Inmate Behavior Management:

Defining and Conveying Expectations

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Chapter 1: *Setting and Conveying Positive Expectation of Inmate Behavior*

At a recent training sponsored by the National Institute of Corrections (NIC), Jails Division, on the topic of Inmate Behavior Management, jail administrators from several jails were asked to identify inmate behaviors that caused problems for their institutions. They produced a list of behaviors identified in exhibit 1.

Exhibit 1: Inmate Behavior

SPECIFIC BEHAVIORS		
Loud	Destroying property	Not wearing uniform
Hoarding	Making tattoos	Committing acts of self-harm
"House" shopping	Intimidating other inmates	Fighting
Making/possessing contraband	Group intimidation of others	Writing on walls
Suicidal behavior	Stealing	Practicing poor hygiene
Making/possessing weapons	Attempting escape	Making alcohol
Isolation	Excessive complaining	Frivolous grievances
Hunger strikes	Failing to keep area clean	Sexual misconduct
Refusing to take medication	Banging on doors	Failure to follow orders
Lack of respect	Flooding	Answer shopping

This list appears similar each and every time NIC conducts the training. The size of the jail, setting (urban, suburban, rural), current state, architectural design, or operational type do not matter, however, the uniformity of the responses from the participating jail administrators remains consistent.

Jail environments are one of the few environments in our communities where this type of behavior is expected and accepted. While on an interview with an accounting firm if you asked the person conducting the interview to describe the work environment you could expect to encounter if you were hired, you would almost certainly decline any offer if the interviewer would describe the behaviors appearing in exhibit 1. However, in the corrections profession, those behaviors do not seem to intimidate or dissuade potential employees, yet they are the behavioral expectations new recruits bring with them to the job.

The environment created by these behaviors should not be considered acceptable and it is the jail administrators' responsibility to operate their facilities in a way that prevents these behaviors from occurring. Relatively few resources make it challenging to provide assistance and detailed direction to administrators on how best to operate such a complex organization. NIC Jails Division has introduced a training initiative designed to: teach administrators, managers, and corrections officers the most effective methods to control inmate behavior and optimize operational efficiency.

NIC calls the initiative Inmate Behavior Management, or IBM. The comprehensive management system has six identifiable elements that work together to control inmate behavior and create an efficient and effective organization (Hutchinson, Keller, and Reid 2009):

1 ASSESSING RISKS AND NEEDS

2 ASSIGNING INMATES TO HOUSING

3 MEETING INMATES' BASIC NEEDS

4 DEFINING AND CONVEYING EXPECTATIONS FOR INMATES

5 SUPERVISING INMATES

6 KEEPING INMATES PRODUCTIVELY OCCUPIED

Jail administrators have long recognized the behavioral benefits of some the individual elements, but taken together, these six elements allow jail administrators to deploy a complete "operating system" that effectively manages the behavior of the inmates in their custody. Implementing these elements puts the staff in control of the jail, not the inmates. A properly implemented inmate behavior management plan influences inmates to desist in unwanted behaviors (assaults, theft, disobeying orders) while at the same time encouraging more appropriate behaviors. With the creation of IBM, NIC has created a multifaceted jail management operating system that maximizes the effectiveness of proven practices.

IBM starts with assessing each inmate for risk and needs. Risk is defined as how dangerous the inmate is; need is defined as the physiological or psychological requirements for well-being. These risk and needs assessments help determine whether inmates should be accepted for admittance to jail, and how best to manage them in the Intake area and later in population. Inmate classification typically defines a jail's system of assessing risks and needs.

Next, IBM calls for assigning inmates to proper housing within the jail, based on a well-defined housing plan. Using the results of the risk and needs assessment to make an informed decision about housing placement enables staff to effectively manage inmate behavior.

IBM's third element is meeting inmates' basic human needs. The categorization of human needs in the work of psychologist Abraham Maslow serves as the basis of understanding for this. These include physical needs, safety needs, and social needs. While case law has clearly established a jail's legal obligation to meet basic human needs, IBM acknowledges that if a jail does not meet the basic human needs of inmates, the inmates will find a way to satisfy their needs on terms that may be unfavorable to orderly jail management.

Element four, the focus of this document, involves setting expectations for inmate behavior, and then successfully conveying those expectations to the inmate population. Staff expectations for inmates and how those expectations are conveyed has a powerful influence on inmate behavior. Experience has shown that staff can influence inmates to behave by setting high standards, conveying those expectations, and giving the inmates the means to comply. These positive expectations need to be supported by a system of incentives for desired behavior and disincentives to discourage unwanted inmate behavior.

Supervising inmates to hold them individually accountable for their behavior is the fifth IBM element. Staff presence in inmate occupied areas and positive staff interaction with inmates obtain desired inmate behavior. Skills such as decisionmaking, problem-solving, communication, and motivation contribute to the effectiveness of this element.

Keeping inmates occupied with productive activities concludes IBM. Productive, staff-directed activities provide a powerful incentive for inmates to behave. When continued access to meaningful and desired activities is tied to appropriate behavior, they are motivated to meet the expectations of the staff. Providing activities gives staff a means to reward positive inmate behavior.

PURPOSE OF THIS DOCUMENT

This document focuses on explaining Element 4: *Defining and conveying expectations for behavior.*

It is intended to:

- Review what is known about how positive expectations influence behavior

- Identify what concepts are important for jail administrators to understand as they attempt to apply this element to their facilities

- To provide resources that will assist jail administrators in providing training for their staff and in properly identifying positive expectations for inmate behavior

Chapter 2 will outline the general concepts that are important to understand and will describe how they are adapted to a corrections environment. Chapters 3, 4, and 5 will outline, in greater detail, the core components of setting, conveying, and enforcing positive expectations for inmate behavior. Chapter 6 will discuss the importance of monitoring the implementation process. In addition, this document will provide PowerPoint presentations and accompanying workbooks that you may use to train your staff on how to properly identify behavioral expectations.

Jail administrators have long recognized the behavioral benefits of some the individual elements, but taken together, these six elements allow jail administrators to deploy a complete "operating system" that effectively manages the behavior of the inmates in their custody.

Chapter 2: *The Basics of Setting and Conveying Expectations*

THE SELF-FULFILLING PROPHECY

The self-fulfilling prophecy is a classic example of how expectations influence behavior. Anyone who has been motivated to succeed based on the encouragement and positive expectations of another can understand the power of this concept. The self-fulfilling prophecy suggests that our expectations of a person's behavior or performance can actually influence the way that person behaves or performs. If we expect someone to succeed, our expectation can actually influence the eventual outcome.

The best example of this comes from the work of Rosenthal and Jacobson (1968), who designed an experiment to test the power of the self-fulfilling prophecy. In the late 1960s the researchers told a group of teachers who worked in an elementary school in San Francisco that several of the students had tested favorably on an aptitude test, suggesting that these students had a higher potential for learning than other students. The only test the students were given was an educational assessment exam to establish a baseline measure of learning before the start of the school year. It was not an aptitude test and did not identify higher-potential students as was suggested. The identified students had been chosen at random. The researchers wanted to know if the expectations the teachers had for the chosen students could actually lead to greater improvement in student achievement.

At the end of the school year each of the students was again given an educational assessment exam to compare the results to the same exam given before the start of the experiment. The results demonstrated that the students who were identified as having a higher potential for learning actually scored higher on the year-end exams. In addition, and more important to this discussion, the students who were identified as gifted received more favorable behavioral evaluations by their teachers than did other students. The researchers suggested the results demonstrated the power of the self-fulfilling prophecy: **the teachers' expectations for student success actually influenced the students to perform to the teachers' levels of expectation.**

In a detailed evaluation of the experiment, Rosenthal and Jacobson (1968) were quick to point out that although expectations had a positive effect on student outcomes in their particular experiment, nothing suggests the influence expectations have on behavior is always positive. This means our negative expectations of a person can actually influence or cause poor behavior to occur. When you think of your own correctional environment, how many times have you heard an officer respond to negative inmate behavior by saying, "What do you expect? They are inmates."

If you challenge whether the self-fulfilling prophecy has a place in corrections, ask yourself whether you and those you work with have negative expectations of the inmates. Do they behave poorly because that is what we expect from them, or are our expectations a result of their behavior and a product of the nature of an inmate? The only way we will know the answer is to change our expectations and see whether inmate behavior changes to match our new expectations.

The remainder of this resource guide is designed to help you change the expectations your staff may have of the inmates. Changing the facility culture, how we view the inmate population, is not easy and will take a detailed and planned effort. This guide will explain the critical components of establishing positive expectations: setting, conveying, and enforcing positive expectation of inmate behavior. It will also provide training materials to assist in teaching your staff the importance of behavioral expectations.

