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# THE DEVELOPMENT OF JAIL INDUSTRIES



Defraying the Cost of Inmate Incarceration  
by the Year 2000

NCJRS

By

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ACQUISITIONS

Peace Officer Standards and Training (POST)  
Sacramento, California  
1990

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Abstract

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10-0192

The Development of Jail Industries; Defraying the Cost of Inmate Incarceration by the Year 2000.

Dick Michaelson. Sponsoring Agency: California Commission on Peace Officer Standards and Training. 1990. 100 pp.

Availability: Commission on POST, Center for Executive Development, 1601 Alhambra Blvd., Sacramento, California 95816-7053.

Single copies free; Order number 10-0192

National Institute of Justice/NCJRS Microfiche Program, Box 6000, Rockville, MD 10850

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#### Abstract

The study consists of three parts: a futures study of the impact of jail industries on California corrections; a recommended strategic plan; and a transition management plan for jail industry programs.

Five trends have prominent relevance to this study: the recognition of inmate rights and responsibilities effecting corrections industries, the impact on restitutive sentencing in regards to inmate work programs, competition for scarce public sector resources, inmate population to house prisoners and modify behavior, and rehabilitative ethic that has influenced correctional thinking for the past 25 years.

High probability events that would impact law enforcement are: private industry takes over in corrections, labor unions agree to work cooperatively with jail industry programs, special interest groups favor prison industries, marketing constraints made by court, compensation limited.

The strategic plan includes generic concepts and specific implementation systems. The transition management plan presents a workable management structure and supporting technologies. Demographic data, survey and forecasting results; graphics in text; references and bibliography; recommendations and conclusions.

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Executive Summary

PART ONE - A FUTURES STUDY

It is costing the California taxpayers \$20,000 per inmate each year to house and feed state and county jail prisoners. This year California will spend \$1.5 Billion to operate our State Prison System. An additional cost of \$346 million is required to operate the State's Youth Authority facilities for juvenile offenders, all of which are financed by taxpayers.

Both the state and county jail inmate population has increased by over 50% in just the last four years. By the year 2000 there will be another projected increase of 47% in the number of inmates incarcerated in both state and county jails.

The average daily jail population in 1989 in the United States was 386,845 inmates, including 1,891 juveniles. According to the United States Justice Department's Bureau of Justice Statistics, nationwide jail occupancy at the middle of last year stood at 108% of rated capacity, up from 101% in 1988, 85% in 1983, and 65% in 1978.

Using a nominal group technique panel, five key trends were selected as prominently related to the focus of this study: (1) the recognition of inmate rights and responsibilities effecting correction's industries, (2) the impact on restitutive sentencing in regards to inmate work programs, (3) competition for scarce public sector resources, (4) inmate population to house prisoners and modify behavior, and (5) rehabilitative ethic that has influenced American correctional thinking for the past 25 years.

Five probable events considered to be most critical were: (1) private industry takes over in corrections, (2) labor unions agree to work cooperatively with jail industry programs, (3) special interest groups favor prison industries, (4) marketing constraints made by court, and (5) compensation limited.

This combination of trends and events became the major focus for the development of policies producing desired change.

## PART TWO - STRATEGIC PLAN

A modified policy delphi process was used to select policy alternatives determined to be feasible and desirable. We would begin by developing a Jail Industries Program. It would then be necessary to become a major player in an inter-agency cooperative effort to provide education through selected jail industries programs.

Also it would be necessary to develop community awareness of the need for defraying the cost of inmate incarceration, and develop a strategy for involving all aspects of the community in its implementation.

Key stakeholders and their positions relative to the policies proposed were analyzed. Negotiation strategies were developed, responsibility for policy adoption was fixed, as well as an implementation time set.

## PART THREE - TRANSITION PLAN

Members of the critical mass were analyzed in terms of their level of commitment, responsibility and readiness for policy enactment. A project manager and department task force were selected to insure implementation of the strategic plan.

Inmate incarceration is the most costly and least effective method of housing prisoners today. Jail Industry Programs will help alleviate the need for new jail construction, and will help break the cycle of recidivism.

THE DEVELOPMENT OF JAIL INDUSTRIES;  
DEFRAYING THE COST OF INMATE INCARCERATION BY THE YEAR 2000

THE STUDY OF THE FUTURE IMPACT THAT JAIL INDUSTRIES WILL HAVE ON  
THE CRIMINAL JUSTICE SYSTEM OF THE COMMUNITY IT SERVES. IT  
EXAMINES POSSIBLE FUTURES, PRESENTS RECOMMENDED POLICIES, AND  
SETS FORTH AN IMPLEMENTATION PROCESS

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JUNE, 1990

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## PROJECT BACKGROUND

### INTRODUCTION

It costs California taxpayers approximately \$20,000 a year to support an inmate in prison or county jail. Californians paid a total of \$2 billion dollars in 1990 to run the state prison and youthful offender programs. Yet, thousands of inmates are unable to work watch soap operas or idle their days away while law abiding working families pay for their upkeep.

With a prison and county jail population which has more than doubled in six years, many people involved in inmate care believe it's long overdue that able-bodied inmates work to help defray the cost of their incarceration. The purpose of this project is to research and study the development of jail industries in an effort to help defray the costs of inmate custody.

By the year 2000 there will be a projected 47% increase in the number of inmates incarcerated in both state and county jails. The development of jail industries as an organized effort to utilize committed persons to produce products has been consistent with the prevailing work ethic. The occupation of the time of committed persons, and the production of useful products is an operational goal appropriate to the correctional scene.

Attempting to put work programs on a functional basis with "free



enterprise" has been a goal of most correctional administrators since the emergence of the correctional industries concept. However, the obvious restraints imposed by institutional life and the ever-present need to prioritize the committed person's time and activities impinge on the development of correctional industries as a true free enterprise activity.

Considerations extraneous to corrections also impinge on the development of the ideal model, including competition with private industry, physical restraints, the high cost of equipment, and other factors. Despite these barriers, correctional industries as an organized effort are experiencing rapid change. Once viewed as simple production facilities for the convenience of the correctional system and the state and local agencies, many programs are now operating as viable businesses engaged in the production of useful goods available to an expanded market.

In many jurisdictions this change emanates from special legislation detailing the scope and the goals of correctional industries. Very visible are the current trends and emphasis in the area of product marketing.

Growth of governmental agencies in terms of scope and functional responsibility has created an increased need for industry products. Successful industry programs are those that reflect sufficient planning and development to respond to the increased product need. Given the constitutionally mandated taxing of

limitations, exemplified by such legislation as Proposition 13 and Proposition 4, criminal justice agencies cannot expect to receive the additional financial resources needed to continue to house the ever-increasing inmate population.

If effective judicial government is going to continue to exist, it must be able to come up with other viable sentencing alternatives and the critical need to identify methods to offset the cost of incarceration, vis a vis the development of jail industries is one approach that has the potential to improve the system while helping the inmate. Without succeeding in this important area, corrections and perhaps all of government will continue the downward spiral of warehousing inmates ineffectively.

