor. Although surveillance identifies some behaviors, it does not usually help to identify the causes, to anticipate behavior, or to prevent problems. In some instances, surveillance can prove inaccurate, and is usually ineffective as a means of responding to behaviors.

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## II. Resources

AMERICAN CORRECTIONAL ASSOCIATION. 4321 Hartwick Rd., Suite L-208, College Park, MD 30740. Phone (301) 864-1070. Training, technical assistance, referrals, information, and documents.

CONTACT, INC. P.O. Box 81826, Lincoln, NB 68501. Phone (402) 464-0602. Training, technical assistance, referrals, information, and documents.

CORRECTIONS VOLUNTEER INFORMATION SERVICE, (NICOV). P.O. Box 4179, Boulder, CO 80306. Phone (303) 447-0492. Free information clearinghouse for correctional programs using volunteers.

CRS, INC./DETENTION REPORTER. P.O. Box 234, Kents Hill, ME 04349. Phone (207) 685-9090. Publishers of the Detention Reporter, the NIC Jail Resource Materials, and the Detention and Corrections Caselaw Catalog. A non-profit organization providing information, referral, and assistance.

'ERIC' CLEARINGHOUSE IN CAREER EDUCATION. 204 Gabel Hall, Northern Illinois University, DeKalb, IL 60115. A vast resource system operated by the National Institute of Education. Locates materials published on training research, bibliographies, agencies.

THE FORTUNE SOCIETY. 229 Park Avenue So., New York, NY 10003. Phone (212) 677-4600. Ex-convicts engaged in a public information program, provides a Speaker's Bureau; tutoring, counseling, and employment assistance; legislative research and testimony. Publishes Fortune News monthly.

INTERNATIONAL ASSOCIATION OF CHIEFS OF POLICE. Bureau of Administrative Services, 11 Firstfield Rd., Gaithersburg, MD 20760. Information on new technology and equipment, publishes bulletins and an Annual Equipment Directory.

JOHN HOWARD ASSOCIATION. 67 East Madison Street, Suite 1216, Chicago, IL 60603. Manual entitled Volunteers in Juvenile Justice, designed to assist administrators in developing effective volunteer programs.

NATIONAL ASSOCIATION OF COUNTIES: CRIMINAL JUSTICE PROJECT (NACo). 440 First St., N.W., Washington, D.C. 20001. Resource center. (202) 393-6226.

NATIONAL ASSOCIATION OF VOLUNTEERS IN CRIMINAL JUSTICE. C/O PARTNERS, Inc., 1260 West Bayaud, Denver, CO 80223. Phone (303) 777-7000. Promotion and enhancement of volunteerism and administration of volunteer services in the field of criminal justice at all levels.

NATIONAL COUNCIL ON CRIME AND DELINQUENCY. Continental Plaza, 411 Hackensack Ave., Hackensack, NJ 07601. Delinquency prevention, community development, and management training. Public and professional education, criminal justice publications. Research and development of standards.

NATIONAL CRIMINAL JUSTICE REFERENCE SERVICE. Box 6000, Rockville, MD 20850. Phone (301) 251-5500. Information and referral.

NATIONAL INSTITUTE OF CORRECTIONS. 320 First St., NW, Washington, DC 20534. Grants and contracts, training, technical assistance.

NATIONAL INSTITUTE OF CORRECTIONS, JAILS DIVISION. 1790 30th St., Suite 440, Boulder, CO 80301. Phone (303) 497-6700. Training, technical assistance, funding, referrals.

NATIONAL INSTITUTE OF CORRECTIONS INFORMATION CENTER. 1790 30th St., Suite 140, Boulder, CO 80301. Phone (303) 444-1101. Extensive resource materials and library service. Be as specific as possible with all requests.

NATIONAL SHERIFFS' ASSOCIATION. Publications & Research Div., 1450 Duke St., Alexandria, VA 22314. Phone (703) 836-7827.

THE POLICE FOUNDATION. 1909 K Street, N.W., Suite 400, Washington, D.C. 20006.

PRETRIAL SERVICES RESOURCE CENTER. 918 F Street, NW, Suite 500, Washington, DC 20004. Phone (202) 638-3080. Information and documents, technical assistance on pretrial services.

VIP (Volunteers in Prevention, Prosecution, Probation, Prison, & Parole). Div. of the National Council on Crime and Delinquency, 200 Washington Square Plaza, Royal Oak, MI 48067. Phone (313) 398-8550. Provides consultation to groups and individuals interested in starting volunteer programs in courts and correctional institutions. VIP-NCCD publishes a quarterly newsletter, VIP Examiner, on what volunteers are doing in criminal justice.

# Appendix A.

## Creative Solutions/Options to Address Staffing Needs

Because the staffing analysis process is not a finite process, a creative approach to the analysis and staff planning is necessary. The following list describes some innovative ways used by other jail managers to address staffing problems without adding staff. The NIC Information Center has additional information for many of these alternatives (see Resource List).

### 1. Reallocate Existing Personnel

Rather than adding staff, many jails have adjusted the way in which staff are used to correspond more closely with coverage needs. Often this solves existing problems without additional expense. Reallocation may require a restructuring of shifts and assignment practices, but the results are worth the effort and any temporary inconvenience.

### 2. Alter Facility Design

Sometimes simple changes in the facility solve staffing problems. For example, creating an "observation cell" adjacent to an existing post to house violent or suicidal prisoners can reduce critical incidences and may reduce the need for assigning staff on a "one-to-one" basis. Or relocating a post may provide better supervision and sight lines. Adding or deleting doors may improve the security perimeter and circulation.

Creative managers are aggressive in their attempts to adapt the facility to the changing needs of jail operations; short-term costs are usually repaid many times by the savings realized.

### 3. Use Audio or Video Surveillance Equipment

Use of intercoms, portable radios, and closed circuit televisions provides an excellent supplement for staff efforts, but rarely replaces staff efforts. Careful use of such equipment may dramatically improve facility safety and security. Guidelines for using CCTV in detention settings have been published in the Detention Reporter (see CRS, Inc., under Resources).

### 4. Use Volunteers or Interns

Most communities are able to provide a voluntary work force through college and university classes, service clubs, and other groups. The selective and careful use of volunteers and interns has proven very effective in many jails for special services (such as GED tutoring, counseling, recreation programs). If volunteers are used, provisions for careful selection, placement, and supervision must be implemented.

### 5. Use Contractual Services

Many jails contract with local individuals and agencies for specific services (e.g., medical care, counseling, training). Using public and private sector contracts is an excellent way to bring specialized resources into the jail, as you need them, at a low cost. Contracting also provides greater flexibility to change services as needs change.

## 6. Improve Productivity of Existing Personnel

Maximizing efficient use of existing staff resources requires effective

- Supervision
- Assignment
- Training
- Direction (policies and procedures).

Staff productivity in most instances may be improved by refining these management and supervisory functions.

## 7. Provide More Staff Training

Training not only increases staff productivity, but it also offers opportunities to expand the ways in which staff are used. As staff members acquire broader skills, they may be used in new positions and staff assignment patterns, increasing management options for the jail.

Training also improves staff morale, increases the accuracy of job implementation and leads to better productivity.

## 8. Change Job Descriptions and Task Assignment

The way in which jobs are defined offers flexibility to adapt staffing approaches to the jail setting. In some instances, creating more specialized jobs is a solution to unmet needs. At other times, it is logical to combine compatible functions into one job classification rather than specializing; sometimes it is appropriate to separate functions into more than one job.

Restructuring jobs is an effective management tool which responds to each unique jail setting. Many jail managers have found that this approach reduces the number of sworn personnel required to operate the facility.

## 9. Adjust Operations

As indicated in the steps of the staffing analysis process, it is often most efficient to change how the jail is operated. Such changes may "level out" periods of peak activity that cause problems and may fill in low activity periods when the minimum staff component is not fully occupied.

For example, if the midnight shift personnel are underutilized, certain administrative functions may be rescheduled to fill their time (such as filling commissary orders, keeping prisoner account records, updating prisoner files, preparing schedules, etc.).

You may find it necessary to declare certain periods of time "off-limits" for activities (e.g. prisoner count times, dining periods, sick call). Changing the daily plan of the facility, and the rules, may produce desired results.

## 10. Cross-Train Staff

If certain staff members are able to perform more than one function, their available time and energies may be used more efficiently. They will also be able to provide needed back-up functions. Cross-training allows staff to relieve each other for breaks and meals and makes filling vacancies in the schedule more convenient.

## 11. Revise Hiring Practices

Changing the way in which staff are selected may gradually produce a better labor pool, thus increasing management options. Examine current selection criteria and practices in light of identified deficiencies. Often jails have found that by altering the type of staff hired, they may redefine and increase assignment options.