Chapter 3: *Setting Positive Behavioral Expectations*

This chapter deals with the first of three critical components of Element 4: Setting positive behavioral expectations. This may be more challenging than you think because all staff members bring with them different life experiences that uniquely influence the way they perceive inmates and what they expect from them. If you ask several different staff members to list six behavioral expectations they have of the inmates, chances are you will receive very different lists. The challenge of the administrator is to help staff create an agreed upon list, consistent with your desire to create positive behavior. This chapter outlines some things you will need to keep in mind when trying to establish positive behavioral expectations.

MANAGEMENT VERSUS DISCIPLINE

Educational researchers continually comment on something that corrections professionals have intuitively known for years: there is a difference between management and discipline. Understanding this is essential in changing the behavioral expectations your staff may have of inmates. Wong and Wong (2009) suggest that discipline has very little to do with management. They comment that effective teachers manage their classrooms while ineffective teachers discipline theirs. Many corrections administrators will note that their best officers are not necessarily the ones that write the most misconduct reports, but rather they are the ones who write the fewest.

It is important to realize that it is not what corrections officers do to stop poor behavior that demonstrates effective group management, rather what they do to prevent it from occurring in the first place that matters (Wong and Wong 2009). Research demonstrates that in some professions, those who are proactive and try to prevent unwanted behavior from occurring are more successful than those who are simply reactive (Jones and Jones 2007). The same is true of corrections officers; those who are proactive always seem to be able to prevent behavior from reaching critical stages and often seem to find themselves in the right spot at the right time.

Traditionally in the corrections profession, control is viewed as a product when, in fact, it is a process. The product is actually inmate behavior and the process requires that inmates be managed, not simply observed. Control does not happen through threats or intimidation, through the use of security devices, or through segregation and separation.

The process of control requires that an individual knows:

1 What he or she is doing,

3 His or her professional responsibilities (Wong and Wong 2009).

2 Proper policy and procedure,

Knowing how to manage a housing unit requires the officer to understand how to set, convey, and enforce behavioral expectations.

Considerations for Setting Expectations:

ALLOW OFFICERS TO ESTABLISH
POSITIVE BEHAVIORAL EXPECTATIONS

⬇

STANDARDIZED OR VARIED EXPECTATIONS

⬇

BE CONSCIOUS OF THE POST ROTATION SYSTEM

⬇

SUPPORT FUNCTIONS

⬇

POSITIVE EXPECTATIONS

CREATING BEHAVIORAL EXPECTATIONS

As noted earlier, setting behavioral expectations may be more complicated than first imagined because officers, supervisors, and administrators may not have uniform behavioral expectations. The challenge is to create a list that every person can respect and agree upon. Consistent and continual enforcement is important, so creating a set of expectations that receives universal acceptance is the first step in establishing an effective system.

Consider several things when setting expectations:

1   **ALLOW OFFICERS TO ESTABLISH POSITIVE BEHAVIORAL EXPECTATIONS**—It may be tempting for supervisors or administrators to set behavioral standards to meet their own expectations. However, it is the officer who works most closely with the inmate population and is influenced most directly by the behavioral expectations that are established. Ensuring delivery of a consistent message to the inmates, the content of that message must be supported by line staff. They are more likely to support the content if they had a hand in developing it.

2   **STANDARDIZED OR VARIED EXPECTATIONS**—It is important to remember there may not be one set of expectations that applies to the entire facility. A jail may choose to have a standardized set of behavioral expectations, which suggests all inmates should behave the same regardless of who they are, where they are housed, what types of responsibilities they are given, and what types of privileges they receive. It is also possible, however, that behavioral expectations will be different, or varied depending on any number of circumstances. The behavior you expect from an inmate who is on your work release program may be different from the behavior you expect out of a maximum custody inmate, which is different than the behavior you expect from an inmate worker. Your agency must decide which approach, standardized or varied, is most appropriate and that decision must be clearly conveyed to the staff.

3   **BE CONSCIOUS OF THE POST ROTATION SYSTEM**—The style of post rotation that a facility adopts does have an influence on the ability to build consensus regarding positive behavioral expectations. All facilities assign officers to given assignments, locations, or posts in a predetermined fashion. Some change officer assignments at hourly intervals, some every day, some on established rotations (every 30, 60, or 90 days), and some assign officers on a permanent basis. Those facilities that have hourly or daily post rotation systems may experience some difficulty in reaching a consensus among staff. This is largely due to the fact that the officers are not familiar enough with inmates in a certain area or unit, given their lack of any extended exposure, to identify problematic behavior. This is particularly true for agencies that choose to adopt a philosophy where expectations vary based on housing unit, type of inmate, or level of responsibility.

4   **SUPPORT FUNCTIONS**—Setting behavioral expectations is not the sole responsibility of the housing unit officer. Although most inmate misconduct does occur on housing units (Atlas 1983), any number of employees who oversee a variety of unique institutional functions need to set behavioral expectations. Booking and receiving, institutional employment, specialized program pods or units, and work release are all examples of institutional functions that may require a different set of behavioral expectations to deal with behavior that typically occurs in those settings.

5   **POSITIVE EXPECTATIONS**—Remember the goal of creating the expectation of positive behavior so those that are created should be presented positively to the inmates. Avoid using phrases such as, "Don't…", "You are not permitted…", "You should never…"

Example of general rules:

- Be respectful of other residents, staff, and volunteers

- Practice proper hygiene

- Keep your living area clean

Example of specific rules:

- Always speak in a respectful tone to other residents, staff, and volunteers.

- Yelling or using profanity when addressing someone is considered disrespectful.

- Please make sure you shower on a daily basis, or when the opportunity is afforded to you.

- Please keep your cell and living area in a manner consistent with the pictures posted on the information board. All beds need to be made and personal belongings placed in your locker by the 8:00 a.m. inspection.

General rules are broad by nature, while specific rules are more precise.

TYPES OF RULES: GENERAL AND SPECIFIC

There are two types of behavioral expectations that can be established: general and specific. General rules are broad by nature, while specific rules are more precise. Regardless of the style chosen by your agency the goal is the same: expectations are designed to discourage negative behavior and encourage positive behavior (Wong and Wong 2009).

Advantageously, a broad range of behaviors can be addressed by a few simple comments with general rules (Wong and Wong 2009). "Be respectful of other residents, staff, and volunteers," can mean more than just the tone of one's voice or the use of profanity. It can mean respecting personal property, personal space, the practice of one's religion, or the expression of opinions. However, the expectation needs to be clearly explained to the inmate, a task which may be easier for older, more veteran officers than less seasoned staff (Wong and Wong 2009).

A specific rule clearly states a behavioral expectation and leaves little room for confusion or misunderstanding (Wong and Wong 2009). The rule, "Always speak in a respectful tone to other residents, staff, and volunteers. Yelling or using profanity when addressing someone is disrespectful," leaves little confusion that officers will not tolerate yelling or profanity. However, specific rules may require many be created to accomplish what one broad rule may cover. Specific rules may be better for less seasoned officers, but may prove cumbersome to veteran officers.

You may choose to use one type over the other, or in combination. Jails that choose standardized expectations might be more likely to select general rules, ones that are more easily applied to the entire population. Jails that choose to have varied behavioral expectations might find specific rules more helpful to address the unique needs of different types of inmates. Used in combination, a jail might have a few general rules that apply to the entire population and specific rules for certain housing units, inmate workers, or work release inmates. The choice is individual to each institution.

NUMBER OF RULES

In establishing behavioral expectations the goal is to have them easily remembered by the staff and inmates. Too many rules pose a challenge to this. Much of the information that is given to someone is given in a short, concise format. Your phone number, social security number, credit card numbers, and zip code are all pieces of valuable information that need to be remembered. All are given in a condensed format so they are easier to remember (Wong and Wong 2009). The same should be true of behavioral expectations. Avoid creating a list your staff has difficulty conveying to the inmates and the inmates have difficulty remembering.

That does not limit your ability to establish strong behavioral expectations. Behavioral expectations can vary and change over time based on the behavior of the inmates. A behavior that is not problematic today may become so in the future. If that is the case, it can be specifically addressed when the need arises. As an example, Rick Kaledas, Jail Administrator for Washtenaw County (Michigan), has adopted a "Rule of the Month" approach, through which he or his staff can address issues they feel warrant attention at any given time. This allows for the creation of fewer formally posted expectations while, at the same time, giving them the flexibility to address a wide variety of behaviors that they feel need to be corrected.