The jail industries program has been established with several purposes in mind. Ultimately these all relate to efforts to reduce the cost of incarceration, either through direct recovery of costs or through a reduction in inmate populations through reduced recidivism. The principal objective of the program described herein is to provide the maximum possible contribution to these goals.

#### JAIL INDUSTRY PROGRAMS (PROBLEM STATEMENT)

During the last several years the correctional community has become convinced that the most effective way to deal with offenders is through such resource interventions as education, vocational training, job training, job placement, and financial

aid; each of which has been tried with varying degrees of success. Independent research supports the general direction that on the whole, resource interventions were most effective in reducing recidivism when compared to the alternatives. However, care and caution should be exercised in the development and deployment of these programs as their impact is variable, ranging from positive to negative, depending upon the type of program.

Clearly, offenders need more educational and vocational training. Such training would make them more competitive in the labor market and decrease their chances of returning to crime when released from prison. Programs with long-term goals usually are never effective and often associated with higher rates of recidivism. Programs that have short-term goals also were not always effective, but the only programs that had a chance to be effective were those with short-term practical goals.

Long-term efforts to change inmates such as psychotherapy and group therapy were associated with higher rates of recidivism while short-term efforts such as job placements, financial aid, and practical social work assistance after release were effective in reducing the rate of recidivism. When this pattern became clear, so did the same pattern within the resource interventions.

Education of offenders is a long term effort aimed at making up for many years of deprivation and hardship that marked the lives of most inmates. Vocational training, while somewhat more practical, faces the same problem. After twenty years of social

and economic deprivation, many inmates are simply not ready for even the most rudimentary vocational training.

As a program becomes more practical and, therefore, more realistic the record improves. Job training which offers basic work skills has been mostly positive. Job placement and financial assistance after release are the most effective of all; in fact, the only resource programs that are consistently associated with lower rates of recidivism.

This pattern of short term success and long term failure suggests several factors that need to be taken into account in planning a work-oriented Jail Industries System. First, a carefully designed hierarchy of work skills needs to be developed, ranging from the most rudimentary skills of self-discipline to master craftsmanship. Performance goals for inmates at each level should be clear, specific, and directly related to the task that needs to be done.

Secondly, inmates should be carefully matched to the skill level that they have presently attained. Those ready for work, those who need to develop basic work skills, and those unable to work need to be classified in specific short term programs developed to move offenders through each stage. This type of programming would give the inmates something specific and achievable in the short term to work toward, thereby giving the individual a sense of accomplishment.

To place inmates in long-term programs, that many inmates are simply not ready for, designed for education and vocational training means their level of frustration is going to increase, inviting disaster for the new program and for citizens of the county in general. Since few inmates have basic work skills and habits, any industrial program that is established would have to address all levels of training if it is to be successful. The key is to carefully match the inmate to a specifically designated skill level which provides a specific short-term goal, the achievement of which is the inmate's ticket to the next level of development. The lower skill levels are attached appropriately to the background and prior achievement of the offender.

In addition to the inmates' skill level there is also the problem of program implementation, which is in essence a problem of management. Even a program designed with state of the art information and experience is not going to be successful unless it is managed properly. Staff productivity and training is critical to proper implementation. Front line managers need to re-focus their attention from a primarily custodial orientation to a productivity orientation.

Furthermore, programs need to be adequately funded and carefully monitored to ensure the job is being done properly, and in order to take corrective action when it is not. Assuming inmates are appropriately placed, and progress and productivity are carefully monitored, one final factor needs to be taken into account; that of the economic environment as a whole and the viability of the

skill the offender has gained for the community.

Programs are not going to be successful even if the right program for the right inmate is implemented unless the program succeeds in teaching economic skills that are viable in the community to which the individual is eventually returned. In short, resource interventions are the best direction for correctional efforts known, but to be successful, specific short-term goals are needed. Inmates need to be placed in institutions that reflect their abilities. Staff must be properly trained and programs must be properly funded and monitored to insure success. To do anything less invites higher levels of frustration on the part of inmates and leads to higher levels of recidivism when they return to the community.

Inmate compensation is, perhaps, the most important issue to be addressed if the jail industries program is to become more productive. The key here is the productivity of inmate labor. In order for jail industries to become more productive, incentive programs that link the compensation offered inmates to their own, as well as their shop's productivity should be devised. Human behavior is linked to self-interest. Without sufficient incentives, little improvement can be expected in the productivity of inmate labor.

The key question for those interested in increasing the productivity of the jail industries program is what form these incentives should take. Should there be a differential wage

scale based on the kind of work the individual is doing? Should the productivity measurement be based on individual or shop productivity? What guidelines should be used for the setting of production bonuses and other incentives? These questions require considerable thought and study of other correctional and private incentive programs, as this problem lies at the heart of the productivity issue. Several incentive structures could be developed and tested on a pilot basis to determine the best formula for each correctional industry. Reflecting the real world, economic wages need to be tied to the kind of work the individual is capable of performing. Within this structure the individual's wages should primarily reflect their productivity with bonuses added for the general productivity of the shop. In short, a gradation of rewards and sanctions including money, good time, and extra privileges for productivity would maximize the productivity of inmate labor.

Where the money would come from to pay the inmates is another problem. In the short term, there is clearly a need for capital investment, but the investment must be made in such a way as to ensure that whatever is invested is just that--an investment, and not simply another program for inmates. Productivity is the key to ensuring a return on investment. Productivity is, in turn, related not only to how much is produced, but what is produced and how it is produced. This raises the question as to what markets are to be addressed and, indirectly, the question concerning private sector opposition to the sale of prison goods.

First the options concerning markets and how they relate to productivity. The first market that should be addressed is the inmate market itself. How much of the materials used by corrections can be produced by jail industries? Every dollar saved by producing the food, clothing, building materials, and anything else that corrections now purchases can be used to encourage the work of inmates, and at the same time create a largely self-sufficient jail system. Beyond this market are other government agencies whose needs can be supplied by well managed correctional industries programs. Market estimates need to be made to determine if sufficient income could be generated within government agencies to justify the development of specific industries and shops. Capitalization necessary to be competitive in each sector would also emerge from this evaluation.

The selection of specific products and/or services to be produced and provided by jail industries is the most difficult and the most important task of management. It requires an ongoing evaluation of local, state, and national conditions and aggressive action to insure that the high levels of productivity, that can be achieved internally with the right programs, result in products that can be sold at a profit. Competition with the private sector is a major factor to consider, and the resulting political problems are not altogether avoidable in the development of a strong jail industries program.

Even the state youth system indirectly competes with private corporations which would ordinarily sell their products to the



various state agencies. Political problems will exist, however, no matter how much is done, but these problems are not insurmountable. Not only can effective companies be assisted, but the total market captured by any particular jail industry could be limited in much the same way as various imports are now limited, thus diffusing any major opposition.