Recently many jails have found that female officers may be used effectively throughout the jail facility, increasing their value to the organization. Court decisions have clearly established that female officers may perform most of the tasks that their male counterparts perform.

## 12. Streamline Practices, Policies, and Procedures

Examine problems to determine if revised approaches will solve them. Streamlined practices (e.g., paperwork requirements, repetitive searches, duplication), along with improved policies and procedures, can decrease workloads considerably.

## 13. Reduce or Modify Prisoner Populations

Some facilities find it expedient to transfer certain types of prisoners to other facilities where they may be housed more efficiently and effectively. Juveniles, females, and special needs prisoners are often transferred through reciprocal or contractual arrangements. If facilities specialize in certain types of prisoners and meet their needs well, cooperative arrangements may prove best for all concerned.

## 14. Reduce Services

Sometimes it is possible, and necessary, to reduce the level of services and activities delivered to prisoners in response to staffing problems. This may prove successful for interim periods if constitutionally required levels of services, programs, activities and conditions of confinement are maintained and locally mandated jail standards are met.

## 15. Use Prisoner Labor

Prisoners can provide a labor resource which can ease staff overloads. For instance, a prisoner assistant could help in the library or kitchen. Prisoners should never be used to supervise other prisoners, nor should they be used for any safety or security function. Many jails have found that using prisoners offers additional benefits, as idleness is reduced and prisoners learn basic work habits.

## 16. Use Civilian Staff to Reduce Costs

Many jails have found that civilian personnel may implement many tasks at a lower cost than sworn personnel.

## 17. Consider Lessening "Absolute" Separations Between Prisoners

Certain activities may require substantial staff time daily because prisoners are divided into many groups; as a result, the amount of time needed to complete the activity, and the amount of staff time required are high. Consider whether certain prisoner groups can participate safely in selected activities together; as groups are combined, staff needs can be reduced. By reducing the strict separation of certain prisoner groups in this manner, staffing efficiencies may be possible.

This may involve, for instance, allowing male and female prisoners to participate in selected activities together, such as classes or religious services.

# Appendix B.

## Court Case Summaries Pertaining to Staffing Requirements

Current as of July 1987

This material was drawn from the Detention and Corrections Caselaw Catalog, Rod Miller and Don Walter, Editors. Reprinted with permission of CRS, Inc./Detention Reporter.

Ahrens v. Thomas, 434 F.Supp. 873, 903. (W.D. Mo. 1977). The jail will be supervised by adequately trained officers on a 24-hour basis. There shall be sufficient officers on duty at all time to protect detainees against assaults and to permit entry into living areas on a 24-hour basis. Jail officials must provide 24-hour supervision by a matron when women inmates are detained in the jail.

Alberti v. Klevenhagen, 606 F.Supp. 478 (S.D. Tex. 1985). The District Court has ordered the sheriff and other defendants to hire and train additional sergeants and deputies for guard duty on the jail's housing floors to provide security in helping to prevent violent inmate attacks. The court ordered a total of 267 guards and 116 deputies, but left functions and assignment up to the jail administrators. The required staffing was designed to correct unsafe living conditions under the Eighth Amendment. (On appeal in 1986 the higher court upheld the district court's order).

Alberti v. Sheriff of Harris County, 406 F.Supp. 649, 669 (S.D. Tex. 1975). The number of jail officers must be increased when additional officers are required for the safekeeping of inmates and the security of the jail.

Bay County Jail Inmates v. Bay County Board of Commissioners, 74-10056 (E.D. Mich.). The use of television surveillance is inadequate by itself. "The purpose of personal supervision is to see, to hear, to sense the moods of prisoners, to anticipate danger, to provide humanness instead of the cold eye of the T.V. camera, and to be able to react quickly and efficiently."

Clappier v. Flynn, 605 F.2d 519 (10th Cir. 1979) (Laramie County Jail). Evidence indicating that the officers failed to patrol the cellblock more than once a day was sufficient for a jury to find that this omission was the cause of an attack on the plaintiff by other inmates and that the failure to supervise violated the plaintiff's civil rights. The Court rejects the argument that the plaintiff's failure to seek assistance is fatal to his cause of action.

Curtis v. Everette, 489 F.2d 516 (3rd Cir. 1973). Held that an allegation that prison officials failed to prevent plaintiff from being violently attacked by another prisoner stated a violation of due process under the Fourteenth Amendment. A prisoner has a constitutional right to be secure in his person and may not be deprived of liberty without due process of law.

Daniels v. Anderson, 237 N.W. 2d 397 (Neb. Sup. Ct. 1975). The court ruled that the use of audio/visual monitors by the jail is ineffective and is not an adequate substitute for the physical presence of jail staff to assure inmate safety.

Davis v. Zahradnick, 600 F.2d 458 (4th Cir. 1979). An allegation that the warden's failure to properly supervise officer resulting in the staff failing to intervene when plaintiff was beaten by other inmates stated a claim upon which relief could be granted.

Doe v. Lally, 457 F.Supp. 1339 (D. Md. 1979)(Md. Reception & Diagnostic Ctr.). An inmate is entitled to be reasonably free from homosexual attack and to protection to maintain that freedom. The presence of such attacks on a regular basis violates the Eighth Amendment. Failure to separate the inmates in the diagnostic center from the general population inmates which results in regular incidents of homosexual assault borders on gross negligence and removes any good faith defense from the defendants.

Doe v. Swinson, 20 Crim. L. Rptr. 2272 (E.D. Vir. 1976). Violation of minimum standards requiring a officer on duty on each jail floor at all times supports sheriff's liability for injury or mistreatment of inmates.

Gates v. Collier, 501 F.2d 1291, 1308 (5th Cir. 1974). Where the plaintiff is able to show that inmates are being subjected to physical assaults and abuses by other inmates, the court may order injunctive relief, including the hiring of additional guards and classification of prisoners.

Goldsby v. Carnes, 429 F.Supp. 370, 382 (W.D. Mo. 1977). Living units should be observed at least every 30 minutes, 24 hours a day, and cells in a tank should be visually checked four times while inmates are locked in at night.

Hamilton v. Landrieu, 351 F.Supp. 549, 551 (E.D. La. 1972). Prison officials shall promptly fill all vacancies in the security staff and, in addition, shall increase security personnel by 110 officers.

Hamilton v. Love, 328 F.Supp. 1182, 1196. (E.D. Ark. 1971). There shall be one staff member patrolling on each cell floor in the immediate area of every inmate on a 24-hour basis. Jail officials are ordered to hire non-inmate personnel to assure that, at a minimum, one staff member is assigned to each cell floor to patrol continually 24 hours a day. One female staff member must be on duty 24 hours a day to supervise female inmates.

Hamilton v. Love, 358 F.Supp. 338 (E.D. Ark. 1973). Jail officials are ordered to hire six additional correctional officers within one week to assure the safety of inmates and the security of the jail. Female prisoners being processed through the jail will always be accompanied by a matron.

Hamilton v. Schiro, 338 F.Supp. 1016, 1018 (E.D. La. 1970). Because supervision of inmates is totally inadequate to deter physical attacks on inmates and that the deteriorating iron work of the jail provides access to "deadly weapons" the court found a constitutional violation.

Harvey v. Clay County Sheriff's Department, 473 F.Supp. 741 (W.D. Mo. 1979)(Clay County Jail). Where the inmate informed the jail administration that a fight between his cellmate and himself was imminent and the jail administration failed to take action other than to admonish both of the cellmates that they would not tolerate fighting, the complaint alleging injuries resulting from a subsequent fight did not state a claim for violation of civil rights although it might state a claim for negligence.

Hedrick v. Grant, Civil No. S-76-162 (E.D. Ca., Nov. 13, 1976). Prison officials ordered to hire six additional correctional officers within one week.

Heitman v. Gabriel, 524 F.Supp. 622 (1981). Inmates in the Buchanan County Jail, St. Joseph, Missouri, filed an action in the United States District Court seeking declaratory and injunctive relief in response to alleged unconstitutional conditions of confinement. In ordering remedies in response to findings against the County, the court stated that costs cannot be permitted to stand in the way of eliminating conditions that have fallen below the eighth amendment and due process standards. The court stated that, "Such increases in staff as may be necessary to carry out this order shall be made without limitation imposed by State law. The Court retains jurisdiction for the period necessary to ensure compliance with this decree, to make any further findings and conclusions necessary following submission by the parties of proposed remedial measures, and to enter any further orders necessary to full relief."

Holland v. Corelon, Civil No. 71-1440 (E.D. La.). The court orders jail authorities to hire additional staff and public authorities to pay for them to remedy constitutional violations.

Incarcerated Men of Allen County v. Fair, Civil No. C-72-188. The use of electronic surveillance equipment by the jail, as a substitute for officers, is inadequate. Jail officials shall provide two officers on duty at all times.

