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PROCEEDINGS OF THE
SECOND ANNUAL SYMPOSIUM
ON NEW GENERATION JAILS

National Institute of Corrections
Jail Center
Boulder, Colorado

May 8, 1987
Clearwater, Florida

Edited by Richard Wener & Jay Farbstein

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INTRODUCTION

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

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

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

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

ORGANIZATION OF THIS PROCEEDINGS

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

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

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

VIDEO TAPES OF THE SESSION

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

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PANEL SUMMARIES

PANEL SUMMARIES

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

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

NIC has supported this symposium at AJA to:

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

PANEL 1 STAFF SELECTION AND TRAINING

MODERATOR: RICHARD WENER

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

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

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

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

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

The goals of the selection project were to:

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

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

PANEL 2 TRAINING MID LEVEL MANAGERS AND OFFICERS

MODERATOR: MIKE O'TOOLE

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

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

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

PAPER PRESENTATION

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

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

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

PANEL 3 UNIT SIZE, STAFF RATIOS AND DIRECT SUPERVISION

MODERATOR: JAY FARBSTAIN

PANEL: STEVE CARTER, COLUMBIA, SOUTH CAROLINA

RAY NELSON, BOULDER, COLORADO

ALAN MINISH, FORT COLLINS, COLORADO

TOM BARRY, NEW YORK CITY

SAM SAXTON, PRINCE GEORGES COUNTY, MARYLAND

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

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

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

PANEL 4 OVERCROWDING IN DIRECT SUPERVISION

MODERATOR: RICHARD WENER

PANEL: ROGER ROSE, SAN DIEGO, CALIFORNIA

LARRY ARD, CONTRA COSTA COUNTY, CALIFORNIA

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

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

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

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

PAPERS

DEVELOPING A SPECIFIC ROLE MODEL FOR MID-LEVEL MANAGERS IN DIRECT SUPERVISION JAILS

Guy Pellicane, Middlesex County, New Jersey

Since 1981 when the first local direct supervision jail opened in Contra Costa, California, more than 20 jails have initiated direct supervision operations and more than 20 others are preparing to begin. It appears certain that this innovative integration of proactive management and specialized architecture will be a dominant trend in the years ahead. The National Institute of Corrections has provided strong and effective leadership in this movement. Special recognition must be given for the provision of the orientation of top policy makers, as well as the transition training for the line corrections staff who manage these 'new' living units. By developing the management training geared to the Eight Principles of Direct Supervision Jails and the Inter-Personal Communication training, NIC has paved the way for the successful implementation of direct supervision operations.

The response to direct supervision has been positive. There is clear evidence that these institutions can expect reduced construction and operation costs, as well as improved staff safety and morale. As experience with direct supervision operations has grown, however, it has become clear that some elements have not been as successful as others. The performance of the mid-managers has been one such area of unfulfilled promise. As had been reported in a previous report:

In some cases, the line officers feel that their superiors are unqualified since they never had the experience of running a direct supervision unit. They feel that their supervisors don't have relevant experience, don't understand how they work, and don't try to support them. The supervisors, on the other hand, may be uncertain or uncommitted, even worse, they may purposefully attempt to undercut the direct supervision methods in a misguided desire to return to the methods with which they had been familiar.

This experience has shown that the jails need to give the mid-managers more tangible support for the transition to direct supervision operations. These key personnel need training and guidance to accept new job roles and new managerial approaches. The NIC recognized this need, and has moved to develop the 'tools' needed by the mid-managers.

The Middlesex County Adult Correction Center opened a new building in 1985 and moved into direct supervision operations at that time. Having identified a degree of resistance among the mid-level managers since the change, Middlesex was seeking a way to get the mid-managers to 'buy-in.' Recognizing the common interest, Middlesex was requested to serve as NIC's project site for the development of a Training Program for Mid-Managers in Direct Supervision Jails. With NIC authorization, Training Associates, Inc. was hired to conduct the project. A plan was established to develop a clear role model for the mid-managers and to identify the specific managerial skills best suited for such a role. This information was then to be used to develop a training program which would guide the mid-managers to recognize their new role and learn the pertinent managerial skills. In order to assure that the project would have nationwide applicability, broad based participation was authorized by NIC.

Information concerning the stated job duties of the mid-managers was gathered from the direct supervision jails. This information was used to prepare a data gathering instrument which was specifically targeted to the three sub-groups in each facility: administrators, mid-managers, and the line corrections officers. These questionnaires were set up to measure the degree to which each of the three sub-groups felt that the mid-managers were successful in a variety of managerial tasks. It was decided that a problem would be identified in any area where less than 70% of the respondents felt the mid-managers were successful. Further, it was also decided that a problem would be identified any time there was more than a 20% difference between the responses of the sub-groups.

Analysis of the data readily demonstrated the extent of the problem with the mid-managers: virtually every element signaled a problem. First, it was clear that the administrators, the line officers and the mid-managers themselves were all unsatisfied with the job performance of the mid-managers. Perhaps even more importantly, the large discrepancies between the groups also indicated wide splits between the three staff groups.