In addition to the private corporations that would be affected, private individuals, especially the poor, could also be negatively affected by a strong jail industries program. Although correctional agencies cannot be responsible for every aspect of good government, this concerns seems to be more properly placed in the welfare agencies. The researcher feels there are at least two potential benefits that could accrue from a jail industries program development.

First the jail industries program, once fully operational, could serve as a model for other counties. If the federal and state prison industries can operate at a profit, why couldn't the county programs also operate at a profit? Of course this is very ambitious, and not without political risk of its own. Policy efforts do not have to go this far to be helpful to disadvantaged people, however, as there is great potential for crossover between the work of correctional industries and the needs of the poor.

Poor people, for example, could be permitted to purchase the products from jail industries at cost. Such a plan would help

diffuse the unfair competition, while at the same time providing for those most deserving of the community's assistance. The thoughts outlined above are only the beginning of the development of a master plan designed to expand and improve the productivity of correctional industries. As part of the overall strategic planning and transition plan it would be necessary to include:

- (1) Comprehensive review of the statutory framework governing correctional industries including those laws governing organization compensation, use of labor, financing regulation, and post release policies. From this review a legislative agenda could be formulated.
- (2) The development of individual and organizational incentives and training programs that support the profit motive.
- (3) Business planning at the shop and industry level comparable to that used in the private sector.
- (4) Record system development including a complete system of management control for monitoring performance and for providing the data necessary to perform financial market and product analysis.
- (5) Identifying the range of practices through which inmates are employed in county jails.
- (6) Research a representative group of county operations.

- (7) Assemble key personnel for the programs that were studied, allowing them to meet each other, share resources and contribute their experiences to the development of resources for other jails.
- (8) Develop a how-to-guide to assist counties in their efforts to create and improve jail industries.
- (9) Develop a comprehensive resource manual to assist counties in operating Jail Industry Programs.
- (10) Publicize the benefits of jail industries in an effort to encourage support for new and improved industry programs.

The research project that needs to be done is an enormous one with many obstacles to overcome and challenges to be met.

#### JAIL INDUSTRY PROGRAMS; PROBLEM STATEMENT PART II

The experience with Jail Industry Programs over the last two decades has not been overly successful. By any criteria, successful programs have been the exception rather than the rule, and most reviews have confirmed the repeated claim that traditional jail industries fail to rehabilitate inmates, fail to reduce offender idleness, and fail to alleviate problems associated with the post release re-integration of offenders.

Jail industries also have imposed a considerable economic burden

on many jurisdictions. Federal Prison Industries in Canada produced an operating deficit of more than \$7 million in 1980. In the State of California, the Prison Industries Authority last year operated at a \$6 million deficit. Why correction industries have not fared as well as originally anticipated has been attributed to many factors, some so common that they have generally come to characterize the program activities of the past twenty years. These problems include:

- (1) Poorly defined and often conflicting program objectives.
- (2) Work assignments that are dull and that provide inmates with few developmental opportunities.
- (3) Work facilities and equipment that are outdated, and that tend to place limits on productivity.
- (4) Inadequate standards with respect to accounting procedures, inventory control, labor relations, managerial accountability, productivity, and evaluation.
- (5) Inmate work schedules that are too short and that are often interrupted for reasons unrelated to the task environment.
- (6) Inadequate incentives for both inmates and program staff.
- (7) Ineffective marketing that often results from legislative limits governing market access or from prohibitions against

the sale of corrections made goods to the public.

- (8) Difficulty in acquiring program staff that possess the necessary expertise to manage and direct a specialized industrial venture.

When asked to describe the requirements necessary in order to make corrections work programs economically profitable, administrators invariably cited multiple needs. The majority identified better facilities, new product lines, new markets, and better incentives for staff and inmates as essential prerequisites for economic viability.

It should be pointed out that the correctional authorities contacted remain optimistic that the problems associated with jail industries Programs can be overcome. Particularly during the last five years concerted steps have been taken to remove the obstacles outlined above. All such interventions have led to clear demonstrations of success in individual programs. It is perhaps more important to recognize that the changes now occurring across a broad front represent a significant departure from the way prison industry programs have traditionally been perceived. Both the nature of these changes and some suggested approaches to problem resolution will be addressed in the body of this report.

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OBJECTIVE NO. I

DEFINING THE FUTURE

## OBJECTIVE I; DEFINING THE FUTURE

### STATEMENT

The first objective of this research project is to explore, study and analyze the central issue using generally accepted futures methodologies. The result of this process will be three future scenarios based upon the collected forecasting data obtained through a literature scan, personal contacts with administrative officials at the National Institute of Corrections and the National Institute of Justice, discussions with a broad range of professionals, and the use of the nominal group technique. The central issue of this project is the development of jail industries, defraying the cost of inmate population. In order to properly focus this project an evaluation of related past, current and future sub-issues were conducted.

Over the past five years a significant resurgence of interest in jail industry work programs has taken place in the United States. This interest has surfaced virtually everywhere from large urban states with thousands of prisoners housed in century old facilities to small rural states incarcerating fewer than 300 prisoners in relatively modern institutions. The identified major sub-issues are:

- (1) How has the growing recognition of inmate rights and responsibilities affected corrections industries?

- (2) What has been the impact on restitutive sentencing in regards to inmate work programs?
- (3) How has intensified competition for scarce public sector resources affected government's ability to deliver services?
- (4) How has the increase in inmate population affected the ability to house prisoners and modify behavior?
- (5) What has been the affect of the demise of the rehabilitative ethic that has so influenced American correctional thinking for the past twenty-five years?

The scanning process revealed that these important sub-issues continue to be very relevant ones. Many community business and economic factors are generally beyond the scope and influence of criminal justice agencies, but produce and cause substantial impact on the ability to deliver quality services to the public. The identified related current issues are:

- (1) Can California counties continue to incarcerate adult offenders at the present record level?
- (2) What is the current impact of inmate population on the overall service levels and programs for all of county government?



- (3) Will the budgetary crisis at the county level impact criminal justice's ability to incarcerate inmates?
- (4) What perception from the community exists in regards to the manner in which adult corrections are currently being managed?

Additional issues which have the potential to emerge by the year 2000 have also been considered. These would include:

- (1) Should criminal justice place a greater emphasis on alternative sentencing versus jail industries programs?
- (2) Should government enter into contracts with private industry to manage and care for inmate populations?
- (3) Should criminal justice play a more active role in addressing the causation of criminal offenses and attempt to place greater emphasis on behavior modification?
- (4) Will the growing inmate population overwhelm corrections ability to keep communities safe?

#### METHODS IDENTIFICATION

The following techniques and methods were used to gather, develop, and evaluate information pertaining to the central issue:

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- (1) A literature scan of a wide spectrum of written materials which included books, manuals, periodicals, journals, magazines, newspapers, newsletters, federal, state and municipal governmental publications relating to the issue of jail industries.
- (2) Personal interviews with subject matter experts.
- (3) The researcher's expertise and involvement in criminal justice based on my 22 years of experience and current position as Sheriff-Coroner of a large county that includes the management of a corrections division and coordination and implementation of a jail industries program within that unit.
- (4) Use of the nominal group technique which brought together subject matter experts for the purpose of forecasting trends, and events and evaluating the cross-impact of those trends and events on each other. The group was composed of police professionals, representatives from public and private organizations, municipal and state corrections experts, labor, and a member of the County Office of Education.
- (5) Three future scenarios were written using the information generated during the NGT process.