Jackson v. Hendrick, 446 A.2d 226 (Penn. 1982). The court finds that the shortage of officers led to constitutional and statutory violations. Jail officials shall fill and maintain sufficient staff positions to assure jail security and the protection of inmates.

Johnson v. Lark, 365 F.Supp. 289, 204. (E.D. Mo. 1973). Sufficient officer supervision will be maintained to correct promptly any situation that could result in injury or mistreatment of prisoners.

Joiner v. Praitt, No. 475-166 (Ind.Super). Jail officials ordered to immediately provide jail staff on each floor of the jail to ensure 24-hour supervision.

Jones v. Wittenberg, 440 F.Supp. 60 (N.D. Ohio 1977). Defendants shall provide enough officers to keep at least two on each floor at all times, one of whom shall be on patrol in the cell blocks, even if personnel must be re-deployed from police activities. Until defendants provide continual surveillance of prisoners who need to be watched, they will be in contempt.

Lambert v. Skidmore, No. C 2 74-135 (S.D. Ohio, May 30, 1975). The jail population shall be supervised at all times by at least one qualified person whose primary duty shall consist of prisoner supervision.

Marion County Jail Inmates v. Broderick, No. IP 72-C-424 (S.D. Ind., June 9, 1975). Deputies will patrol and observe each cell block at least once an hour between 8:00 p.m. and 8:00 a.m. and at least every three hours the rest of the time.

Martinez v. Board of County Commissioners, No. 75-M-1260 (D. Colo.). There shall be 24-hour supervision of each floor of the jail by trained jail officers.

Miller v. Carson, 401 F.Supp. 835, 897 (M.D. Fla. 1975). The court ordered that jail officials provide five supervisory corrections officers per floor from 7 a.m. to 11 p.m. and four officers on the 11 p.m. to 7 a.m. shift until a sophisticated classification system is implemented, at which time the number of officers may be reduced to three per floor.

Mitchell v. Untreiner, 421 F.Supp. 886, 901 (N.D. Fla. 1976). The court ordered hiring and training of sufficient correctional officers for proper supervision.

Owens v. Haas, 601 F.2d 1242 (2nd Cir. 1979)(Nassau County Jail, New York). The County would be liable for a beating resulting from a failure to train staff or a lack of supervision of staff if the degree of departure from the standard of training and supervision of staff generally was such as to constitute deliberate indifference or gross negligence. To cause the county to be liable for the beating, the plaintiff need not show a pattern or practice if the complaint is based on a failure to train or supervise.

Padgett v. Stein, 406 F.Supp. 287, 299 (M.D. Penn. 1975). Where state and minimum standards have been established, the defendants are ordered to comply with standards on staffing requirements.

Redmond v. Baxley, 475 F.Supp. 1111 (E.D. Mich. 1979). A jury award of \$130,000 for damage sustained in a homosexual rape resulting from inadequate supervision is sustained. The officer on the ward was aware of threats against the inmate who was already placed in protective custody because of threats.

Rhem v. Malcolm, 527 F.2d 1041 (2nd Cir. 1974). Where the lack of staff causes violations of inmates' rights to be free from mistreatment and to be protected from harm, the court orders that staff be increased to assure 24-hour supervision.

Rodriguez v. Jiminez, 409 F.Supp. 582, 594 (D.P.R. 1976). Inadequacy of the numbers of guards provided, combined with lack of classification system and admission of mentally deranged persons or those with known dangerous propensities, is denial of Fifth, Eighth, and Fourteenth Amendments.

Sandoval v. James, No. C-72-2213 FRP (N.D. Calif.). The court finds that the county has a constitutional duty to employ a sufficient number of qualified staff to assure the safety of inmates on a 24-hour a day basis.

Smith v. Sullivan, 553 F.2d 373, 380 (5th Cir. 1977). Appeals court upheld the district court's order requiring that a jail officer visit each inmate-occupied area once an hour, that one non-inmate officer be present on each floor at all times, and that a communications system be established whereby any prisoner could call for help from a guard at any time and receive the same within a few minutes.

Streeter v. Hopper, 618 F.2d 1178 (5th Cir. 1980). The state has an obligation to protect the safety of the inmates; where the courts have found a breach of this duty, they have wide discretion in formulating a remedy.

Tyler v. Percich, 74-40-C (2)(E.D. Mo., Oct. 2, 1974). There shall be two officers continuously patrolling each housing floor of the city jail.

William v. Edwards, 547 F.2d 1206, 1213 (5th Cir. 1977). The appeals court recognized that institution officials must provide enough officers to "assure a constitutional level of inmate safety," and approved an order requiring the presence of two officers in open dormitories at all times.

# **Appendix C.**

## **Blank Forms**

A. Rated Capacity

Describe the capacity of the facility, consistent with applicable jail standards:

	Max Security	Medium	Minimum	Other (Describe)
Adult Male:	_____	_____	_____	_____ ( )
Adult Female:	_____	_____	_____	_____ ( )
Juv. Male:	_____	_____	_____	_____ ( )
Juv. Female:	_____	_____	_____	_____ ( )
Special Purpose:	_____	_____	_____	_____ ( )

B. The Jail Facility

To evaluate your proposed staffing pattern and levels, it is necessary to have clear floorplans for the facility as it is currently operated.

Attach black and white floorplans for each floor of your facility labeled to show the following:

- Each fixed security post in the facility;
- Location of any video monitors (camera locations and monitor locations);
- The function of every room and space in the facility (if law enforcement areas are in the same building and inmates never enter or use these areas, these do not have to be labeled in as much detail); and
- Security perimeter.

Be sure to identify and label areas in which inmate programs, activities and services are delivered (such as interview areas, exercise areas, visiting spaces, commissary, kitchen, laundry).

It would be helpful to assign a code number or letter to every area, so that it is easier to refer to the space later.

C. Inmate Classification and Separation

Attach pages as needed to describe all of the separations between inmates made at your jail facility. For each separate group of inmates, identify the spaces used to house the group (using the labels on the floorplans).

## D. Admissions, Releases, and Average Daily Counts

Assemble the following data describing the types of inmates housed, the numbers, and the separations that result. (If comparable information has been assembled, attach copies of it and do not complete this section).

Month:	Average Count At Midnight				Average New Admissions/Releases							
	Adult		Juvenile		Admissions				Releases			
	M	F	M	F	Adult		Juv.		Adult		Juv.	
	M	F	M	F	M	F	M	F	M	F	M	F
1.												
2.												
3.												
4.												
5.												
6.												
7.												
8.												
9.												
10.												
11.												
12.												
AVERAGES for 12 mos.												

## E. Prisoner Characteristics

Attach descriptive information about the prisoner population, including:

- length of stay
- age
- race
- sex
- residence
- charges
- classification
- time of day admitted
- time of day released
- status (pre-trial, sentenced)
- sentence
- reason for release
- criminal history
- program needs
- day of week admitted
- day of week released

**NOTE:** See NIC Jail Capacity Forecasting and Inmate Sample Workbook for data collection and analysis instructions if you wish to undertake research in this area.

## **F. Organization and Management Philosophy/Mission Statement**

### **1. ORGANIZATIONAL CHART**

Attach a copy of the organizational chart for your jail operations. (You may provide this by submitting the chart for the entire department or for the jail division.)

### **2. MANAGEMENT PHILOSOPHY/MISSION STATEMENT**

It is important to understand your approach to operating a jail in order to evaluate your proposed staffing. Describe your philosophies which guide the operation of the facility on attached pages, or attach an existing document that meets this need (such as a Mission Statement or Goals and Objectives).

## **G. Current Staffing Approaches**

Attach a list of all current staff positions, staff assignment within the facility, and budgets for relief staff. It is important to document current practices in order to evaluate proposed approaches.

## **H. Critical Incidents**

Attach a summary of critical incidents that occurred during the past year (e.g. suicides, assaults, escapes).

## **I. Summary of Standards Compliance Problems**

Attach a summary of compliance problems based on the most recent jail inspection report (or appropriate letters or charts).

## **J. Court Decisions**

If the facility is subject to the conditions of any court rulings or consent decrees, attach pertinent material.