Chapter 4: *The Keys to Conveying Positive Expectations*

As noted in chapter 3, there are three important components to remember when implementing a system of behavioral expectations in your facility. First, setting positive expectations, and second, which is the subject of this chapter, conveying those expectations to the inmate population. There are two ways in which expectations can be conveyed to the inmate population: directly and indirectly. Direct methods are specifically intended to convey a message or meaning, and are most often under the control of either the administration or the officer. Indirect methods refer to expectations conveyed inadvertently or without forethought.

DIRECT CONVEYANCE

Rules and behavioral expectations can be conveyed by either the administration or the officer. The most common method for an administrator to convey information to the inmate population is through the inmate handbook, or a pre-recorded inmate orientation video. Regardless of whether the inmate is given a handbook, the handbook is posted on the housing unit, or the inmate is required to watch an orientation video of some type, these methods are the administration's attempt to convey a large number of expectations to the inmate at one time. There is little attempt to judge comprehension in these methods. Many administrators feel that giving an inmate handbook to every inmate is a poor use of resources because an inmate only reads the document when he or she gets into some type of trouble. Consider how many times you have seen a request slip submitted by an inmate that asks a question to which the answer can be easily found in the handbook.

With respect to the inmate orientation video, many facilities stream the video through the inmate television system at a certain time every day. Inmates are instructed to watch the video, or are simply told it is available for them to watch at a certain time. Although this method avoids literacy problems inherent in the inmate handbook, it still does not ensure comprehension or proper attention. These comments do not mean to suggest they are not important parts of an effective management plan; rather it is meant to suggest there needs to be other, officer-directed methods by which behavioral expectation can be conveyed.

The most common method for officers to convey behavioral expectations is through some form of orientation, or by simply interacting and talking to the inmates. Officer-directed orientations are often non-existent or underused in many facilities. In determining the role they play in managing behavior, consider how many housing units in your facility operate differently than one another or under a different institutional schedule. Does the inmate workers unit operate with the same set of rules as the disciplinary segregation unit? Do maximum custody inmates receive visits, recreation, or meals at different times than a minimum custody unit? Do inmates who work in the kitchen work under the same set of rules as those who clean the outside grounds? If the answer to any of these questions is no, chances are there is a need for an individual, officer-directed orientation as part of the process through which behavioral expectations are conveyed to the inmates.

INDIRECT CONVEYANCE

As noted earlier, indirect methods refer to expectations conveyed inadvertently or without forethought. As an example, many agencies require that officers follow a strict dress code and appear for their shift dressed professionally. The neat and orderly appearance of the officer conveys a message to the inmate although the officer may not intend it to do so. It is harder to convince an inmate that he or she needs to appear in proper uniform and keep the housing unit neat and orderly when the officer appears to lack those qualities.

In one podular remote facility, an officer gained the attention of the inmates in a given housing unit by banging his or her hand on the thick glass of the unit window. Once the inmates knew the officer wanted their attention, the officer would shout out an inmate's name. In return, when the officer was making a round and passing by the podular remote housing unit, how do you think an inmate sought the attention of the officer? He or she would simply pound on the window of the unit until the officer made eye contact. There was no rule in the inmate handbook stating an inmate should bang on the housing unit window to get an officer's attention; rather it was learned by the inmate as the most effective means of communication through the indirect conveyance by the jail staff.

THE IMPORTANCE OF OFFICER-DIRECTED CONVEYANCE

Having established there are both direct and indirect methods of conveying behavioral expectations to inmates, the remainder of this chapter deals with the issue of officer-directed methods. That is not meant to suggest that direct, administrative methods or indirect methods are not important; rather it is meant to highlight the importance the officer has in regulating behavior. In many facilities the officer does not play a role in conveying behavioral expectations, nor do officers see it as their primary role. That paradigm needs to change and can be quite simply. Without strong officer-directed expectations, creating a well-run correctional environment is difficult.

UNIFORMITY AND CONSISTENCY

Perhaps the most important concept to understand with respect to effectively conveying positive expectation of behavior is that conveyance must be uniform and consistent. Uniform means every officer who has some type of responsibility for supervising inmates must convey established behavioral expectations; and consistent means it must be done each and every time the opportunity presents itself.

Uniformity and consistency are important because routines provide an effective means of structuring acceptable behavior (Feldman 1992), both for the inmates and the officers. Routines are more important to agencies like jails because typically there is little coordination of work between staff. This often occurs because people have overlapping responsibilities and work is required to continue regardless of who is present, or more importantly, who is absent (Feldman 1992). Because jails operate around the clock, inmates are naturally exposed to a variety of officers who work on different platoons under different supervisory systems. If your agency rotates shifts on a continual basis, give some thought to how many officers an inmate will take direction from during the period of any given week. The number may be staggering.

Lax or ineffectively conveyed expectations can lead to confusion, which, in turn, leads to misbehavior (Wong and Wong 2009). It is this misbehavior that will lead to difficulty between your staff and the inmate population. Environments have an influence on behavior and one of the essential characteristics of an environment that supports positive behavior is the clear establishment of behavioral expectations (Jones and Jones 2007). This clearly points out the importance of a uniform and consistent system of conveyance.

ESTABLISHING A SYSTEM OF UNIFORM AND CONSISTENT CONVEYANCE

It is the role of the administrator to create a system in which the established behavioral expectations are conveyed to inmates in a uniform and consistent method.

When doing so, it is important to remember some key factors that influence success:

1   **MAXIMIZE CONTACT BETWEEN OFFICERS AND INMATES** – It is not possible to convey positive behavioral expectations to an inmate without having personal contact with him or her. Unfortunately, several jails limit, or even prohibit, contact between officers and inmates. This is often more a product of the institution's culture rather than out of a need to ensure officer safety. It is critical that officers and inmates have personal contact. Expectations cannot be effectively conveyed through the use of an intercom or while standing behind some type of barrier.

It is important to realize that expectations are never simply conveyed once. Facilities that have established strong systems of behavioral expectations allow officers to convey, or in many instances re-convey, expectations through repeated contact with the inmate.

2   **CONVEY IMMEDIATELY** – It is important that positive behavioral expectations be conveyed to the inmate as quickly as possible after assignment to a housing unit, or changes to one's level of responsibility. Do not allow other inmates to convey behavioral expectations to one another before the officer has had a chance to do so. Establish a system in which an officer or staff member interacts with an inmate immediately upon assignment, or, if possible, before assignment to ensure the expectations are clearly defined.

3   **ALLOW OFFICER INPUT** – In the examples that will be discussed shortly, one of the defining elements of each shows the method of conveying positive behavioral expectations was created by the officers, not the supervisors or administrators. Do not discount the value provided by line staff in establishing an effective method for conveying expectations to inmates. If the goals are uniformity and consistency, what better way to ensure that than to allow the officers a voice in creating the method? Just remember to ensure the method includes contact between the officer and inmate.

GROUP VERSUS INDIVIDUAL CONVEYANCE

Establishing the system by which officers convey behavioral expectations directly to inmates can be done in three ways. Officers can choose to interact with each inmate individually, they can choose to address the inmates in groups, or they can choose to convey positive expectations using some combination of the two. Regardless of the methods chosen, the goals are the same: the expectations must be conveyed uniformly and consistently.

The easiest way to demonstrate all of these methods is to look at the examples provided by the successful implementation at two different jails: Northampton County (Pennsylvania) and Brazos County (Texas). It is important to note in both cases the administration addressed each of the points listed above: they sought to maximize contact between the officer and inmate, they created a system in which expectations were conveyed immediately upon housing change or assignment, and they allowed the officers' to create the method by which expectations were conveyed.

NORTHAMPTON COUNTY

In Northampton County the officers who were assigned to different housing units chose to convey positive behavioral expectations that were specific to each unit in different ways. There is not one preferred or desirable method; any number of methods can be selected as long as implementation is uniform and consistent. In the first example, officers who worked one of the units decided each inmate would be given an index card upon their admission to the unit. On one side of the card were several positive behavioral expectations and on the other side was the institutional schedule for the housing unit (the card is presented in appendix A). Each inmate was given the card by the officer working the unit immediately upon the inmate's assignment, with the officer addressing each of the expectations at that time. The officers designed the system to ensure every inmate was given the exact same orientation and each knew exactly what was expected of him.

On a different unit in Northampton County, the officers chose to create a poster that listed the behavioral expectations. Upon admission, each inmate would be taken to the poster and the behavioral expectation of the unit would be explained to him. This approach is unique because the officers also chose to list on the poster what behavioral expectations the inmates could expect from the officers (this poster is presented in appendix B). How many administrators can say their staff would feel comfortable doing this? The officers felt strongly that if they were to expect a certain type of behavior from the inmates then the inmates should have the right to know exactly what type of behavior they could expect from the officers. This truly demonstrates an understanding of the power of behavioral expectations.