## METHODS/IMPLEMENTATION

Research was conducted initially by a scan and review of the existing literature related to the central issue. There is a tremendous amount of information available both at the local, state and federal levels in regards to the development of Jail Industries. The literature search revealed that effective work-oriented jail industry program accomplishes a number of things. It reduces inmate idleness, and does so at virtually no cost to the county. All costs incurred by the program are absorbed in the cost of manufacturing. It produces quality products for the county at a reduced cost. It provides financial compensation to inmates, thus allowing for family support payments, victim restitution, taxes, savings for release, and some improvement of the inmates' living standards inside the institution via commissary purchases.

Even more important, it provides the inmate with a positive work experience and a real world working environment with considerable emphasis on work or productivity and overall shop profitability. Such an atmosphere facilitates the formation of good work habits and may also provide the opportunity to require a marketable skill.

One key element identified in the literature to the development of viable industrial programs within jails is the identification of appropriate products for manufacturing successful penetration of available products for the product once it is produced.

The marketing function has been a difficult one for jail industry to perform for a variety of reasons. Legislatures typically restricts the type of customers to whom the jail system can sell its products. Salesmen's salaries are funded rather than commission generated with order-taking more important than market development. Uncertainties about delivery dates dissuade potential customers. All of these factors inhibit jail industries from functioning like a business.

Jail industry involvement and work skill training may offer benefits for all concerned parties: for the jail a chance to reduce idleness, for government a chance to reduce operational expenditures, and for the inmate a chance to find employment in a new and growing industry.

The second method used to gather information was the personal interview with subject matter experts whom also served as members of the NGT. This researcher met with several subject matter experts and conducted personal interviews with them in an effort to develop a strategic plan for implementation of a jail industries program. The scanning, personal interviews, and data provided a list of relevant trends and events for the study. This information was sent to the ten member group (Appendix 1) prior to the nominal group exercise.

During the NOMINAL GROUP TECHNIQUE (NGT) process, additional trends and events were added to the list (Appendix 2) and over half of them (Appendix 3) were discussed during the NGT exercise.

### TREND SELECTION

The nominal group used a trend screening form to determine which five of the identified trends would be most valuable and have the greatest importance in the study of our central issue on which to develop a long range forecast. A trend was described as a pattern of happenings over time preceding in a specific direction.

The selected trends in rank order are:

- (1) The recognition of inmate rights and responsibilities affecting correction industries.
- (2) The impact on restitutive sentencing in regards to inmate work programs.
- (3) Competition for scarce public sector resources.
- (4) Inmate population to house inmates and modify behavior.
- (5) Rehabilitative ethic, that has so influenced American correctional thinking for the past 25 years.

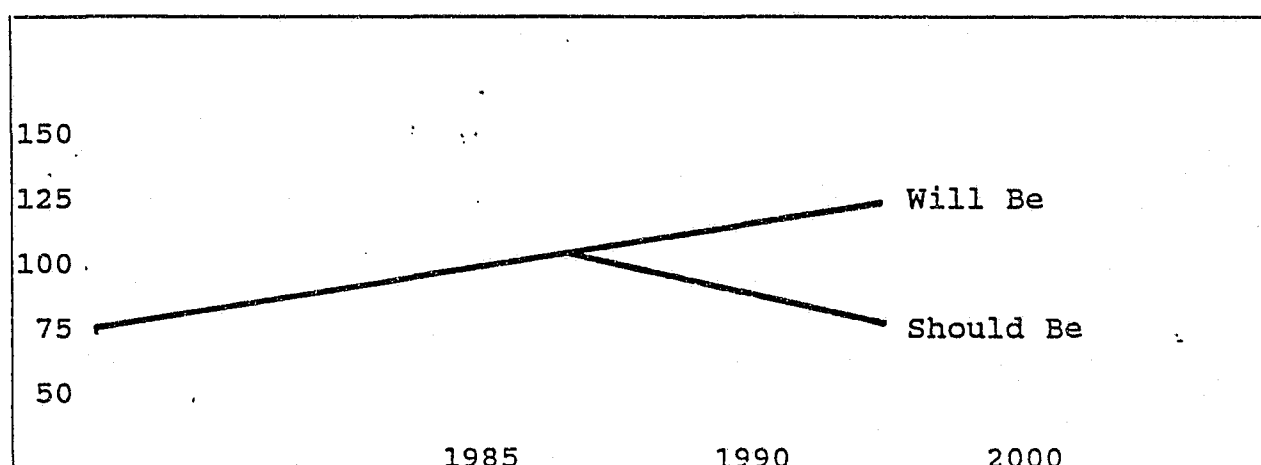
### TREND FORECASTING

All trend levels have been assigned a present day value of 100. Each member was asked individually to estimate where the level of

trend was five years ago, where it will be in ten years (nominal forecast) if the trend keeps going without intervening events, and where it should be in ten years (normative forecast) if there were desirable intervening events and policies. The median value established by the group for each trend level is found in figures (1 through 5).

FIGURE 1

Growing Recognition of Inmate Rights and Responsibilities



Past	80	100	
Will Be			120 (80-200)
Should Be			60 (30-80)

Trend 1 Analysis

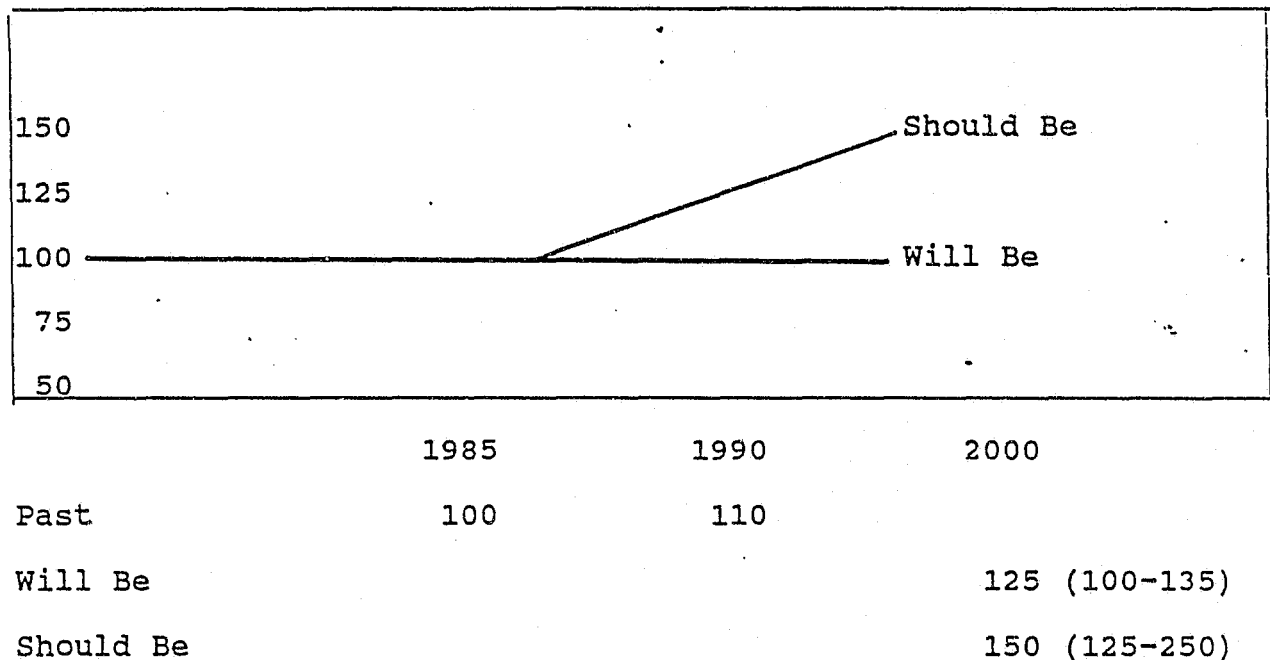
A broader recognition of inmate rights has caused many commentators to insist that offenders who participate in work programs should be granted the same rights as free workers. Some profound implications are raised by this point of view, not the