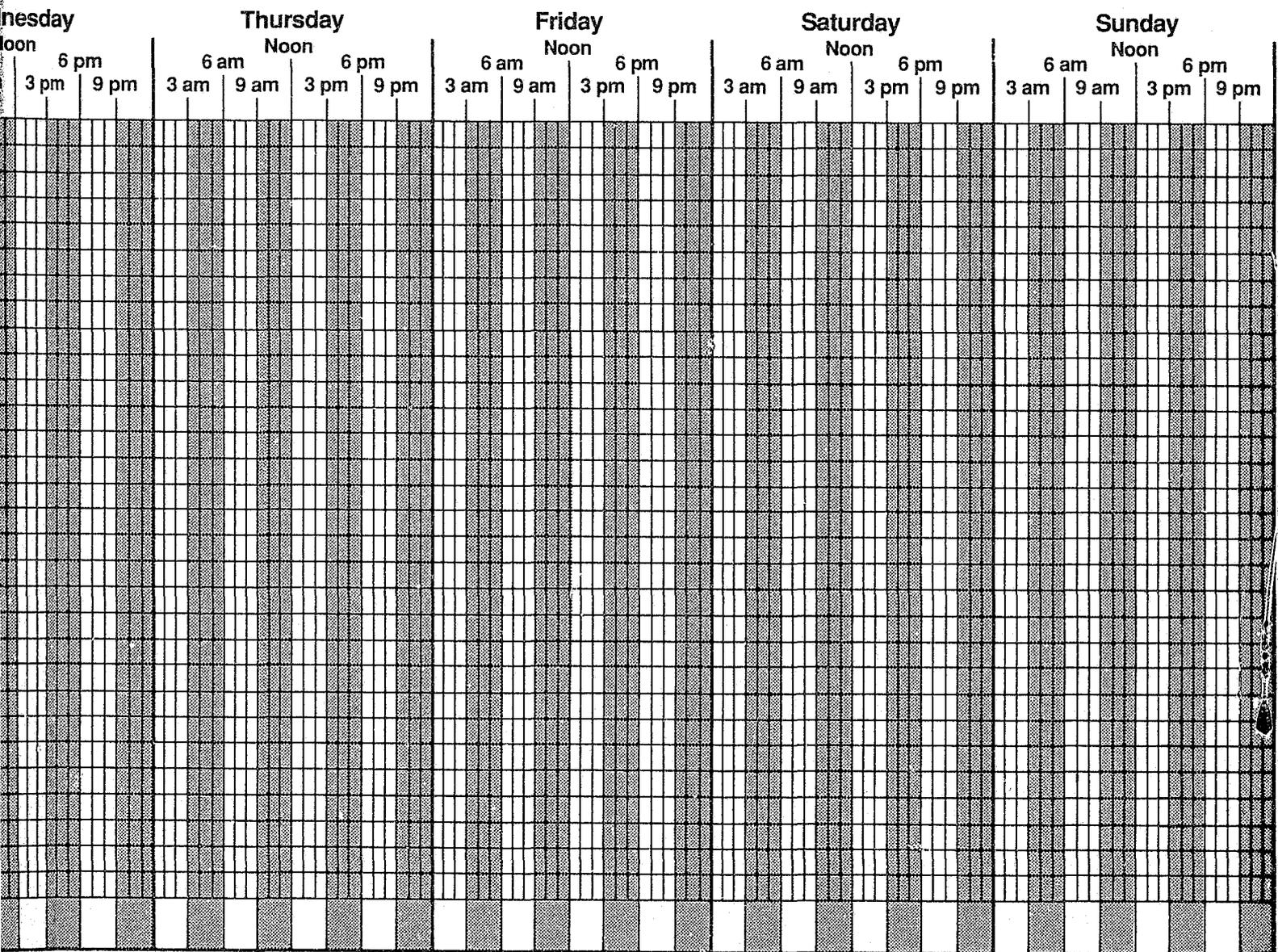
Use one line for each activity/operation

ACTIVITY/OPERATION:	Monday				Tuesday				Wednesday						
	3 am	6 am	9 am	Noon	3 pm	6 pm	9 pm	3 am	6 am	9 am	Noon	3 pm	6 pm	9 pm	3
1.															
2.															
3.															
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29.															
30.															
TOTALS..... (Record on Form 3B)															

**NOTE:** When recording totals at the bottom of each column, count the number of lines (activities) that occur at any time during the three-hour segment. Do not total all hours.

# FORM 2A

## Intermittent Activities/Operation Chart



Source: Rod Miller and Dennis Liebert, *Staffing Analysis Workbook for Jails*,  
National Institute of Corrections, January 1988



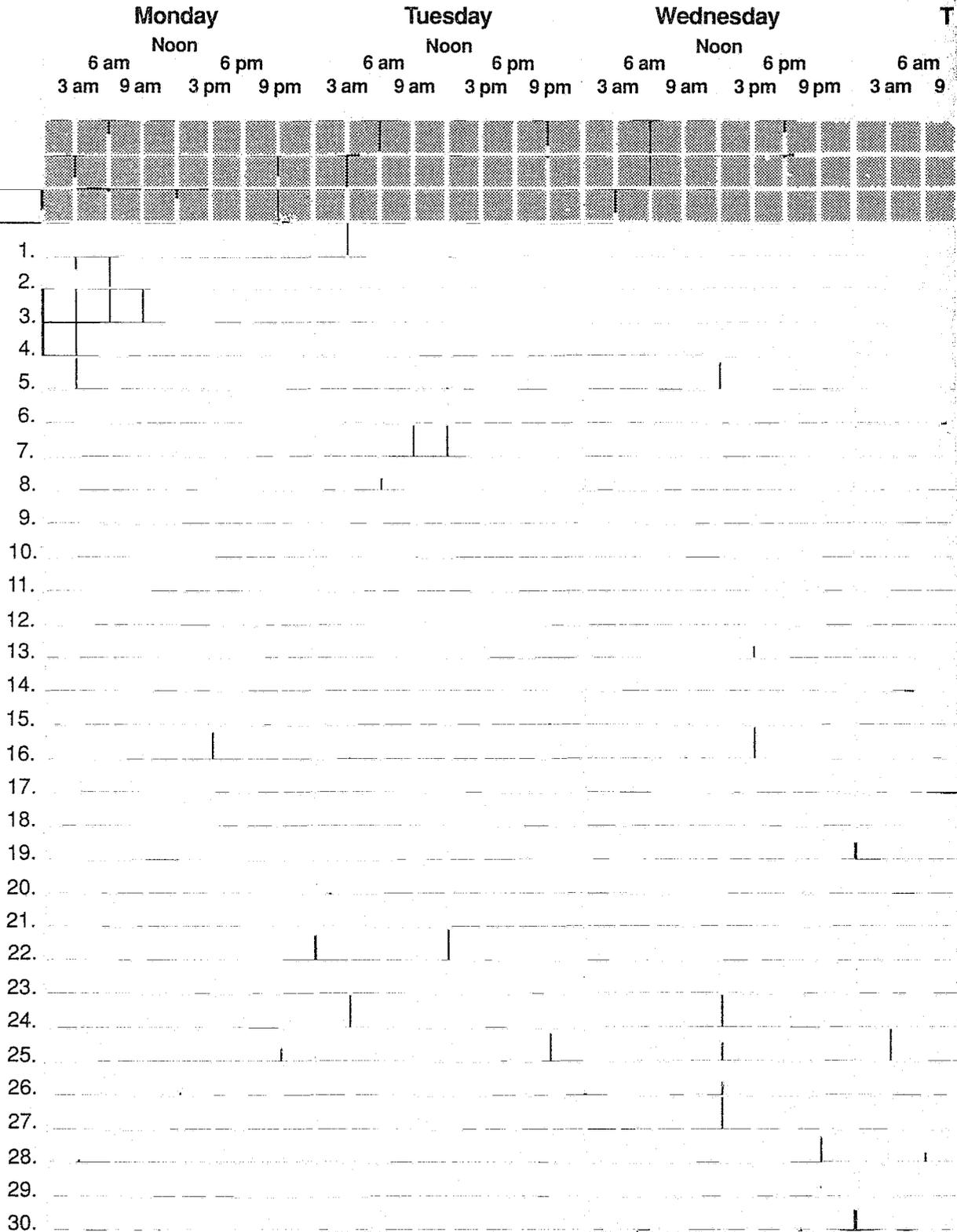


KEY FOR GRAPH:

- 2A (Activities)
- - - 3A (Coverage)
- 4A (Schedule)