In addition, several of the housing units instituted group meetings, similar to the "town hall" meetings made popular on the campaign trail. At least once each shift an officer would call all of the inmates together and address them as a group. It might be to inform them of something that was going to occur that day, to address an issue that needed the group's attention, or to reinforce a behavioral expectation that the officers felt was not being met. In any case, it was an effective way for the officer to convey information to every inmate at the same time.
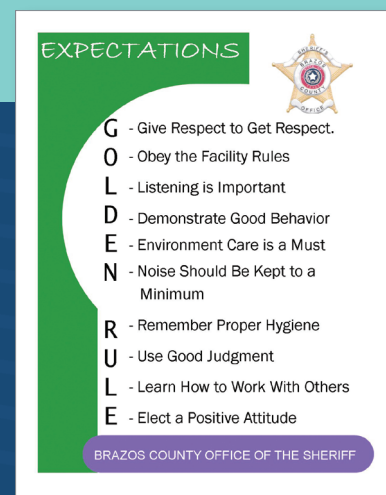
BRAZOS COUNTY

In a different approach, Brazos County chose to implement one set of standardized behavioral expectations for all units. In a manner similar to Northampton County, the administration in Brazos County chose to give the officers the responsibility for creating the list of behavioral expectations. They created "The Golden Rule." Exhibit 2 presents a set of behavioral expectations posted on every housing unit. Each of the letters of "The Golden Rule" relate to a behavioral expectation. Walk anywhere in Brazos County's facility and you will find the posters prominently displayed.

CHAPTER 4 CONCLUSION

As one can see from the examples provided, it is not necessarily the method that will prove successful; it is the manner in which the method is operationalized. Even within a facility it is possible to develop an effective system of conveying behavioral expectations that is different from unit to unit. The determination to create rules unique to each housing unit (Northampton County) worked just as well as the decision to create a standardized set of expectations (Brazos County). The important feature to each was that the same goals existed, each facility wanted to convey expectations in a uniform and consistent manner.

Exhibit 2: Behavioral Expectations

Upon an inmate's placement on a housing unit, the officer will discuss the expectations with each inmate. Since the expectations are uniform, the inmate's movement throughout the facility does not require that the expectations be reaffirmed. Officers need only address specific behavior as it deviates from what is expected.

EXPECTATIONS

G - Give Respect to Get Respect.
O - Obey the Facility Rules
L - Listening is Important
D - Demonstrate Good Behavior
E - Environment Care is a Must
N - Noise Should Be Kept to a Minimum
R - Remember Proper Hygiene
U - Use Good Judgment
L - Learn How to Work With Others
E - Elect a Positive Attitude

BRAZOS COUNTY OFFICE OF THE SHERIFF

Chapter 5: *Enforcing Positive Behavioral Expectations*

Once positive behavioral expectations have been clearly identified and conveyed to the inmate population they must be enforced. Consistent enforcement serves the third critical component in the implementation of positive behavioral expectations and success cannot be realized without it. Criminal justice researchers have demonstrated one of the common features of high-crime locations is they tend to have fewer rules and lax enforcement (Eck, Clarke, and Guerette 2007). Over time, lax enforcement and inaction makes behavior more difficult to change (Felson et al. 1996).

The importance of rule enforcement has been extensively studied in school environments as well. One of the most important differences appearing in school-to-school comparisons with respect to student behavior shows schools with better student behavior had clearly established systems of discipline that were firm, fair, and consistent (Jones and Jones 2007). But how does one create a consistent form of rule enforcement when such a large number of people have influence over how, or maybe more importantly, whether a rule is enforced? The answer lies in how we teach our officers to make decisions and how we influence their perceptions of appropriateness.

TEACHING DECISIONMAKING

One administrator who recently implemented the Inmate Behavior Management (IBM) system in his facility commented that he was concerned about turning rule enforcement, and more accurately, the majority of decision making over to the more than 100 officers he employed. He noted that it was easier to control the behavior of a dozen supervisors than it was 100 officers. But as he soon found out, the solution to his hesitation was provided by quality training. Training officers how to make decisions is the first step in establishing consistent enforcement.

The exercise of discretion is an inescapable part of the corrections profession. As a matter of fact, discretion is necessary in any profession where choices have to be made outside the direct control of a supervisor (Feldman 1992). But researchers have determined discretion is far from unpredictable. It tends to follow clear and specific principles and can be managed (Baumgartner 1992). Focusing on the process for making decisions and not the substance of the decision itself remains one of the ways to control and structure discretion. Training on how to make decisions can clearly influence discretion and the perceptions officers have as to the appropriateness of certain behavior (Feldman 1992).

To illustrate how changes in officer training can influence behavior, consider the example of the evolution of police use-of-force practices. Before the 1970s police operated under the "fleeing felon rule" and were given a great deal of latitude in the use of deadly force. Often, police recruits spent many hours at the academy practicing marksmanship skills, yet had very little, if any, instruction on when to shoot (Walker 1993). With the 1974 shooting death of Edward Garner, a 15-year-old, unarmed suspect found to be in possession of a stolen purse, greater national attention was given to the police's use of force. Police departments began to change to more restrictive policies and began teaching officers when to use deadly force. As a result, between the early 1970s and late 1980s the use of deadly force was reduced by at least 30 percent (Walker 1993). Simply by introducing training and concentrating on the process of decisionmaking, departments were successful in changing the behavior of a large number of officers. Today, uses of force continuums are a universal part of policing. If you are a sheriff-operated jail, you would expect that your staff, whether patrol or detention, are familiar with the use of force continuum even though they may never have to draw their weapon.

One of the reasons for teaching the continuum is to regulate the use of discretion and guide officer decisionmaking. Administrators want to ensure decisions are made consistent with the philosophy they have adopted for situations requiring force. The advantage of the IBM system positively provides the administration, and ultimately the officer, with a framework in which to make decisions. These decisions may not involve the use of force, but responding to a non-compliant inmate can be stressful and would be best served if the officer received direction in how to respond to such a situation. Teaching your staff the importance of how to set, convey, and enforce behavioral expectations and the influence that has over encouraging positive behavior is similar to teaching them how to move through the stages of force continuum.

Outside of the correctional environment we are influenced by continuums more than we might think. When your computer breaks down you can call a service line for assistance. Regardless of the problem or your expertise with computers, the person on the other line always asks the same question first: "Is your computer plugged in?" We may find that question quite annoying, but the respondent has been trained to start with the simplest fix and work their way up the continuum to identify more complicated problems. Asking you to mail your computer to them at the slightest sign of trouble creates a service backlog that could have been avoided if they had simply tried to find the easiest solution.

CREATING A BEHAVIORAL RESPONSE CONTINUUM

If influencing or structuring the use of discretion is important at your facility, try creating a behavioral response continuum similar to your use of force continuum. Exhibit 3 provides a starting point.

The starting point for this continuum is in the exercise of the least restrictive option to change negative or encourage positive inmate behavior. It may be that the continuum starts with officer presence, or perhaps even before that is the recognition that a behavior is contrary to accepted standards. It may move through stages that call for verbal warnings or encouragement, re-teaching or re-orientation, establishing incentives or restricting privileges, providing rewards or instituting minor punishments, and ending with promotion to a better unit or removal to a more restrictive setting. However it is constructed, it should be designed to guide officer behavior and ensure the response one officer has to inmate behavior is consistent with another officer's response.

Exhibit 3: Behavioral Response Continuum

LEAST
Restrictive

MOST
Restrictive

Remember several things when trying to create consistency among staff:

1 ALLOW OFFICERS TO COMMUNICATE WITH ONE ANOTHER—Not allowing your officers to communicate with one another is one of the critical errors that occur when agencies fail to establish consistent responses to inmate behavior. An officer on one shift or platoon needs to know that an officer on another addressed a particular behavior displayed by an inmate by using one of the techniques identified in the continuum. If information like this is not known, the response to a particular behavior may never work its way up the continuum. It also allows the officers to re-enforce to one another the importance of addressing behavior when it occurs and it demonstrates there is a commitment to encouraging positive behavior.

2 ALLOW OFFICERS TO ESTABLISH THE CONTINUUM – Just as recommended with respect to setting and conveying behavioral expectations, it is necessary to allow the officers to establish the stages of behavioral response. The goals are the uniform and consistent enforcement of rules. Allowing the officers to establish the standards is an effective method to encourage those goals.

3 INCLUDE BOTH INCENTIVES AND DISINCENTIVES – In creating the continuum, remember it is important to include both incentives and disincentives. All too often the continuum only includes disincentives or punishments. But for it to be effective, each disincentive should have a corresponding incentive. An example of this concept is presented in appendix C.