least which is support for the argument favoring payment of no less than minimum wages in exchange for inmate labor.

In several jurisdictions, inmates already receive minimum wages, and in a number of others at least minimum wages are earned by part of the working inmate population.

FIGURE 2

Increasing Emphasis on Restitutive Sentencing



The Increasing Emphasis on Restitutive Sentencing

Trend Two Analysis

Similarly, the trend toward placing greater emphasis on restitutive sentencing is especially relative to the present

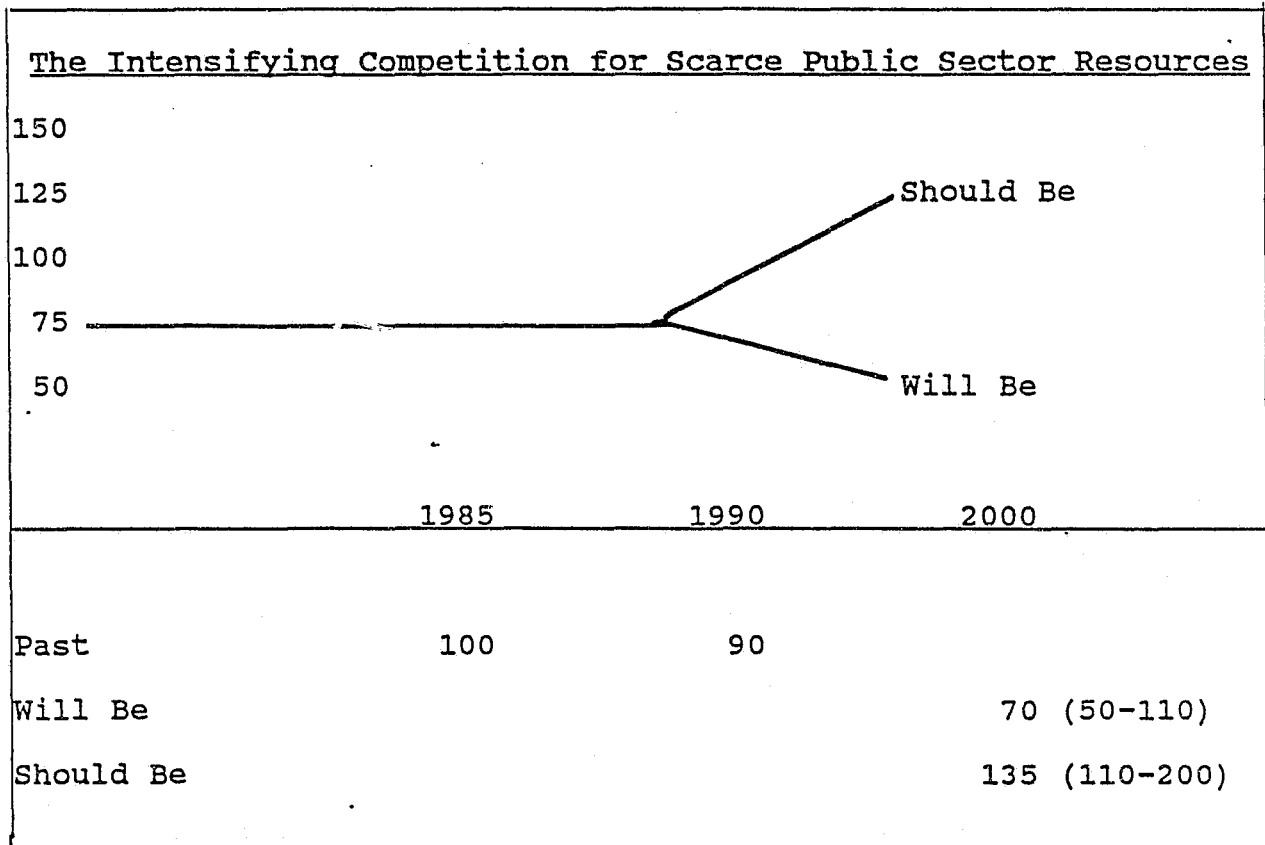
discussion period. As the restitutive option is given a more central role in the administration of justice, it is reasonable to assume that correctional authorities will be required to provide offenders with the opportunity to receive an income out of which restitution payments can be made.

The success of adult restitution programs may frequently hinge upon their ability to provide and maintain some employment in the first place. Furthermore, in forecasting an increased emphasis on accountability in the criminal justice system, it is essential that all correctional facilities provide an environment conducive to the inmate developing and exercising responsibility. It is not surprising that jail industries are now being recommended as a program vehicle correctional authorities can use to provide offenders with ability to make restitution payments, but if jail industries are expected to serve correctional interests in this way, it follows that inmate earnings must not represent an extra cost to the system.

The logic of the proposition is straightforward. It is necessary for jail industries to be self-sustaining if they are to play a role in restitutive sentencing otherwise the correctional system will be seen defacto to be contributing financially toward restitution payments through program subsidies.