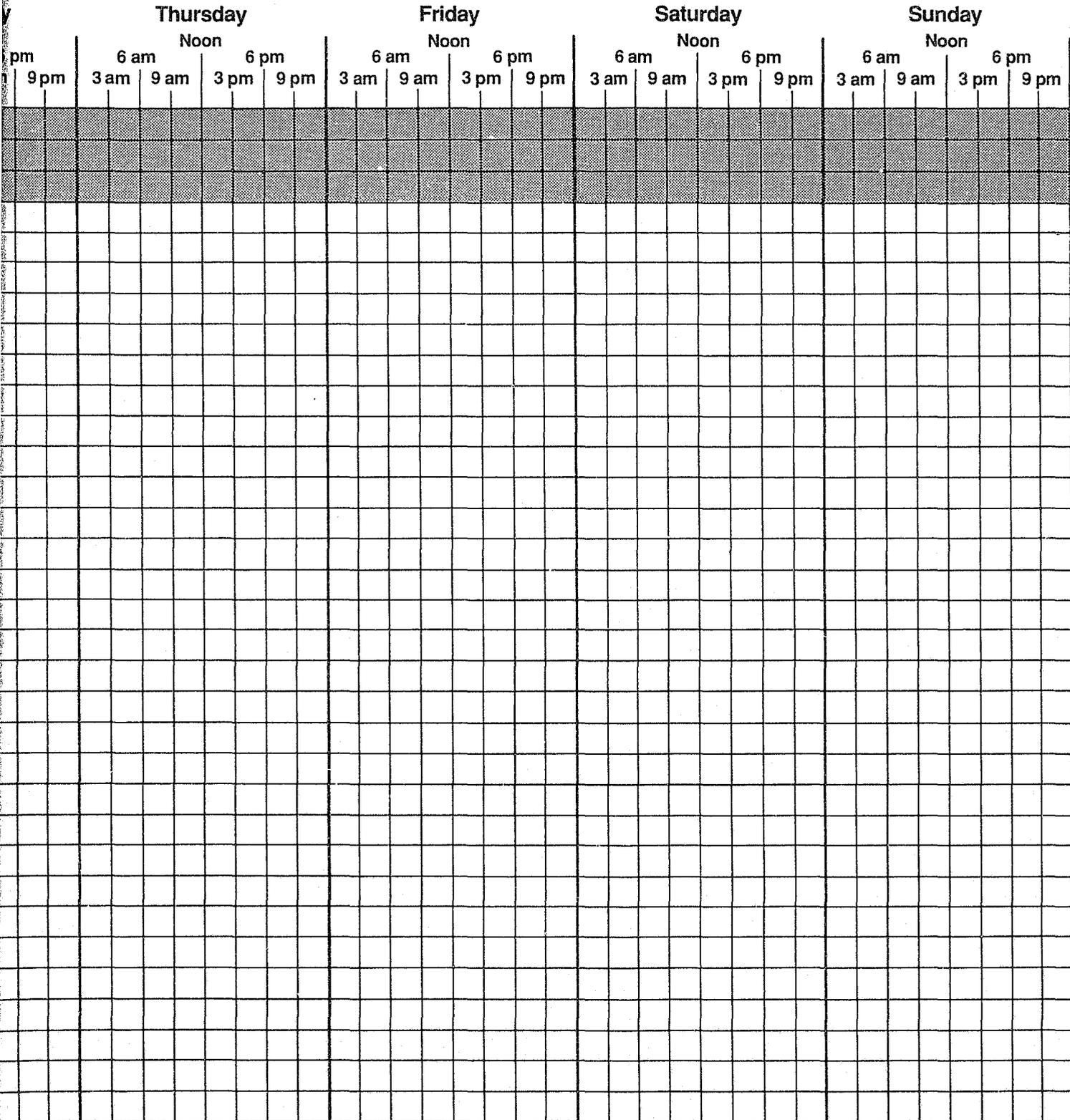
RECORD TOTALS FROM

- 2A. Activities/Operations
- 3A. Assignment & Coverage
- 4A. Scheduling



# FORM 3B

## Graph



Source: Rod Miller and Dennis Liebert, *Staffing Analysis Workbook for Jails*, National Institute of Corrections, January 1988





**INSTRUCTIONS:** Use this form to display you the beginning and end of ea period. Darken the hours th

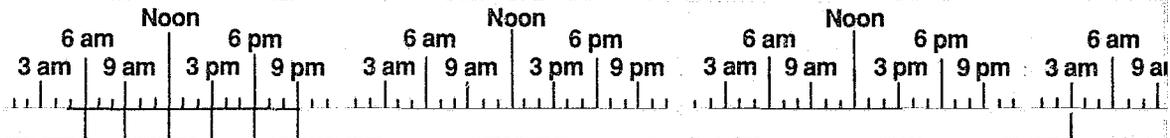
**Part 1:**

JOB CLASSIFICATION/TITLE

1. \_\_\_\_\_
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30. \_\_\_\_\_
31. \_\_\_\_\_
32. \_\_\_\_\_

	<b>Monday</b>	<b>Tuesday</b>	<b>Wednesday</b>	<b>Th</b>
	Noon	Noon	Noon	
	6 am      6 pm	6 am      6 pm	6 am      6 pm	6 am
	3 am 9 am 3 pm 9 pm	3 am 9 am 3 pm 9 pm	3 am 9 am 3 pm 9 pm	3 am 9 am

TOTAL HOURS SCHEDULED  
(Enter on Form 3B)



**Part 2:**

**NOTE:** When totalling scheduled hours, record the number of *staff* scheduled (maximum) during each three-hour period at the bottom of each column. Do *not* total the number of hours.







# Master Evaluation Checklist

This form allows you to evaluate your staffing plans from a variety of perspectives. Instructions are integrated into each part of the form.

## Part 1: Consistency and Efficiency of Plan

The analysis described in the beginning of Step 5 requires comparing the lines on Form 3B (Graph), producing a determination of the consistency between:

- the initial graph of activities (from Form 2A, and shown as a solid line on the graph);
- the initial graph of coverage needs (from Form 3A, and shown as a dashed line on the graph); and
- the graph showing scheduled staff assignment levels (from Form 4A, and shown as a dotted line on the graph).

Record the results of this analysis on Part 7 of this form.

## Part 2: Key Questions Concerning the Plan and Scheduling

Ask these questions about your plan. If any problems are identified, record them on Part 7 of this form.

1. Does the plan present any conflicts with existing employee contracts or agreements? If yes, identify them, and discuss them with appropriate officials. Conflicts need not be avoided, but should be put on the table and evaluated early in the process. A good staffing plan will benefit management and labor and should be attractive to all parties.
2. Does the plan pose any problems in terms of shift changes during key periods of the day? In general, major staff changes should not occur during peak levels of facility operation.
3. Is supervision provided for all staff at all times?
4. Are shift definitions reasonable? (If 10- or 12- hour shifts are called for, can staff function effectively in their assigned roles for that length of time?) If staff are asked to work a "split-shift," will they be willing to do so?

## Part 3: Considering Key "Scenarios" to Determine Adequacy

This part of the evaluative effort asks you to "walk through" several operational procedures using the staffing plan. For each of the issues shown below, consider the steps involved with implementing the practice, with an emphasis on:

- Who is involved or responds?
- How long does the function take?
- What areas or functions are left uncovered?
- Are all involved staff qualified?

As you conduct this analysis, record any problems or deficiencies that you identify in Part 7 of this form.

### SCENARIO CHECKLIST

DIRECTIONS. Check the appropriate response and record comments in the right column (specify deficiencies, etc.). Record problems in Part 7.

Function/Activity	Coverage Adequate?		Comments
	Yes	No	
1. Serving meals to all prisoners	___	___	_____
2. Processing new arrivals	___	___	_____
3. Prisoner visiting	___	___	_____
4. Prisoner exercise/recreation	___	___	_____
5. Prisoner telephone access	___	___	_____
6. Sick call/ medication	___	___	_____
7. Library access and services	___	___	_____
8. Conducting formal counts	___	___	_____
9. Conducting prisoner programs	___	___	_____
10. Moving prisoners to court appearances	___	___	_____
11. Staff meetings	___	___	_____
12. Clothing and linen exchange	___	___	_____
13. Distributing/collecting mail	___	___	_____
14. Conducting evacuation drill	___	___	_____

## Part 4: Standards Compliance Issues

State standards provide one critical source of evaluation for staffing plans. Check to see if your state inspector has developed a staffing checklist based on the standards. If not, review your standards carefully and develop a list of specific standards that pertain to staffing. Determine if your plan meets each of these standards; record compliance problems on Part 7.

Professional standards have been promulgated by several organizations, including the American Correctional Association (ACA). A 10-page checklist derived from these standards is offered in Form 5B; the checklist below summarizes some issues identified in standards. For each issue, determine if your staffing plan allows you to comply with standards:

- At all times?
- For every type of prisoner?
- In all areas of the facility?

If it does, then check the blank in front of the question. If it does not, record deficiencies identified here on Part 7 of this form.

- Provide staff training, development, and qualification.
- Maintain records and management information systems.
- Provide continuing observation and around the clock supervision of prisoner housing areas.
- Provide enough staff to ensure prompt release from locked areas in the event of an emergency.
- Maintain a control center.
- Provide assistance from another staff member whenever an officer enters a high security housing area.
- Serve meals under supervision of staff.
- Provide medical care and medication.
- Protect prisoners (from abuse, corporal punishment, personal injury, harassment).
- Implement disciplinary procedures, reports, and hearings.
- Provide mail service.
- Implement prisoner admission, orientation, and release procedures.
- Conduct prisoner classification.
- Provide prisoner programs and services (counseling, education, religious).
- Provide prisoners with at least one hour of physical exercise outside their cells daily (outdoors when possible).

## Part 5: Assessing Adequacy of Plan in Terms of "Backup"

To assess backup needs, consider a series of contingencies in various locations in the facility.