4 THE NEXT IS NOT ALWAYS BETTER – It is important to teach your staff that removing an inmate from a housing unit is not always the easiest way to manage behavior. There is no guarantee the inmate who replaces the one removed will be any better. In addition, simply removing the inmate rather than trying to address the behavioral issues only means another officer on another housing unit has now inherited the problem.

INCENTIVES FOR POSITIVE BEHAVIOR

One of the more difficult concepts to teach an officer is the appropriateness in trying to motivate inmate behavior by offering incentives and rewards, in the same way that many of us deal with our own children. Why should a child be rewarded for getting straight A's on a report card? Isn't that what we should expect from the child? Or is it more realistic to believe the child will strive to accomplish the task of attaining straight A's if there is some incentive or reward associated with the accomplishment? If a child needs an A on the last exam of the marking period to receive straight A's for the semester, will the child try a little harder if there is a reward associated with it? Or do we naturally assume it is the intrinsic reward that is important? For some the answer may be intrinsic, but for many the thought of receiving some type of reward is very motivating.

Many people in the corrections profession believe inmates should do what they are told, when they are told, and how they are told, simply because someone in a position of authority has spoken, as if there was some intrinsic reward or sense of satisfaction from following orders. That belief shows very little understanding of human behavior. Inmates continually demonstrate they have difficulty with authority and for many, that difficulty is the reason they are in jail. To expect unquestionable and unmotivated compliance is unrealistic. To gain compliance from many inmates the officer, supervisor, or administrator needs to make it in the best interest of the inmate to comply.

The difficulty in translating a system of rewards and incentives to our environment, as expressed by officers, supervisors, and administrators, who have been trained on this issue, is preventing the incentives or rewards from becoming entitlements. Entitlements do not have the same effect on behavior, and, if the perceived entitlement is withheld, the result has a negative effect on inmate behavior.

But there are ways to prevent a well-crafted system of rewards and incentives from being viewed as entitlements:

1   **LINK REWARDS AND INCENTIVES TO SPECIFIC BEHAVIOR** – Do not offer incentives or reward inmates simply for being good. Any incentive or reward should be directly tied to a behavior that needs to be addressed. Offering an extra hour of television at the end of a week for the inmates if they are "good" does not address a specific problem that may exist on the housing unit. Offering a day of "free" coffee once positive cell inspections on the unit pass 90 percent is designed to address a very specific behavior that someone felt needed to be improved upon.

2   **AVOID THE SAME INCENTIVE** – Your facility needs to be creative with inmate incentives and rewards. Do not offer the same incentive every week or it will become an entitlement. An extra hour of television given every week for two months quickly becomes seen as something expected rather than earned.

3   **SET BEHAVIORAL GOALS THAT INMATES MUST WORK TO ATTAIN** – There is a fine line between making an incentive too easy or hard to obtain. If the goal is too easy it can be viewed by the inmates as a foregone conclusion, leading to the belief that it is actually something they should receive regardless of their behavior. If it is too hard and viewed as unobtainable the inmate will place little value in trying to comply with the standard. The behavioral goal should be somewhere in the middle, something the inmate must strive to accomplish.

The discussion now turns to how best to create a system of incentives and rewards. If your facility does not have one, starting from scratch is not that difficult. If your facility already has one, the challenge is to determine whether the system as it currently stands is effective at encouraging positive behavior.

In either case, there are several things to keep in mind when creating your system:

1   **ALLOW OFFICERS TO IDENTIFY BEHAVIORAL PROBLEMS** – In understanding that incentives and rewards need to be tied to specific behaviors, it is important to allow line staff to determine what issues need to be addressed through the proper use of incentives. This will force the officers to communicate with one another to help identify problematic behavior and it will assist in building consistent monitoring of the behavioral goal.

2   **UNDERSTAND HOW POST ROTATION INFLUENCES INCENTIVES** – If a facility uses a continual post rotation system, one in which an officer has a different post every day, it is difficult for an officer to have enough exposure to the same group of inmates to be able to identify a behavioral problem. It is unrealistic to expect an officer who only has the responsibility of supervising a given housing unit every few weeks to understand what problems need to be addressed.

3   **KNOW WHAT MOTIVATES YOUR INMATES** – Be aware of what motivates a certain type of inmate. Do not assume what motivates you might motivate the inmate as well. The same type of incentive offered to encourage positive behavior from your maximum custody inmates might not work with the inmate workers and might not work with female inmates. Do not be afraid to ask the inmates what would motivate them to comply.

4   **KNOW WHAT IS ACCEPTABLE TO YOUR STAFF** – If the idea of offering an incentive to an inmate to encourage positive behavior is foreign to your staff, or you feel your staff may be resistant, be conscious of starting with incentives the staff might be willing to accept. Your incentives do not have to be expensive or complicated; it may be as simple as an extra hour of recreation, or as inexpensive as a bottle of soda. But don't underestimate your staff either; push them to challenge their thinking.

DISINCENTIVES

Finally, it is important to understand that any strong system of incentives and rewards is supported by a system of disincentives. Sometimes rewarding an inmate is not the best way to convince him or her to behave. Inmates need to be held accountable for their behavior and recognize that negative behavior has negative consequences. Not much attention is given to the subject in this document because, as corrections professionals, we are accustomed to punishing negative behavior; we are accustomed to taking things away from inmates.

What your staff should understand is that there is a difference between a disincentive and punishment. Punishment comes at the end when other efforts at regulating behavior have failed. Punishment is not necessarily intended to prevent a behavior from occurring in the future; it is designed to punish the present act or behavior. Will placing an inmate in disciplinary segregation prevent him or her from committing another misconduct in the future? Possibly, but more likely than not, disciplinary segregation is filled with repeat offenders, demonstrating that punishment is not always the best way to prevent behavior from occurring.

A disincentive, on the other hand, is something used to motivate behavior. It is designed to suggest to the inmate that it is in his or her best interest to behave in a manner consistent with expected standards. It can be as simple as loss of a privilege or as complicated as cell restriction. Again, to be effective, the officer must know the inmate and know what is important to him of her. Disincentives must be things the inmate feels are undesirable or unwanted should they occur, and what is considered undesirable and unwanted for one inmate could be different for another.

Inmates need to be held accountable for their behavior and recognize that negative behavior has negative consequences.

Chapter 6: *Monitoring Implementation*

This chapter discusses the importance of monitoring outcomes and processes to ensure proper implementation. Monitoring or, in the latter stages of implementation, auditing your progress requires you understand the importance of data collection, analysis, and response. Almost all agencies collect a great deal of data, but the more efficient agencies understand what can be done with it. Data is important to any agency because it can be used to define your agency's purpose, to answer questions, and to solve problems.

DATA COLLECTION

Data comes in two forms: quantitative and qualitative. Quantitative data is most often thought of as numerical data. It is information collected that can be made into a count: the number of assaults, the number of grievances, or the number of medical requests in a given month. It can also be spoken data put into numerical form using some type of scale. As an example, asking your staff where they would place morale on a scale of 1-10, with 1 being the worst morale and 10 being the best, is a form of quantitative data.

QUANTITATIVE

MOST OFTEN THOUGHT OF AS NUMERICAL DATA

QUALITATIVE

TAKES THE FORM OF SPOKEN OR OBSERVED INFORMATION

QUANTITATIVE DATA

Because of common citation, quantitative data is easy for most professionals to understand. Most administrators can tell you their average daily populations, what percentage of the population is white, black, Hispanic, etc., and what the average age is of a typical inmate. Many of the jail management processes, including booking, classification, medical, and discipline are designed to collect a great deal of information for the primary purpose of identifying trends or changes in the profession.

Knowing what data is available to your agency is important; but equally important is knowing what the data can tell you about your organization.

Consider how the following data can assist in developing an understanding of how well behavioral expectations are set, conveyed, and enforced:

1 Inmate Misconduct Data

It is important to track misconduct data from several different angles.

- First, it is important to know who is committing misconduct; what is the classification of the inmate and the status (inmate worker, work release, PC, etc.). Knowing who is committing misconduct may assist in determining if your facility is in need of standardized or varied behavioral expectations.

- It is also important to know what type of misconduct inmates are committing. It is often beneficial to create larger categories of behavior such as nuisance or disrespectful or predatory behavior. Do not, however, over-generalize behavior. If you are inclined to create behavioral categories, make sure the items in each category make sense. Do not create categories that are so broad they mix behaviors that should be tracked independent of one another. One of the reasons it is important to track specific behaviors is to assess the effectiveness of your current behavioral expectations and to determine whether those expectations need to change or be modified based on the types of commonly recorded behavior.