FIGURE 3



The Intensifying Competition for Scarce Public Sector Resources

Trend 3 Analysis

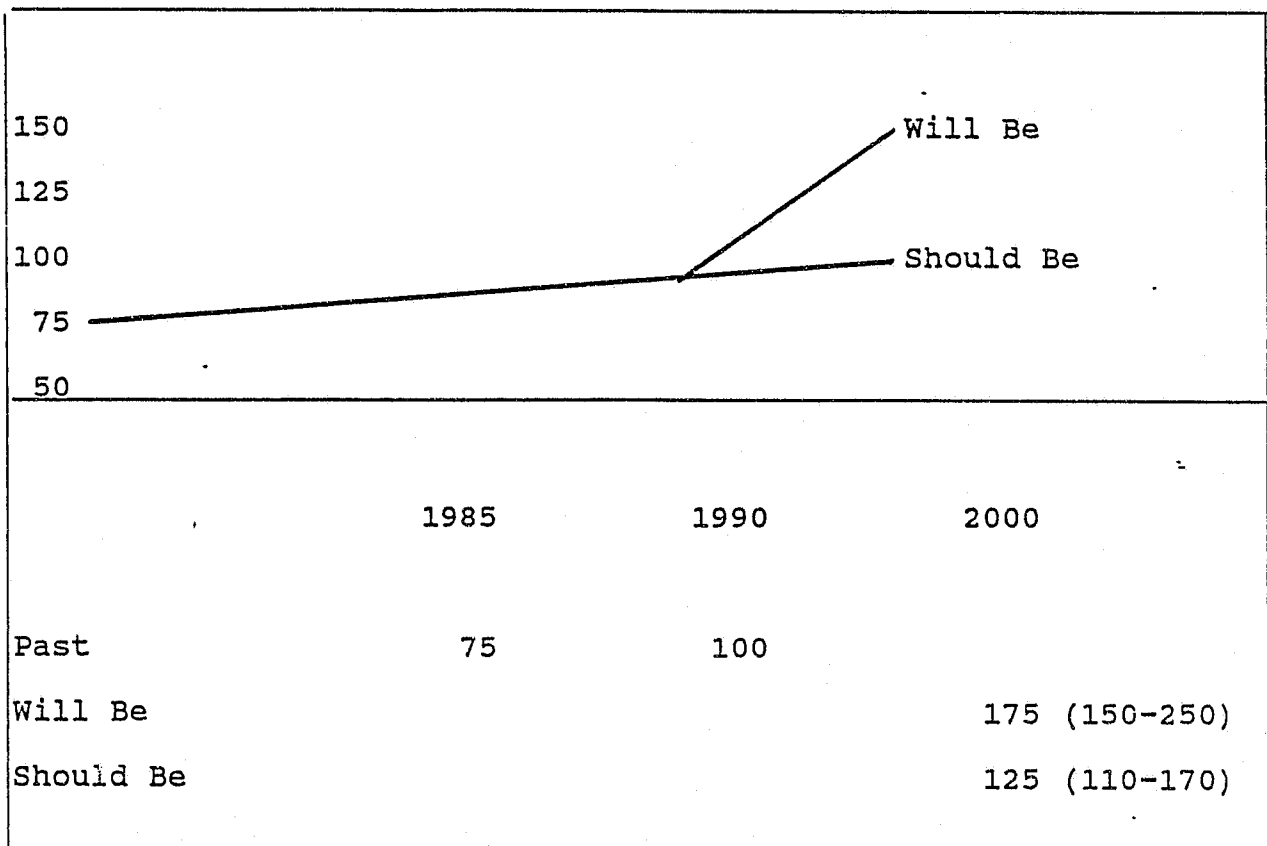
Even if jail industries are not forced to become self-sustaining, the trend toward greater competition for each public sector dollar must be considered. The group felt that economic considerations will force corrections to increasingly justify its expenditures in competition with other criminal justice services and with services outside the criminal justice field.

The group also felt the value of rehabilitative programs will be

questioned with those not considered cost effective being curtailed. The emphasis would be placed on services and production in the interest of self-sufficiency.

FIGURE 4

The Dramatic Increase In Inmate Population Effects Our Ability  
To House Prisoners and Modify Behavior



Trend 4 Analysis

California taxpayers today are spending \$20,000 per inmate annually for state and county inmates. The group felt that the criminal inmates should help to defray the costs rather than placing the full burden on citizen tax revenues.

This year California will spend \$1.5 billion to operate the state prison system. An additional cost of \$346 million will be expended to operate the state's youth authority facilities for juvenile offenders, all of which are financed by taxpayers. Citizens want criminals in prisons and county jails and away from their neighborhoods. And as a result, the inmate population is exploding.

Both the state and county jail inmate population has increased by over 50% in just the last four years. It is opined that a program is needed to require inmates to work in order to help pay for the increasing costs, provide restitution to victims of crimes, and require job skills to help them lead better lives when they are released. The group strongly favors proposing that a constitutional amendment be presented to the voters to allow both states and counties to contract with the private sector so that the work programs in California correctional facilities can be expanded and, thus, share more with the inmates for their upkeep.

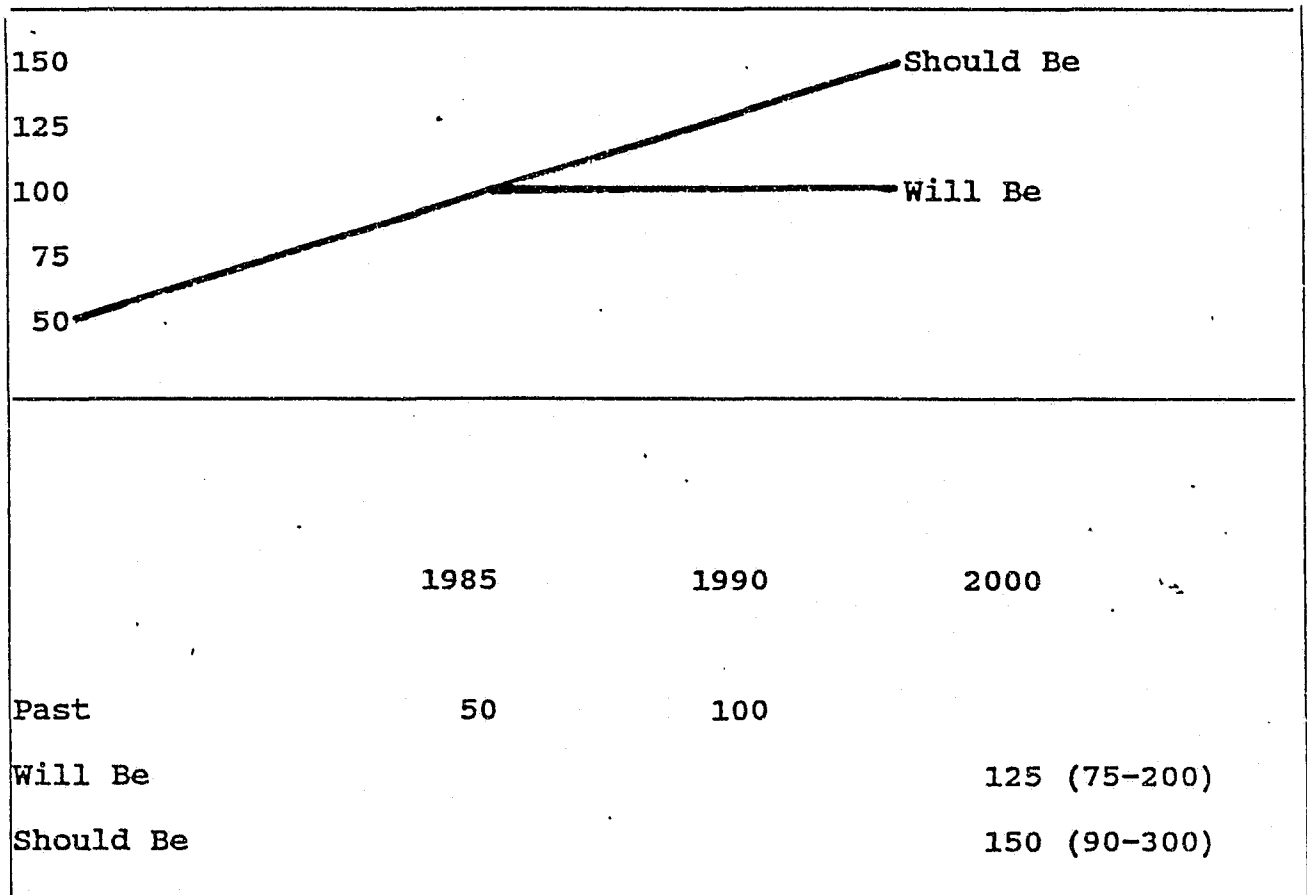
The benefits would be such that one would be able to reduce the cost to the taxpayers of operating correctional systems by having inmates reimburse the county for their upkeep. It would also provide restitution compensation to victims of inmate criminal acts, and would help to support the inmate's family.