Some initial contingencies to consider include:

- A disturbance in a cell area
- A combative prisoner in the booking area
- A fire requiring evacuation of the facility.

For each of the contingencies, pick a location, a day and a time. Consider how staff will react to the problem: which staff will move to an area to provide backup, and what areas are left uncovered as a result?

Record deficiencies and problems on Part 7.

## Part 6: Circulate for Review and Comments

This part of the evaluative process may involve more time than the others. If it does in your facility, consider implementing this concurrently with Part 7.

One of the best evaluative methods at this point in the process is to share a draft staffing plan with staff and officials. Solicit their initial comments and concerns, and, if necessary, meet with them to resolve potential conflicts. Be sure the plan is scrutinized from several perspectives. Consider seeking comments from

- Line staff (including a sampling of those assigned to different posts)
- First line supervisors
- Mid-management staff
- Contract service providers (medical, education, counseling, etc.)
- Program and activity staff
- Support staff (maintenance, food service, etc.)
- Jail inspector

Collect written comments from each reviewer whenever possible, and discuss comments that need clarification.

Record problems on Part 7 of this form.



## ACA Standards Checklist

### STANDARDS- AMERICAN CORRECTIONAL ASSOCIATION

The following pages present a checklist derived from the Standards for Adult Local Detention Facilities-Second Edition, prepared by the American Correctional Association (ACA) in 1981.

The checklist identifies standards or elements of standards that have a direct impact on staff requirements. Following each question, the standard number is presented in parentheses; the standard may be consulted for more detail.

The checklist is in the form of questions. When you can answer "yes" to a question, you may check it off. However, before you check it off, ask yourself if your plan achieves compliance

- On every shift;
- Every day of the week;
- For every type of inmate (male, female, adult juvenile, etc.); and
- For all areas within the facility.

Unless you satisfy all of the above criteria, do not check off a question. Note deficiencies in the margins as you go.

To use this list as an evaluative tool, apply it to your existing or proposed staffing plan. Check off all questions your plan satisfies; then go back and study all of the questions that were not checked. These are the problem areas that require further study.

After you revise your plan, go through the checklist again from the beginning. Do not simply check off the missing items, because your new plan may create inadequacies that were not there before.

#### Notes about the checklist contents:

When a meeting or similar event is required by the standards quarterly or less often, it is usually not noted because of its negligible impact on staffing needs.

NOTE: The following questions are drawn from the Manual of Standards. None of these questions presents an exact representation of the text; often only selected elements of a standard are included, reflecting a staffing impact. Also sometimes questions are derived as a logical extension of a standard. You are urged to consult the full text of a standard for clarification and should not rely on this checklist as a complete representation of the set of standards.

Where part of a question is drawn from the "discussion" of a standard or offers clarification, it appears in parentheses.

#### Administration, Organization, and Management

- Is the facility managed by a single administrator to whom all employees or units of management are responsible? (2-5006)
- Are monthly meetings between the administrator and all unit heads or all facility personnel held? (2-5013)
- Are requests for information concerning programs and specific cases responded to promptly? (2-5021)

#### Fiscal Management

- Do facility staff participate in the preparation of a written budget request? (2-5028)
- Are property, stores, and other assets inventoried at least every two years? (2-5039)
- Is there an annual assessment of present assigned positions and future personnel needs required to meet facility objectives? (2-5044)
- Is the commissary or canteen operated consistent with accepted accounting procedures? (2-5046)

#### Personnel

- Are all personnel selected, retained, and promoted on the basis of merit and specific qualifications? (2-5047)
- Is the physical fitness of correctional officers promoted? (2-5054)
- Does a written compensation and benefit plan exist (including provisions for time off)? (2-5056)
- Does a personnel policy manual include holidays, leave, and work hours? (2-5063)

- Are workload requirements in all categories of personnel systematically determined and reviewed on an ongoing basis to ensure inmate access to staff and the availability of support services? (2-5069)
- Has the administration calculated a shift relief factor that is reviewed annually and updated as needed? (2-5070)
- Are provisional appointments or reserve correctional officers available to ensure the provision of trained staff for short-term, full-time, or part-time work in special or emergency situations? (2-5071)
- Can the facility administrator document that the vacancy rate for staff positions that work directly with inmates does not exceed an overall average of 10 percent during any 18 month period? (2-5072)

**Training and Staff Development**

- Is the training program planned, coordinated and supervised by a qualified employee at the supervisory level (full-time in facilities with over 100 employees)? (2-5076)
- Are staff compensated for additional time spent in training, or are replacement personnel provided when personnel are taken off duty for training purposes? (2-5080)
- Do orientation and training provisions comply with the levels specified on the chart below?

**SUMMARY OF ORIENTATION AND MINIMUM TRAINING HOURS**

Source: Standards for Adult Local Detention Facilities,  
Second Edition, Page 21

JOB TITLE	TRAINING REQUIREMENTS:		
	Prior to Job	First Year on the Job	Each Year Thereafter
Clerical/Support	24	16	16
Support	40	40	40
Correctional Officers	40	120	40
Administrative/Management	-	40	24
Emergency Unit	40	-	16

- \_\_\_ Do all part-time staff receive orientation prior to their assignment and additional training as needed? (2-5086)
- \_\_\_ Are all personnel who are authorized to use firearms or chemical agents trained in their use on a continuing in-service basis? (2-5087)
- \_\_\_ Are employees reimbursed for attending approved professional meetings, seminars, and work-related activities? (2-5089)

#### Management Information Systems

- \_\_\_ Is an inmate population accounting system maintained that includes records on admission, processing, and release of inmates? (2-5099)

#### Inmate Records

- \_\_\_ Is inmate information recorded for every person admitted to the facility, including at least the following: picture, booking number, name and aliases, current address, date/duration of confinement/copy of court order or other legal basis for commitment, name/title/signature of delivering officer, specific charge(s), sex, age, date of birth, place of birth, race, present or last place of employment, health status, emergency contact, telephone calls made at time of admission, driver's license and social security numbers, notation of cash and all property, and additional information as needed? (2-5099)
- \_\_\_ Are custody records maintained for all inmates committed or assigned to the facility, including but not limited to: intake/booking information, court generated background information, cash and property receipts, reports of disciplinary actions/incidents or crimes committed while in custody, and records of program participation? (2-5101)
- \_\_\_ Is a weekly summary of inmate activities maintained? (2-5107)

#### Physical Plant

- \_\_\_ Are inmates in multiple occupancy rooms (if used) provided with continuing observation by staff? (2-5114)
- \_\_\_ Are seriously ill, disordered, injured, or nonambulatory inmates (if held in the facility) provided with continuing staff observation? (2-5117)

#### Safety and Emergency Procedures

- \_\_\_ Is the facility inspected for fire safety at least weekly by an administrative staff member? (2-5150)
- \_\_\_ Are evacuation drills conducted for the entire facility at least quarterly? (2-5159)
- \_\_\_ Do facility staffing levels, policies and procedures, and physical plant ensure the prompt release of inmates from locked areas in the event of an emergency, including provisions for a secondary release system? (2-5160)

## Security and Control

- Is a control center maintained around the clock? (2-5164)
- Are all security perimeter entrances, control center doors, cell block doors, and doors opening into a corridor kept locked except when in use for admission/exiting? (2-5167)
- Is assistance from another staff member immediately available before a staff member enters a high security cell block? (2-5169)
- Do staff regulate inmate movement (control and supervise inmate movement from one location to another)? (2-5170)
- Is around-the-clock supervision of all inmates provided by trained correctional personnel? (2-5171)
- Are staff provided for full coverage of designated security posts, for full surveillance of inmates, and to perform all ancillary functions? (2-5172)
- Are correctional officers located in or immediately adjacent to inmate living areas to permit officers to hear and respond promptly to emergency situations? (2-5173)
- Are all high and medium security inmates personally observed by a correctional officer at least every 30 minutes, and is more frequent observation provided for inmates who are violent, suicidal, or mentally disordered, or who display unusual or bizarre behavior? (2-5174)
- Is a written record maintained of personnel on duty, inmate population count, admissions and releases of inmates, shift activities, entry and exit of physicians/attorneys/other visitors, and unusual occurrences? (2-5175)
- Do supervisory staff visit and inspect every area of the facility daily? (2-5176)
- Does the facility administrator or designee inspect all security facilities and devices at least weekly? (2-5177)
- Are inmates physically counted (at least once each shift and at night lockup)? (2-5178)
- Are facility and inmate searches conducted to control contraband? (2-5179)
- Is the control and use of keys governed by policies and procedures to provide a current accounting of the location and possessor of each key? (2-5190)
- Do staff ensure that no inmate or group of inmates is given control or authority over other inmates? (2-5200)