  > *As an example, a jail decides to create a category for behavior it considers to be "sex offenses." In this category are misconduct violations for consensual sexual contact, inappropriate sexual language, exposing or flashing, and rape. Although each of the behaviors detailed in this category are unwanted by the administration, the challenge to the category is that some types of behavior are overtly predatory (what is considered "hands-on") and some are not. If the quarterly statistics show that 10 misconducts occurred in this category, is there not value in knowing how many of those were actual rapes and how many were for inappropriate language? After greater refection, the charges within the broader category really do not have that much in common.*

- It is also important to track where the behavior occurred, with respect to both the inmate's housing location and the location of the incident. Some research suggests corrections officers can have misperceptions as to what parts of the jail are most dangerous (Rengert and Ratcliffe 2005). Knowing where misconduct occurs helps develop strategies to prevent future occurrences. Finally, knowing what types of behavior occurs in which locations of the jail will help determine whether your facility would be better suited with varied or standardized expectations.

- With respect to inmate misconduct data, it is important to track officer information. Knowing who writes misconduct reports, for what violations, and on which shift is very valuable information in determining if behavior expectations are being set, conveyed, and enforced uniformly and consistently. Many jail administrators recognize that shifts tend to take on a personality of their own. That personality needs to be managed in such a manner as to ensure behavioral expectations are established and enforced according to the philosophy of the organization.

2   Critical Incidents

Tracking critical incidents is more involved than simply using misconduct information as the sole source of data because the behaviors included in an organization's critical incidents is more diverse. It includes issues such as use of force, suicide attempts, inmate injury, staff injury, fire, etc. In essence, a critical incident can be anything disrupting the orderly running of the institution. As was the case with inmate misconduct, it is important to know who is involved in the incident, what the incident entails, and where the incident occurred, because this information can shape the face of your behavioral expectations.

3   Inmate Grievances

Inmate grievances are a useful source of information from which you can try to determine whether your system of behavioral expectations is functioning the way you expect. Consider evaluating grievances under the following conditions:

- It is important to know who is submitting a grievance. Are they dominated by a certain classification (medium custody), or designation of inmate (inmate worker)? If so, are there conditions existing that could require changes to the behavioral expectations established for that type of inmate. Also, knowing who writes grievances can help avoid unnecessary organizational changes. As an example, if you have an inmate that simply likes to write grievances to pass the time of day that may be more a reflection of the inmate's personality than your operational system.

- It is important to create categories of grievances so they can be easily tracked: those that involve officers, medical, food service, discipline, commissary, etc. With respect to setting, conveying, and enforcing behavioral expectations, those grievances involving officers, medical, and discipline can be used to evaluate the quality of your system. Grievances against officers can suggest a lack of uniformity and consistency, or can highlight an officer-inmate relationship not based on respect.

- It is also important to track the number of legitimate or founded grievances and their category. Grievances with merit can be helpful in determining weaknesses in the delivery of your system of behavioral expectations.

- Finally, with respect to grievances, it is important to track officer-based information. Are there officers who have grievances written against them more often and for what? Are there shifts or platoons that have more grievances written against them? This information could suggest some inconsistencies in the uniform and consistent delivery of behavioral expectations.

4   Housing Unit Changes

The number of housing unit changes that are based on an officer's recommendation is often overlooked but helpful. If you think back to the behavioral response continuum presented in chapter 5 of this document, the far right end of the continuum was the removal of an inmate from the housing unit. This data can, and should be tracked. As an example, when Northampton County (Pennsylvania) implemented the IBM system on a particular housing unit in September 2004, the officers who were trained in the system were permitted to remove an inmate from the unit if he did not comply with the established behavioral expectations. The first three weeks saw a fair number of inmates removed from the unit and then the practice almost came to a complete stop. When one of the officers was asked why so few inmates were removed from the housing unit after the first three weeks ended, he suggested he felt they (the officers) were more comfortable managing behavior and the new inmate was not necessarily any better than the one that just left. The movement of inmates off of any given unit can be a good indication as to the success the officers are having setting, conveying, and enforcing behavioral expectations.

QUALITATIVE DATA

Qualitative data remains the less familiar form of data to many corrections professionals. This type of data takes the form of spoken or observed information. The purpose of this type of data is to better understand the meaning an individual gives to a certain phenomenon (Creswell and Clark 2007; Ritchie and Lewis 2003). It can take the form of personal observation, in-depth interviewing, and group discussion. The perception your staff holds of inmate behavior is a form of qualitative data, as is the perception of safety inmates and staff have of your facility.

It is more difficult for many jail administrators to understand because it is not readily collected nor is it necessarily easy to do so. Administrators must make a concerted effort to collect qualitative data and it usually requires a detailed understanding of what one is looking for in advance of the collection. Although qualitative data is less readily available it is certainly not less valuable or insightful, and, if one hopes to accurately assess the implementation process, or audit the stage of development, it is an essential tool in the administrator's toolkit.

PERSONAL OBSERVATION

Suggesting personal observation is a form of data collection might seem like an attempt to over-complicate a simple process, but it is a very important part of evaluating or auditing the implementation process. In its simplest form, there are three ways to collect information: measure, ask, or observe. Quantitative data covers measurement and qualitative methods cover asking and observing.

There are jail functions that are most easily evaluated or audited through observation. What is the best way to determine if your officers are conducting inmate orientations with each inmate as they are assigned to the housing unit? The easiest is to simply watch the process. Are your officers conducting a unit briefing with all of the inmates at shift change? Simply observe the process and find out.

Here are things to look for each time you enter a housing unit:

- Is the officer interacting with inmates establishing and reinforcing behavior expectations?

- Are the behavioral expectations posted on the housing unit? Are they posted in multiple languages?

- Do the officers conduct unit briefings?

- Is the officer using a system of incentives and disincentives to regulate inmate behavior?

- Does the officer interact appropriately with the inmates?

- Is the housing unit quiet, clean, and orderly?

- Do the inmates rush to speak to supervisors or administrators when they enter the housing unit?

- When asked for a request slip does the officer attempt to answer a question, identify a problem, or simply hand out a request slip without much thought?

These are all simple observational cues, but ones that could be meaningful in determining whether you have developed an efficient system of setting, conveying, and enforcing behavioral expectations.

IN-DEPTH INTERVIEWING

In-depth interviewing simply means speaking with, or formally interviewing members of your staff. There are three types of interviews: standardized, often referred to as formal or structured; unstandardized, often referred to as informal or non-directive; and semi-standardized, often referred to as guided or focused (Berg 2001). The difference between the three is the amount of preparation and structure. Standardized interviews have a predetermined set of scripted questions, with the interviewer seldom straying from the script. Unstandardized are just the opposite, where the interviewer has an idea of where he or she would like the conversation to go but has no predetermined script. Semi-standardized is a compromise between the two, where the interviewer has a series of scripted questions but is free to respond to answers and stray from the script should an issue be raised that needs to be evaluated and explored (Berg 2001).

In correctional settings, the latter two seem to be more appropriate for the environment. Keep in mind the goal of this type of data collection is to learn from the person being interviewed and, when the subject is inmate behavior, the discussion is often difficult to script and requires that answers be explored in greater length. In fact, some of the answers may be unexpected and require a significant amount of inquiry. For these reasons, either have a general idea of the direction you want the conversation to head, or better yet, create a list of several pre-scripted questions that will help guide the conversation.

GROUP DISCUSSION

Engaging tour staff through group discussion is an excellent way to develop a feel for their opinions on a certain topic. Researchers refer to group discussions as focus groups. These groups typically consist of between 4-10 participants who share a common characteristic (Krueger and Casey 2009; Richie and Lewis 2003). The purpose of a focus group is to listen and gather information to develop a better understanding of how people think and feel about a certain subject or topic.

Focus groups work best when those involved feel free to express their opinions without being judged or criticized. The point is to encourage self-disclosure so you can create a better understanding of how your staff really thinks and feels. Focus group discussions should not be used when you want your staff to come to a consensus on an issue, want to provide training on a topic, or the topic is too sensitive or emotional for group discussion (Krueger and Casey 2009). Remember, focus groups are designed so the participants teach or inform the moderator, not the other way around.

When creating focus groups remember several things[1]:

1   **DETERMINE THE PURPOSE OF YOUR FOCUS GROUP** – It is important you have an idea of what you want to learn before organizing a focus group. Begin with a purpose and formulate questions once the purpose has been clearly identified.

2   **PARTICIPANTS SHOULD HAVE A COMMON CHARACTERISTIC** – The participants in the group should share something in common. As an example, if you want to learn about inmate behavior you might assemble a group of housing unit officers; or if you wanted more specific information, officers from a certain unit, pod, or section of the jail.