Inmates would be provided with the necessary skilled training which would allow them to obtain jobs upon their release from custody and would assist in their overall efforts to become

responsible law abiding citizens once released from custody.

FIGURE 5

The Effect of the Demise of the Rehabilitative Ethic That Has So  
Influenced American Correctional Thinking.



Trend Five Analysis

During the last several years the correctional community has become convinced that the most effective way to deal with offenders is through such resource intervention as education, vocational training, job training, job placement, and financial aid; each of which has been tried with varying degrees of

success. The group supported this general direction in that on the whole the resource interventions are most effective in reducing recidivism when compared to the alternatives.

However, care and caution should be exercised in the development and deployment of programs as their impact is variable ranging from positive to negative, depending on the type of program.

Clearly, offenders need more education and vocational training if such training would make them more competitive in the labor market and decrease their chances of having no alternative to crime when released from prison. Long-term efforts to change inmates such as psychotherapy and group therapy are associated with higher rates of recidivism, while short-term efforts such as job placements, financial aid, and practical social work assistance after release are effective in reducing the rate of recidivism.

Education of offenders is a long-term effect aimed at making up for many years of depravation and hardship that mark the lives of most inmates.

The resource interventions are the best direction for correctional efforts known, but to be successful, specific short-term goals are needed. Inmates need to be placed in situations that reflect their abilities. Staff must be properly trained and programs must be properly funded to insure success. To do anything less invites higher levels of frustration on the part of

inmates and leads to higher levels of recidivism when they return to the community.

#### EVENT SELECTION

An initial list of events, that may have a significant impact on the issue, was prepared prior to the NGT exercise and was sent to each member of the group. An event was described as a one time incident or action that a future historian can look back upon and state with certainty that it did or did not happen. During the exercise, additional events that could have significant impact on the issue were solicited, compiled, and as a result five were selected based on their likelihood of occurrence and their impact on the criminal justice system.

The events that were selected for evaluation are as follows:

- (1) Private industry takes over jail industries.
- (2) Labor unions agree to work cooperatively with jail industry programs.
- (3) Special interest groups favor jail industries.
- (4) Marketing constraints mandated by court.
- (5) Limited compensation to inmate population.

## EVENT DESCRIPTION

### Event No. 1

#### Private Industry in Prisons

Associated with the movement to adopt the free-venture model, correctional authorities display a growing interest in the direct involvement of private enterprise. The involvement of private interest in jail work programs also has been given impetus over the past several years by the passage of enabling legislation in nearly a dozen states.

In some areas, private enterprise is not only seen as a valued participant, but also regarded as a necessary partner to ensure that jail industries will be economically viable. In several state prisons, private enterprise is already active. At a maximum security institution in Minnesota, inmates earn as much as \$7 per hour working as computer programmers for a private data processing firm. In Kansas inmates are employed by a privately owned steel fabrication company and receive an hourly wage of \$3.35.

Similarly, Ontario, Canada has three industry operations that incorporate private sector participation. In one of the Ontario institutions, inmates assembling automotive components for a private company earn minimum wages. In another, workers receive union wages of more than \$8 per hour while working in a privately

owned meat processing plant. And in yet another facility in Ontario, offenders are paid a minimum wage for work performed in a mattress factory managed by a private company.

## Event No. 2

### Labor Unions Agree To Work Cooperatively With Jail Industry Programs

Labor unions consist of individual taxpayers who believe in support of this concept as a way to make criminals work as hard as they do to provide restitution for crime victims and to pay room and board for their maintenance. It is important to note that labor unions do not want to displace jobs for honest, hard working citizens. They want to make those individuals who are sentenced to in-custody status work as hard as honest taxpayers.

It is important to point out that the unemployment rate in California has dropped from 11% in 1983 to approximately 5% now; more than 2.8 million more Californians found new jobs in that time period. Relative to California's labor market, the inmate work plan would result in a very small number of jobs, even if every single inmate eligible for work were working they would account for just one-half of 1% of the total state work force.

Also, many of the tasks inmates would perform are jobs that would otherwise be lost to cheap labor overseas or for which there are currently not a sufficient number of workers. Toy and apparel



manufacturing are examples of industries in which jobs are currently being lost to overseas competition. In addition, there is an insufficient number of workers available for such industries as the recycling of garbage and other waste material.

Some difficulties may surface in delineating the role of the offender as employee versus prisoner. Once union certification is permitted it will be important to provide specific rules regarding discipline in the collective agreement. It will also be important to insure that double jeopardy situations do not arise as a result of existing regulations authorizing correctional administrators to discipline inmates for failing to work or for not working productively.

### EVENT NO. 3

#### Special Interest Group Attitudes Toward Prison Industries

It is one thing to determine that jail industry programs can become self-sustaining in financial terms, it's another thing entirely to establish whether or not the conditions required to bring about self-sufficiency can attract the public support needed to make program implementation viable in political terms. The importance of this issue was made clear as long as fifty years ago when the American trade union and business Lobbies succeeded in affecting changes to the way prison industries had previously operated. Their intervention marked the end of the days in which self-sustaining prison industries were common place.

While many correctional officials and legislators feel that support for competitive jail industries is lacking, surveys strongly suggest that the opposite appears to be true. A recent California poll shows that 80% of Californians want inmates to work to help defray expenses for their upkeep. In the opinion of the public, business representatives, inmates, and trade unions, it seems that only when the conditions necessary to guarantee work programs self-sufficiency are absent that hostility is evident.

To begin with, a substantial majority of offenders support the notion that inmates should work. Indeed, where the payment of wages is involved, work programs are given popular preference over activities such as vocational training or education. Offenders themselves tend to support the point of view that the majority of dollars should be spent on work programming.