— Do custodial staff members maintain a permanent log and prepare shift reports that record routine and emergency situations and unusual incidents? (2-5201)

— Are facility living and activity areas inspected at least weekly by the facility administrator/designee, the chief custodial officer, and other department heads? (2-5202)

#### Special Management Inmates

— Does a committee provide a hearing for inmates prior to placement in disciplinary detention? (2-5208)

— Is a hearing provided for an inmate prior to placement in administrative segregation? (2-5209)

— Does a committee review the status of inmates in administrative segregation every seven days? (2-5210)

— Do inmates in segregation have the same meals as those served to the general population? (2-5214)

— Do inmates in segregation have the opportunity to shave and shower at least three times per week? (2-5215)

— Are inmates in segregation generally provided with clothing, bedding, linen, laundry, and hair care on the same basis as inmates in the general population? (2-5216)

— Are inmates in segregation generally provided with opportunities for writing and receiving letters on the same basis as members of the general population? (2-5217)

— Are inmates in segregation provided with the opportunity for visitation? (2-5218)

— Are inmates in segregation allowed telephone privileges? (2-5219, 2-5220)

— Do inmates in segregation have access to legal and reading materials? (2-5221, 2-5222)

— Do inmates in segregation receive exercise outside their cells, a minimum of one hour a day, five days per week, unless security or safety considerations dictate otherwise? (2-5223)

— Do inmates in administrative segregation and protective custody have access to programs and services, including but not limited to education, commissary, library services, social services, counseling, religious guidance, and recreation? (2-5224)

— Do staff members in segregation units maintain a permanent log? (2-5225)

- Do inmates in segregation receive visits from the chief security officer or shift supervisor daily, members of program staff upon request, or a qualified health care official three times per week? (2-5226)

#### Food Service

- Is a staff member experienced in food service management responsible for food service management and operations? (2-5233)
- Are meals served under the supervision of staff members, and is regimentation minimized? (2-5236)
- Are three meals provided at regular meal times during each 24-hour period? (2-5237)
- Are food service areas inspected weekly, and are refrigerator and water temperatures checked daily by administrative, medical, or dietary personnel? (2-5241)

#### Sanitation and Hygiene

- Are weekly sanitation inspections conducted by an administrative staff member? (2-5243)
- Are staff and inmates assigned daily duties and responsibilities for facility housekeeping and maintenance and are inmates supervised at all times when performing these duties? (2-5245)
- Are bedding, linen, and towels laundered and exchanged on at least a weekly basis?

#### Medical and Health Care Services

- Is emergency medical and dental care available at all times, including provisions to evacuate inmates from the facility? (2-5266)
- Are health care personnel requirements determined by the responsible health authority to ensure inmate access to health care staff and services? (2-5268)
- Are trained staff available to respond to a health-related situation within four minutes? (2-5271)
- Is medical screening performed on all inmates upon arrival at the facility by health-trained staff? (2-5273)
- Is a health appraisal completed for each inmate within 14 days of admission to the facility? (2-5274)
- Are dental screening and hygiene services provided to each inmate within 14 days of admission, and are dental examinations provided within three months of admission? (2-5277)

- \_\_\_ Are inmate health complaints solicited daily and acted upon by health-trained personnel, followed by appropriate triage and treatment by qualified personnel? (2-5278)
- \_\_\_ Is there a continuous response to health care requests, and is sick call available to each inmate at least once weekly in small (50 inmate) facilities, every three days in medium (51-200 inmate) facilities, and five days per week in facilities over 200 inmates? (2-5279)
- \_\_\_ Are pharmaceuticals properly managed, dispensed, and administered? (2-5288)
- \_\_\_ Do persons who administer medications do so under the direct supervision of the responsible physician, and do they have training appropriate to their assignment? (2-5289)

#### Inmate Rights

- \_\_\_ Do inmates have access to attorneys and their authorized representatives? (2-5294)
- \_\_\_ Do inmates have access to legal materials, paper, typewriters or typing service, and other supplies related to legal matters? (2-5295 and 2-5296)
- \_\_\_ Are inmates protected from personal abuse, corporal punishment, personal injury, disease, property damage, and harassment? (2-5302)
- \_\_\_ Is a grievance procedure that includes at least one level of appeal available to all inmates? (2-5303)

#### Inmate Rules and Discipline

- \_\_\_ Are disciplinary reports prepared by staff members? (2-5309)
- \_\_\_ Is an investigation begun within 48 hours after an alleged rule violation is reported? (2-5311)
- \_\_\_ Are inmates charged with rule violations provided a hearing? (2-5316)
- \_\_\_ Are staff members provided to represent inmates at disciplinary hearings upon the inmates' request? (2-5320)
- \_\_\_ Are all disciplinary hearings and dispositions reviewed by the facility administrator or his or her designee? (2-5323)

#### Communication, Mail and Visiting

- \_\_\_ Is incoming and outgoing mail (letters and packages) not held for more than 24 hours, excluding weekends and holidays? (2-5331)
- \_\_\_ Are inmate letters and packages inspected to intercept cash, checks, money orders, and contraband? (2-5333)

- \_\_\_ Are inmates provided access to a telephone? (2-5335)
- \_\_\_ Are inmates provided opportunities for visits consistent with facility schedules, personnel constraints, and space? (2-5337)
- \_\_\_ Are opportunities for informal, contact visits provided for inmates who do not represent a substantial security risk? (2-5339)

**Admission, Orientation, Property Control, and Release**

- \_\_\_ Are inmates separated from the general population during the admissions process? (2-5345)
- \_\_\_ Do admission procedures include verification of arrest, complete search of the individual, inventory and storage of personal property, medical screening, telephone calls by inmate, photographing and/or fingerprinting, interview for obtaining identifying data, issue of bedding and personal hygiene items, and assignment of a housing unit? (2-5346)
- \_\_\_ Are all newly-admitted inmates provided with written or oral orientation information in the language in which they are fluent? (2-5347)
- \_\_\_ Do release procedures include verification of identity, verification of release papers, completion of release arrangements, return of personal effects, verification that no facility property leaves with the inmate, and completion of any pending action (grievances, claims for damages, lost possessions)? (2-5351)

**Classification**

- \_\_\_ Is separate management provided for the following categories of inmates:
  - Female and male inmates
  - Other classes of detainees
  - Community custody inmates
  - Inmates with special problems
  - Inmates requiring disciplinary detention
  - Inmates requiring administrative segregation
  - Juveniles (2-5354)

- \_\_\_ Are juveniles separated by sight and sound from adult inmates? (2-5355)

**Inmate Work Programs**

- \_\_\_ Does a facility work assignment plan provide for inmate employment, subject to the number of work opportunities available and the maintenance of facility security? (2-5357)

### Inmate Services and Programs

- Are male and female inmates provided equal opportunities for participation in facility programs and services? (2-5370)
- Are counseling and program services provided for inmates with drug and alcohol addiction problems? (2-5371)
- Are inmates provided the opportunity to participate in religious services and counseling on a voluntary basis? (2-5372)
- Are inmates provided the opportunity to participate in leisure time activities outside their cells or rooms on a daily basis? (2-5373)
- Are inmates provided with at least one hour of physical exercise outside their cells daily (outdoors when weather permits)? (2-5374)
- Are inmates provided access to educational programs, vocational counseling, and, when available, vocational training? (2-5375)
- Are library services available to all inmates? (2-5376)
- Does a staff member or trained volunteer coordinate and supervise library services? (2-5377)

### Release Preparation and Temporary Release

- Is a program of release preparation available to all inmates? (2-5379)
- Do temporary release programs (escorted and unescorted leaves, work and education release) include provisions for careful screening of participants and a system of supervision? (2-5382)

### Citizen Involvement and Volunteers

- Is a staff member responsible for coordinating the volunteer services program? (2-5385)

-----  
A final note: areas to watch for:

- Separation of inmates requires repetition of the delivery of services (recreation, dining, etc.).
- Administrative and supervisory time is needed for regular inspections.
- Committees and hearing boards require scheduled time each week.
- A substantial amount of time is needed to maintain required and advisable documentation (for staff at all levels).
- Provision of programs and services does not only imply the need for staff to deliver the service, but also suggests inmate movement.

## Form 5C

# Time/Task Analysis

## Time/Task Analysis Worksheet: An Evaluation Tool

The worksheet that follows this narrative has been developed as another evaluative tool to assist you in determining the adequacy of your current or proposed staffing plan.

This approach is more complicated than others described in this Workbook, but it offers a more detailed and useful product. You should determine if this approach is necessary for your plan.

This worksheet is to be used with the **Jail Operations/Activities Chart** (Form 2A). Using Form 2A and this worksheet, you will be able to estimate the amount of time required to implement routine and scheduled tasks during specific time periods.