Originally it had been thought that the data analysis might point to an appropriate role model for the mid-managers by identifying those counties where there was uniform satisfaction with the work of the mid-managers. This did not turn out to be readily available. As Mr. Sigurdson remarked, "no job description fell out of this data."

As a result, the training event was designed to develop the

desired job description based upon the national data, the experience of the participating mid-managers, a body of managerial information and, most importantly, the vision developed by these participating mid-managers as to what their work could become.

The event was challenging. In order to work towards an appropriate job description, the participants had to share their own shortcomings. The honesty and openness which characterized the group as they confronted their task were remarkable. In his report Mr. Sigurdson specifically recognized "the risks that were taken" by the 15 mid-level supervisors who joined in the effort to define the roles, responsibilities, and training requirements of mid-level managers.

The formal objectives faced by the participants during the training event were as follows:

- 1) To identify management needs from the national survey and participant insights
- 2) To describe the roles and responsibilities of mid-managers in direct supervision jails
- 3) To select management concepts (theories) relevant to needs, roles and responsibilities of managers in direct supervision jails
- 4) To develop a process for translating concepts into operational components of mid-management in direct supervision jails

A thorough account of the step-by-step process developed by the trainers and accomplished by the participants is included in the report "Mid- Management Training for Direct Supervision Jails" (Training Associates, Inc., April 1987), which is available directly from NIC. For the present purpose it can be reported that the dedicated contributions of the participants resulted in the successful formulation of a role model which specifies job elements, tasks and activities and the performance measures (see Appendix II).

In order to follow up on this accomplishment, NIC has planned to repeat this training development project in Pima County, Arizona in September. This will provide an opportunity to check the consistency of the results of the first session. Once the Pima County project is accomplished, the NIC plans to develop the findings into a structured training program. Lesson

plans, instructor manuals and student manuals will be made available to the jails.

While the importance of the ongoing contribution to the national scene speaks for itself, it is also important to document the beneficial impact the training development project has had in Middlesex County. There is a new spirit of enthusiasm and a growing sense of confidence among the participants. Some of these sergeants and lieutenants are now working on a complete review of our Policy and Procedures Manual in part to assure that this new understanding of the mid-manager's role will be directly reflected in our procedures. In another development a group of the participants developed a very promising solution to our overtime scheduling problem. The proposed solution will allow the shift commanders to save time and line staff will be able to schedule most of their overtime in advance. In yet another example of the new enthusiasm, several of the participants are now preparing a training event for the total group of 33 superior officers (9 lieutenants and 24 sergeants). This training will specifically address a new emphasis on the mid-manager's role in developing new officers in the period following their completion of our training academy. More importantly it will be used as an opportunity to familiarize the other superiors with the new sense of their potential as mid-managers in a direct supervision jail.

Middlesex has found that it is very helpful to reduce this newly identified role model and managerial philosophy to a very simple and straight forward example. Too often the mid-managers think that they are expected to play the role of the team captain - the playmaker who can make the key play and score the winning points. It is critical that this traditional image be replaced. In a direct supervision jail the supervisors can be most effective playing the role of the 'coach' - staying on the sidelines of the housing unit/ playing field; watching the officers/players to spot strengths and weaknesses; putting people in a position to best use their talents; training them to develop their abilities, and always working to develop team spirit and a commitment to good sportsmanship.

The Mid-Management Training Program has been very beneficial to Middlesex County and we are pleased to report the growth of this new sense of enthusiasm and commitment. It is our anticipation that this may turn out to be a very contagious condition.

Appendix I

Participating Jails

Bucks County, Pennsylvania
Contra Costa County, California
Erie County, New York
Manhattan House of Detention, New York
Middlesex County, New Jersey
Multnomah County, Oregon
Pima County, Arizona

Appendix II

Role Description for Mid-Level Managers in Direct
Supervision Jails

ROLE DESCRIPTION FOR MID-LEVEL MANAGERS
IN DIRECT SUPERVISION JAILS

JOB ELEMENTS	TASKS AND ACTIVITIES	PERFORMANCE MEASURES
1. Leader	<ol style="list-style-type: none"> 1. Conduct self in professional manner (role model) 2. Display confidence 3. Be innovative 4. Be organized 5. Goal setting 6. Planning/scheduling 7. Directing 8. Implementing 9. Conduct meetings 10. Feedback 11. Establish roles 12. Disciplinarian 13. Humanitarian 	<p>Subordinates meet organizational uniform appearance standards and code of conduct</p> <p>Accepts responsibility for unit function</p> <p>Formulates and initiates new and different ways of meeting organizational goals</p> <p>Assigned tasks of unit meet schedules</p> <p>Goals and objectives of work unit are established and clearly defined</p> <p>Staff and resources are used economically and efficiently within established time constraints</p> <p>Staff completes assigned tasks completely in accordance with schedules</p> <p>Plans are placed into action as required by schedules</p> <p>Organizes periodic meetings with staff</p> <p>Solicits information from staff</p> <p>Staff have clear understanding of their position and responsibility within the organization</p> <p>Disciplinary actions are administered in accordance with policies and procedures</p>