3   **PLAN FOR MORE THAN ONE FOCUS GROUP** – If you want to find out what your staff is thinking or how they feel about a certain subject you will need to conduct more than one focus group. It is suggested you consider at least three or four focus groups with each type or category of individual. As an example, if you want to see whether this shifts view on inmate behavior differently you will need to conduct three or four focus groups with each shift.

4   **PICK AN APPROPRIATE SIZE** – Focus groups can range in size from four to 10 people. Too few do not provide a broad enough range of ideas, and too many makes controlling the discussion difficult. Everyone in the focus group needs to contribute to the discussion and a group too large can make this goal difficult.

5   **EVERYONE NEEDS TO CONTRIBUTE** – Perhaps one of the most difficult parts of running a good focus group is ensuring that everyone contributes to the discussion. This is even more difficult if one member of the group tries to monopolize the conversation. The moderator needs to direct the conversation so everyone contributes.

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[1] The comments that follow are drawn from Krueger, R.A., and Casey, M.A. 2009. Focus Groups: A Practical Guide for Applied Research. Thousand Oaks, CA: Sage.

TRIANGULATION

Triangulation remains the most important reason to collect both quantitative and qualitative data. Triangulation is the process of collecting different but complimentary data on the same topic to better understand the topic and to check the integrity or validity of the inferences drawn from the data (Creswell and Clark 2007; Ritchie and Lewis 2003).

For example:

> *The administrator of a jail is motivated to implement the IBM system in her facility because she has seen a sharp increase in the number of serious assaults. She operates a facility that is a combination of linear and podular remote design. Her officers seldom have contact with inmates and, in the linear sections of the jail the officers are prohibited from entering inmate housing units. Each inmate is given an inmate handbook upon admission but because of the limited contact there is no attempt to judge comprehension and no officer-directed orientations exist.*

> *Early in her training in the IBM system she realizes that she must increase the amount of contact her officers have with inmates. In addition to several other IBM related policy and procedure changes, she changes the policies that prohibit contact between officers and inmates and institutes a procedure that allows officers to set and convey behavioral expectations. With the changes being well received, she decides to collect and analyze data on the number of assaults that have occurred in the first 60 days after implementation of the changes. To her dismay, she notices that the number of assaults has increased dramatically. She feels dejected and is concerned that if she discusses the results of her data she will lose the confidence her staff has in the new operating system.*

> *In an attempt to determine what went wrong, she tells one of her supervisors to hold a series of focus groups with the staff who are working the housing units. She asks the supervisor to find out what the perception of inmate behavior is among the staff and what might be the explanation for the spike in misconduct. One week later the supervisor reports that the staff feels they have better control of the housing units, feels as if the inmates are better behaved, and feels there is less misconduct occurring in the units.*

> *When she tries to make sense of the conflicting results, she and the supervisor discuss that under the system of limited contact the officers had no idea what was going on in the housing units. Since there were no behavioral expectations and very little contact there was no inmate accountability. The misconduct numbers they saw after implementation are a more accurate reflection of behavior and are a result of expectations being set and enforced where none had previously existed. The increase in the number of misconducts meant the officers were trying to better identify and control unwanted behavior. The satisfactory comments made by the officers during the focus group interviews demonstrated that the officers felt they were making a difference and behavior was improving.*

This example demonstrates the value of comparing data collected from several different sources. Often, it may be easier to rely on the one form of data, most often numerical, which can lead to a misinterpretation of the results. Analyzing data because it is simple to collect often leads to the simplest conclusions. Complex problems often require a complex evaluation of data.

DATA ANALYSIS

The example above also highlights the importance of using data for purposes other than the analysis of population trends. Jails collect a great deal of information but often that information is used for only the simplest purpose. There is power in information and successful agencies need to figure out how to harness that power. Data can be used to answer important questions you may have about your agency and to solve problems as they arise. Look beyond simple trend analysis and challenge your staff to use data to evaluate behavior, assess the conditions of your jail, and solve complex problems.

Here is an example of how data can be used to answer a question:

Upon reading the monthly report to the Sheriff, the jail administrator notices the number of inmates removed from the work release facility and returned to the main detention facility has doubled over the past three months. The jail administrator wants to know why discharges have increased. He asks the work release coordinator to prepare a report and provide a viable explanation that can be given to the Sheriff.

The coordinator asks for the following information:

- *A detailed list of the number of misconduct reports written each month on work release inmates for the past 24 months*
- *A breakdown of the number of individual infractions committed in each month over the past 24 months*
- *A copy of every written misconduct report for which an inmate was returned to the facility for the past three months*
- *A summary as to the nature of the criminal charge (misdemeanor or felony) for each inmate returned to the detention facility for the past six months*
- *A summary of the type of misdemeanor or felony charge for each inmate returned to the detention facility for the past six months*
- *A breakdown of the names and shifts of the officers who have written misconducts on inmates in the past six months*

When the work release coordinator first receives the data he requested he is alarmed to find out the increase in the number of misconduct reports seems to be largely a result of an increase in contraband violations. Of all of the misconduct codes an inmate can receive a written infraction for, contraband violations have more than doubled from what they were one year prior. This causes him great concern as he now wonders if the safety and security of the facility is at risk. He notices no change in the type of offender that is being placed on work release either by the severity of the offense, misdemeanor or felony, or by the type of offender, DUI versus burglary, as an example.

Next, he reviews every written report for contraband that occurred over the past three months. Much to his surprise, the use of the contraband code is being applied to inmates who are in possession of food upon their return to the facility. The rules clearly state that no food may be brought into the facility and that rule has been in existence for the past several years. He considers issuing a memo to the inmate population re-emphasizing the existence and importance of the rule, but decides to check further first.

He begins to evaluate the staff issues next. The facility is removed from the main jail and the officers are assigned to the work release facility on a one-year rotation. He notices that the majority of inmates who have received misconduct violations for contraband (food) over the past three months have been written by officers who have been working an overtime post, all on second shift. As a result, he begins to speak to second shift officers. During his discussion he learns that the second shift, as a whole, has been lenient with the issue of food being brought back into the facility. Being sympathetic that an inmate has returned after evening chow has ended, the officers have been allowing food items to be brought in. However, when the normally scheduled officer is out on leave the replacement officer is unaware of the practice and issues a written misconduct.

The work release coordinator reports back to the superintendent that the increase in the rate of work release dismissals is a result of a lack of uniform and consistent rule enforcement. The coordinator has two suggestions: either allow food to be brought into the facility after a certain hour to better address the concerns of the staff, or enforce the existing rule in a uniform and consistent manner.

As one can see from the example, the answer to the question and the solution to the problem become clearer by examining a variety of data. Not only is it important to look at numerical data but it was also important to read the individual reports for greater clarity and to determine any commonalities they might display. In addition, the coordinator made a wise decision by asking for information about individual officers and may not have gotten to the true cause of the problem had he not noticed a pattern in shift and relief. Having simply looked at the data that indicated there was an increase in the instances of contraband found on the inmates returning from work to the facility, policy changes could have been recommended that were not responsive to the problem.

Chapter 7: *Support Material*

This chapter serves as a brief explanation of the support material that is provided. This guide comes with two different PowerPoint presentations and an accompanying participant guide and trainer's guide. Each of the training modules is similar but is intended for different audiences. The purpose and intended audience is described below.

MULTI-UNIT APPROACH

The longer of the two training modules is called the Multi-unit Approach. It is designed to be presented to a group of officers who work several different housing units. During the training the participants will be asked to compare the behavioral problems and expectations of different housing units or levels of inmate responsibility. As a result, it is best suited for an audience whose level of responsibility is diverse.

The participant manual is to be given to each participant and serves as the training workbook. These two trainings are specifically designed to produce a work product and are not informational. When the training session is completed, a set of behavioral expectations will be established as will the method of officer conveyance for each unit examined. In addition, a list of effective incentives and disincentives will be produced for specific unit problems. Finally, the officers will establish a continuum of behavioral response that can be implemented for use by the officers assigned to any given unit.

The trainer's manual is a guide to walk the facilitator through the training module. It proves the rationale for the content and tells the facilitator what content is associated with which slide. It also sets up some rules for the exercises and provides estimated time frames for each exercise. Although not required, it is highly suggested that the facilitator of the training read this manual before facilitating the training.

HOUSING UNIT SPECIFIC

This training module is slightly shorter because of its intended use by officers who all work the same housing unit or block. As a result, the section of the training where officers compare the behavioral problems and expectations from multiple units has been eliminated. It may shorten the training by nearly one hour depending on the depth of the interaction after each exercise.