By comparing anticipated time demands with the current or proposed availability of staff during that period, you will be able to identify

- instances in which the proposed staffing is not sufficient to meet anticipated demands;

and

- instances in which the proposed staffing is more than sufficient to meet anticipated demands.

This information will allow you more direction as you increase staff coverage and as you reallocate staff efforts over time.

This worksheet approach offers the best means to identify staff who are **underutilized** and provides you with the detailed information necessary to reallocate tasks, to reschedule functions, and to change staff assignment over time.

### DIRECTIONS

#### Establish Parameters for Worksheet

First, determine if you will be completing the worksheet for the entire facility or for an area within the facility. Fill in the appropriate response in the box at the upper left corner of the form (marked "For:")-Part 1.

In larger facilities, it may be appropriate to fill out a worksheet for each major area. Even in smaller facilities, focusing attention on a specific area may prove helpful.

Second, select a time frame for which you will be completing the worksheet. This should be measured in hours, and you may decide to have it correspond to one of your shifts. Fill in the time frame in the box in the upper left corner.

Third, determine which days of the week this worksheet applies to. Indicate this by circling the days below the time frame. As with the Activities Chart (Form 2A), the tasks and functions vary on different days. Circle all applicable days.

A. Fill in Tasks and Functions

Using Form 2A, list the scheduled and anticipated activities and functions that occur on the days, hours, and areas for which the worksheet is being completed. You may find it helpful to use a copy of the completed Activities Chart and to "highlight" or color the time frame you have chosen. This will help you to identify tasks and functions that apply.

After you have extracted the information from the Activities Chart, use the following sources to check your list to be sure that all tasks are represented:

1. Policies and Procedures
2. Applicable Jail Standards
3. Task List

Use additional pages if your list of activities and tasks requires more space.

B. Determine Frequency for Each Task/Function

Estimate the number of times each task is implemented during the time frame selected for this worksheet. For example, consider periodic "health and welfare checks" for inmates. Your procedures may require hourly checks for minimum security inmates; in this case, the frequency would be 8 for an eight-hour period. Similarly, half-hour checks would be 16, and 15-minute checks would be 32.

If you are estimating sporadic events such as admissions or releases, use past practice and records to help you to calculate average frequencies. Remember, though, that you should be mindful of the high number of events as well.

C. Calculate Time Required for Each Task/Function

Next, determine how long it takes to do "one" of each tasks on the list (e.g., admit one inmate, conduct one cell check, etc.). To do this you may find it helpful to observe current operations and to make time studies.

It is important that the time figures (which are recorded in minutes) include the time it usually takes for a task. For instance, you may determine that a health and welfare check of an area can be done in 12 minutes; however, in practice, it may take more time as the officer stops to investigate problems or respond to questions.

D. Calculate Total Minutes/Shift

Multiply the number of minutes per unit (C) by the number of times the task occurs during the time frame (B). The number which is derived represents an initial assessment of the total number of minutes of staff time required to implement a task or function during the time frame.

E. Identify Staff Available/Responsible

Record the titles and other identifying information for each staff member who will be present in the facility during the time frame (as specified in your schedule). Record this at the bottom of the page (e.g., booking officer, control room officer, rover-first floor). Attach pages to increase the width of the form as needed.

Next, record the total number of minutes for which each staff member is responsible for each task. For example, if staff member number 1 admits all inmates, and you have determined that a total of 330 minutes are required for this function (column D), record 330 on the appropriate line under staff column 1.

If staff members share responsibilities for a task or function, you may either divide the total number of minutes into appropriate entries, or you may choose to subdivide the task into units which are assigned in total to each staff member (for example, instead of "cell checks" you might have several categories listed).

Add all of the figures for each staff member and record as a "subtotal" at the bottom of the page. Add all subtotals and record as the "total for all staff" below the subtotals. This figure represents an estimate of the total number of "staff-minutes" needed to implement the tasks during the time period. The total for all staff members should match a total of figures in column D.

F. Calculate "Available" Time for Each Staff Member

Using Part 2 of the Worksheet, calculate the amount of time each staff member (or classification of staff member) actually has available during the time frame.

The chart lists many of the factors that reduce the actual time available to implement the tasks. Item 1 is the amount of time the staff member is assigned to the facility. Many staff will be assigned for the full period or shift. Others may have overlapping assignments, which would be reflected here.

Items 2 through 7 are those which subtract from the available time. If any of these are listed as a task for a staff member (such as report-writing), then do not subtract time for it here.

Item 8 is a subtotal of time to be subtracted, and Item 9 is the net time. As an option, you may want to multiply Item 9 by an additional factor (decimal) that represents the efficiency of time use by staff, or reflects a general adjustment for time not available.

G. Compare Time Needed to Time Available

Compare the total time estimated to implement all tasks and functions to the total amount of actual staff time available. This first comparison will give you an assessment of how close you are to meeting your needs.

Use the individual staff totals to identify the "fit" between each staff member and the tasks assigned.

H. Adjust Your Plan

Use this analysis to adjust your plan.

Often you will find there are not enough staff minutes available to implement the tasks, or that tasks need to be reallocated to reduce the load on some staff. Sometimes you will find that available staff time is not fully used. In either event, a good manager will manipulate coverage needs, staff assignment and scheduling to bring estimated needs closer to available staff.

We strongly recommend that you do not attempt to "program" all available time for each staff member on duty. This entire analysis is predicated on estimated time requirements for only anticipated tasks and functions. You must include provisions for contingencies, such as increased admissions, inmate problems, and other regular but unscheduled occurrences.

The "creative solutions" described in Appendix A also offer many alternative methods for improving your staffing plan; many of these do not require the addition of staff.



Part 2

CALCULATING ACTUAL AVAILABLE TIME PER STAFF MEMBER

Fill in the appropriate amounts, in minutes, in the columns below.

Item	Staff Member (see code on Worksheet)						
	1	2	3	4	5	6	7
1. Total Number of Minutes . Assigned to Duty During . Time Frame							
2. Time Spent in Shift . Change, Briefings, . and Orientation							
3. Time Spent Writing . Reports and Keeping . Routine Records							
4. Time Spent on Breaks							
5. Time Spent Answering . Phone							
6. Time Spent Responding . to Inquiries (Inmates . or Public)							
7. Other Factors That . Consume Available . Time But Are Not . Listed as Tasks  _____							
8. SUBTOTAL.....							
9. NET MINUTES AVAILABLE. . (1 MINUS 8)							
10. (Optional) . Time Efficiency . Factor (decimal)							
11. (Optional) Net . Minutes Available . (9 times 10)							



## Monitoring Checklist

This checklist should be used frequently by the jail manager to assess the adequacy of the staffing plan. Record problems as they are identified (you may want to use Form 5A-Part 7 for this purpose). Respond to problems as quickly as possible, and be sure to let staff know what corrective actions are taken and why.

### Part 1: Is The Plan Being Followed?

          The first and most obvious monitoring effort requires  
no    yes a close look at the actual staffing of the facility  
after the plan was implemented.

     Is each shift being filled as planned?

     Are shifts being filled by appropriate personnel?

     Are you using more overtime or part-time  
staff than you anticipated?

### Part 2: Are Staff Satisfied With the Plan?

          Find out from all staff (or a representative sample)  
no    yes if they are satisfied with the staffing plan. You  
may want to do this in a staff meeting, through a  
written survey, by meeting with individual staff or  
through a combination of these methods. Be sure to  
solicit feedback from all types of staff (line staff,  
supervisory staff, support staff, civilians, etc.).

Ask staff

- If they are satisfied with their assignment and schedule:
  - are they able to perform tasks as assigned?
  - are enough staff provided to work with them?
  - are other staff qualified for their duties?
- What impact the staffing plan has had on the operation of the jail:
  - are there more or fewer critical incidents?
  - are policies/procedures being implemented?
  - how is staff and prisoner morale?
- How they would improve the staffing plan (and facility operations in general).

Part 3: Analysis of Operational Problems

no   yes   Have problems caused by, or related to, staffing been corrected?

Examine a variety of sources to identify current problems within the jail facility, including

- Critical incidents (e.g. suicides, assaults)
- Escapes or escape attempts
- Prisoner discipline
- Entries in facility logs that indicate ongoing operational problems
- Standards compliance deficiencies
- Prisoner grievances
- Lawsuits filed, pending, or settled

Assemble a master list of problems from these sources and then analyze each to determine if staffing is a part of the problem. If it is, explore methods to change staffing and to correct the problems.

\*   \*   \*   \*   \*   \*   \*   \*   \*   \*

After you identify all problems, go back to the appropriate step(s) of the analysis and make necessary revisions. Be sure to document your activities in this area and to amend forms and narratives as needed.

Consider incorporating the preceding actions into your regular operations (through policy and procedures). An ongoing monitoring effort can benefit the jail organization in many ways.

Staffing Analysis Workbook  
for Jails

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Excellent     Good     Average     Poor     Useless

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