ROLE DESCRIPTION FOR MID-LEVEL MANAGERS
IN DIRECT SUPERVISION JAILS

JOB ELEMENTS	TASKS AND ACTIVITIES	PERFORMANCE MEASURES
2. Teacher	<ol style="list-style-type: none"> 1. Conduct research 2. Present information 3. Develop training 4. Know policies & procedures Know related laws 5. Develop contacts Develop resources 6. Mediator/Negotiator 	<p>Gathers new ideas from literature and seminars, etc.</p> <p>Conduct meetings, training sessions</p> <p>Instruct training by testing and evaluation, receiving feedback</p> <p>How following P & Ps by training and evaluations</p> <p>Consultants to review and audit</p> <p>Ability to get along with staff and inmates</p>

ROLE DESCRIPTION FOR MID-LEVEL MANAGERS
IN DIRECT SUPERVISION JAILS

JOB ELEMENTS	TASKS AND ACTIVITIES	PERFORMANCE MEASURES
3. Communicator	<ol style="list-style-type: none"> 1. Write reports 2. Make verbal presentations 3. Solicit feedback 4. Conduct meetings 5. Attend meetings 6. Conduct research 7. Listening 	<p>Reports are submitted in full, clear/accurate and meet department standards</p> <p>Is clear, concise; knows material</p> <p>Acts on appropriate feedback</p> <p>Organizes periodic meetings between staff/subordinates</p> <p>Brings back appropriate ideas/decisions to subordinates</p> <p>Has or is able to research based on resources established and convey back to subordinates</p> <p>Is active listener and responds in appropriate manner--i.e., professional manner</p>

ROLE DESCRIPTION FOR MID-LEVEL MANAGERS
IN DIRECT SUPERVISION JAILS

JOB ELEMENTS	TASKS AND ACTIVITIES	PERFORMANCE MEASURES
4. Decision Maker	<p>Identify problem Research Solicit input Consider alternatives Decide Follow-up</p>	<p>Concise problem statement through research. Actively seeks input. Makes good decisions in a timely manner.</p>
5. Auditor	<p>Monitor performance Performance evaluation Inspection</p>	<p>Submits objective performance evaluations. Completes thorough inspections.</p>
6. Coordinator	<p>Scheduling Directing and implementing</p>	<p>Effectively utilizes manpower. Directs individual efforts toward a unit goal. Measures performance in time factor.</p>

ROLE DESCRIPTION FOR MID-LEVEL MANAGERS
IN DIRECT SUPERVISION JAILS

JOB ELEMENTS	TASKS AND ACTIVITIES	PERFORMANCE MEASURES
7. Mediator/Negotiator	<ol style="list-style-type: none"> 1. Meet with difficult people 2. Listening 3. Describe problem 4. Counseling 	Read logs. Read reports. Maintain files.
8. Planner	<ol style="list-style-type: none"> 1. Research 2. Evaluate 3. Communicate 4. Listen 5. Goals and objectives 	Are goals and objectives being met?
9. Initiator (implementor)	<ol style="list-style-type: none"> 1. Organize 2. Communicate 	Continuity of policies and procedures.

MIDDLESEX COUNTY ADULT CORRECTION CENTER MISSION STATEMENT

The purpose of the Middlesex County Adult Correction Center is to provide, in a cost effective manner, the highest degree of protection for the citizens of Middlesex County and safety for both the staff and inmates as the institution serves as a place of incarceration for pre-trial detention and the serving of sentences. The philosophy of the Adult Correction Center is based upon the following underlying tenets:

- Society has a right to incarcerate people in order to protect our citizens and communities.
- All inmates shall be held accountable for their actions.
- Inmates shall leave the facility no worse physically, emotionally or psychologically than when they entered and as much as possible they shall be more prepared to lead responsible lives in the community.

A positive and productive atmosphere shall be created and maintained for both the staff and the inmates by the use of direct supervision management principles and through the provision of:

- A safe and secure environment
- Trained professional correctional personnel
- A variety of programs and services which provide inmates an opportunity to prepare themselves for either immediate or eventual return and successful re-integration into their communities
- A classification system which identifies special custody needs and results in appropriate security and services for the individual inmate
- Positive incentives for inmates through a classification system based on behavior
- Meaningful work and vocational programming which meets the inmates' needs and serves as a form of restitution by benefiting both the institution and the community

The staff and management of the Middlesex County Adult Correction Center are committed to the preservation of the basic human rights and dignity of the inmate population as prescribed by the Constitution of the United States and by the Administrative Code of both the State of New Jersey and the County of Middlesex. Additionally, the most beneficial community impact will be fostered through abiding by progressive correctional standards such as those promulgated by the American Correctional Association.