The participant and trainer's modules serve the same purpose as they do with the multi-unit training and they have been modified to account for changes in the PowerPoint presentation. Again, as is the case with the multi-unit training, it is highly recommended the facilitator read this guide before facilitating the training.
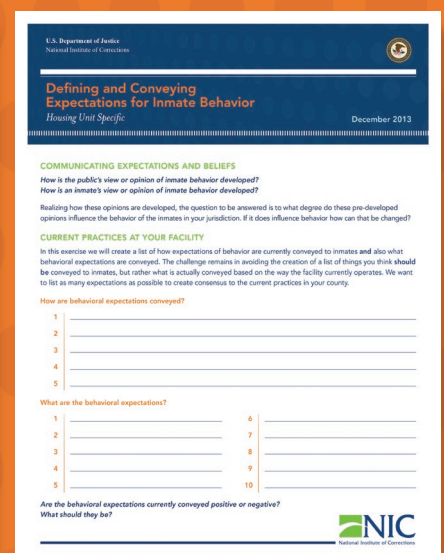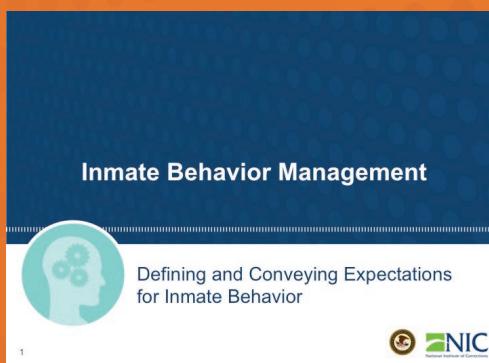
SUPPORT MATERIALS: two different PowerPoint presentations and an accompanying participant guide and trainer's guide

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APPENDICES

APPENDIX A

E Tier Expectations for Residents

- All rules in inmate handbook to be followed. Please comply with all rules posted on signs throughout the tier.

- Unit cleaning and rooms after breakfast. Delegating assigned chores to others is not permitted.

- Beds made by 8 A.M. until 8 P.M.

- Daily inspections by staff member(s). Cell standards must be maintained. All must keep common areas clean.

- Courtesy and respect to all. Respond promptly when called by Officer and respond verbally to acknowledge that you heard the officer.

- Extra towels and blankets are available but must be returned in the morning.

- Cleaning supplies available at all times. Keep the materials in the designated area. Return them to that area immediately after use. No exceptions! No cleaning supplies in your cell.

- Quiet noise levels. No loud talking or yelling. TV must not be heard outside of cell or it will be removed and held in property.

- Cleaning chores for the designated runners for all day are posted on signs on each housing level.

- Any questions, ask Officer.

Visitation Schedule

One adult and two children

Tuesday	7:00 to 9:30 PM
Thursday	2:00 to 3:30 PM
Thursday	7:00 to 9:30 PM
Sunday	As scheduled by Administration

Recreation Schedule

Mon-Sun	3:00 to 4:30 PM

Law Library Schedule

Monday	9:00 to 10:30 AM
Thursday	1:15 to 3:30 PM

Cell Standards

Bunks made by 8:00 A.M.

Daily Activity & Programming

Posted on bulletin board

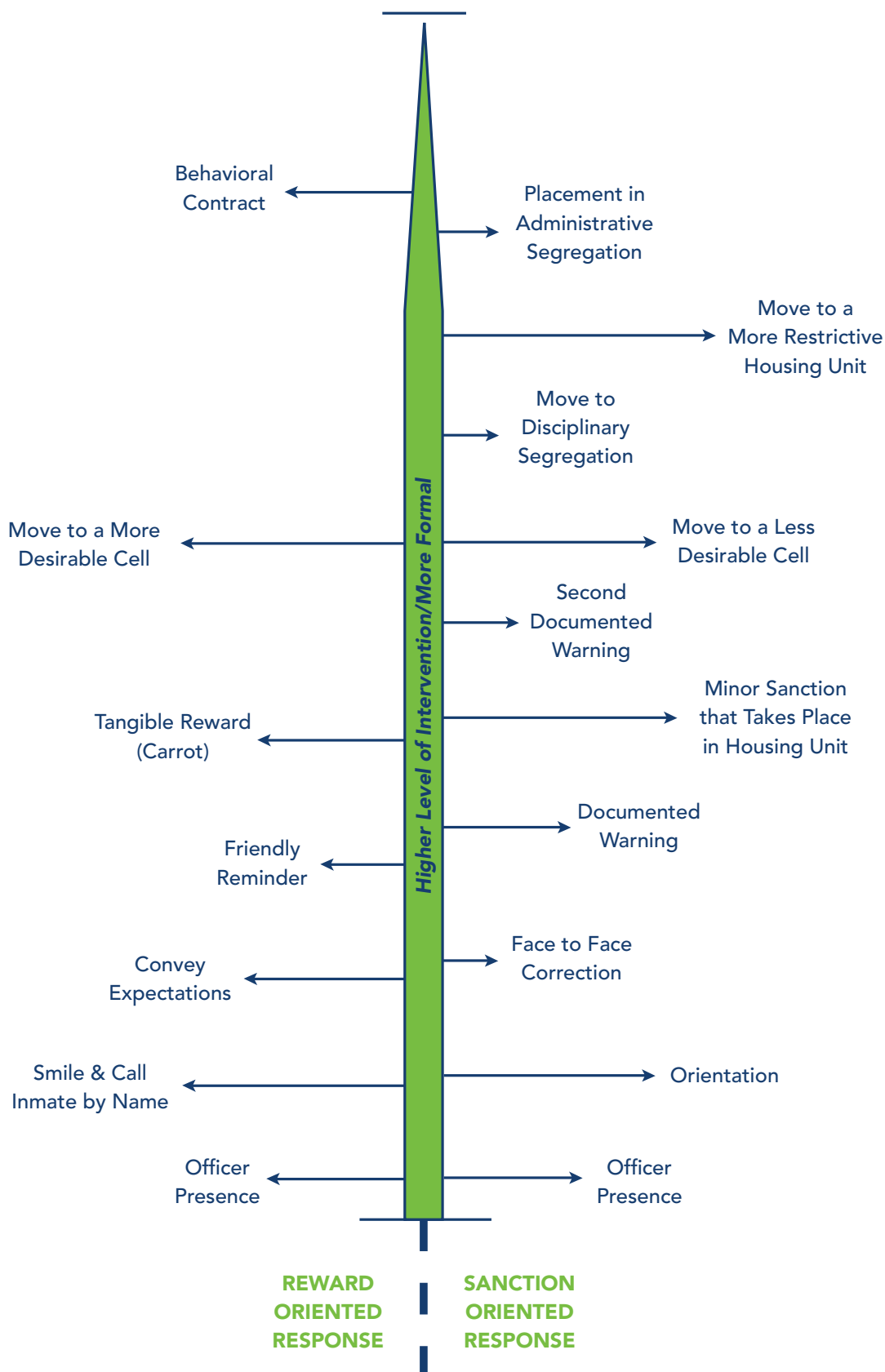## Notice to All Residents:

Expectations of Residents

• Must attend unit meetings.

• All rules of the inmate handbook must be followed.

• Follow daily cleaning schedule.

• Beds made by 8 A.M. until 8 P.M.

• Courtesy and respect to all.

• Room doors unlocked.

• Jumpers worn in all common areas from 7 A.M. until lock-in with exception of designated rec areas.

• Program participation.

• Quiet noise levels.

• Personal hygiene must be maintained daily.

• Cell lights out at midnight.

• No music channels.

Expectations of Staff

• Supervision of housing unit

• Address and answer inmate issues.

• Daily inspections of unit and rooms.

• Provides privileges for compliance and good behavior.

• Conduct unit meetings.

• Cleaning supplies available at all times.

• Courtesy, respect, and professionalism exhibited at all times.

Inmate Behavior Response Continuum
(acting and reacting to inmate behavior)

Behavioral Contract ←

→ Placement in Administrative Segregation

→ Move to a More Restrictive Housing Unit

→ Move to Disciplinary Segregation

Move to a More Desirable Cell ←

→ Move to a Less Desirable Cell

→ Second Documented Warning

→ Minor Sanction that Takes Place in Housing Unit

Tangible Reward (Carrot) ←

→ Documented Warning

Friendly Reminder ←

→ Face to Face Correction

Convey Expectations ←

Smile & Call Inmate by Name ←

→ Orientation

Officer Presence ←

→ Officer Presence

Higher Level of Intervention/More Formal

REWARD ORIENTED RESPONSE

SANCTION ORIENTED RESPONSE

National Institute of Corrections
www.nicic.gov