The attitudes held by business representatives, union leaders, and community respondents also indicated support for the proposition that offenders should be paid for the work they perform. And a majority indicated that the remuneration received should at least equal the prevailing minimum wage. The majority viewpoint supports open market sales and union officials gave a clear message that their primary concern centered upon the fear that prison industries could be granted an unfair competitive edge through the passage of preferential legislation. So long as industry programs enter the marketplace on the same terms as any other employer, it appears that union support will be forthcoming.

The trade unions canvassed also suggested that fair competitive practices could best be ensured by insisting upon the payment of union rates to inmate workers and by omitting subsidies to the goods produced.

Among the three special interest--groups, community, business and trade unions--victim compensation, court and jail costs, and forced savings for spending on release all drew substantial support.

At the same time, it's important to ensure the program implementation will have to be accompanied by assurances that fair competition will prevail if popular acceptance is to be forthcoming.

#### EVENT NO. 4

#### Marketing Constraints

Some fundamental principles of market strategy should be established if jail industries are to become self-sustaining. As a priority, corrections officials should accept the marketing function as an integral part of operations, and that a program marketing authority should be given access to the same range of product outlets offered businesses in the community.

Since production efficiency depends, to a large extent, upon the successful distribution of the maximum possible output, product

lines and production levels should be coordinated with the consumer demand.

The implications of this statement are plain enough. Jail industries often are characterized by the capacity to manufacture products for which no markets exist and by the incapacity to service markets that are available. Artificial limits imposed on market access also have proven damaging to program success. Over the past 50 years, jail industry operations in many jurisdictions have been subject to legislation restricting the sale of goods and services. Sales to the public or to the consumer other than governments and non profit agencies have been prohibited.

As far as can be determined, the now antiquated statutory constraints limiting market access were first supported on the grounds that jail industries provided a source of unfair competition for private business and trade union interests. Legislative safeguards of this kind may no longer be justified given recent surveys of public opinion.

Without a diversified market to partially absorb the sudden loss of individual customers, the financial buffer necessary to allow for conversion to new product lines is also lost, and restrictive legislation presents a further disadvantage by its effect upon operational efficiency.

New federal legislation provides for a pilot exercise in which programs operating within seven states are now allowed to sell

products across state lines and to the federal government. It is also encouraging that ten states have since passed enabling legislation supporting the federal initiative and that more expansive federal legislation has now been introduced in the U.S. Senate. The proposed law broadens the franchise to all state prison/jail industry programs. Like the earlier but more limited federal enactment, the new legislation includes provisions which address the concerns of both the trade unions and the business community by declaring the prevailing wage rates must be paid to inmate workers and union interests must be consulted.

#### EVENT NO. 5

#### Compensation; Victims Versus Inmates

One argument for the payment of reasonable remuneration to inmates concerns the offender's ability to make financial restitution for damages arising out of the offense. The general objective is to restore actual property to victims, pay victims for damages incurred, to compensate innocent purchasers who lost money by buying stolen merchandise which is later returned to the original owners, and to reimburse victims for medical expenses incurred.

Additionally, correctional authorities could receive reimbursement for lodging, food, and clothing with certain conditions that would preclude the amount of reimbursement not exceeding 25% of the inmate's gross earnings.

## EVENT ASSESSMENT

The five selected events were then evaluated to determine the group consensus, using median values for the group's responses to estimate the first year that the probability of the events occurrence exceeds zero and the action probability of the occurrence of the event by 1995 and then by the year 2000, on a scale of zero to one hundred.

Finally, the group was asked to forecast the impact the happening of the event would have on the central issue (the development of jail industries defraying the cost of inmate incarceration), and on county criminal justice. The results of this evaluation are presented in Figure 6.

## CROSS-IMPACT ANALYSIS

Should any of the potential future events occur, it would impact some or all of the other events and trends. This analysis addresses the inter-related aspects between forecasted trends and events. Members of the NGT exercise were asked to estimate those relationships on a cross-impact analysis form. This form shows the effects the participants felt each event would be expected to have on all other events and trends.

The ratings were calculated and the median was used (Figure 7).

## EVENT EVALUATION FORM

EVENT STATEMENT	PROBABILITY			IMPACT IN THE ISSUE AREA IF THE EVENT OCCURRED	
	Year that Probability First Exceeds Zero	1995 Five Years From Now	2000 Ten Years From Now	Positive ( 0-10 )	Negative ( 0-10 )
① PRIVATE INDUSTRY IN CORRECTIONS	1990	0	60	+ 8.5	+ 5.5
② LABOR UNIONS AGREE TO WORK COOPERATIVELY WITH JAIL INDUSTRY PROGRAMS	1995	30	65	+ 6.5	+ 6.0
③ SPECIAL INTEREST GROUP ATTITUDES TOWARDS PRISON INDUSTRIES	1993	55	85	+ 7.5	+ 5.0
④ MARKETING CONSTRAINTS	1997	0	45	+ 5.0	+ 2.5
⑤ COMPENSATION OF VICTIMS vs. INMATES	1992	35	75	+ 4.0	+ 2.0

Figure 6

The following is a description of the group's cross-impact evaluation.

#### FUTURE SCENARIOS

From the study data three future scenarios were developed. Scenarios are integrating mechanisms designed to present complex forecasts or relationships in an organized and readable fashion. They provide a picture and a vision of the future with the purpose to present choices and alternatives for strategic planning.

Scenarios serve to call attention, sometimes very graphically to a larger range of possibilities that must be considered in the analysis of the future. These three scenarios have been developed primarily from the trends, events, and cross-impacts identified in the NGT exercise.

The exploratory scenario is one which would occur if there were no intervening policies and events which would alter the present course of forecasted trends. A hypothetical scenario is a turbulent future in which events occur with surprising consequences. The normative mode presents policies and actions adopted and undertaken to achieve and insure that the favored future actually occurs. This scenario connotes that by understanding the present and systematically forecasting the future, law enforcement agencies can design and implement the essential policies, procedures, and resource allocations which



can change and alter the direction and outcome of forces currently in motion to secure desired future.

The strategic and transition plans that follow in the study project are designed to achieve the results described in the desired and attainable future.

SCENARIO NO. 1 - EXPLORATORY ("MOST LIKELY")

The last decade has proven to be a very difficult one for everyone who has responsibility for managing correctional operations. Although all departments have been able to exist, none would prefer to repeat the experience, yet the future promises to be very uncertain. Demographic changes continue to occur and now in the year 2000 California has grown from 28.7 million in 1990 to 32.3 million, growing at twice the rate of the nation's growth.

Correspondingly, the inmate population in California continues to outpace the normal population increases that have occurred. The most current estimate for the state prison population in 1995 was 134,000 and now in the year 2000, 175,000. County jail populations in 1995 had 120,000 and now in the year 2000 somewhere in the neighborhood of 150,000. It goes without saying, there is an increased need for inmate bedspace; however, given the cost per cell running between \$40,000 and \$60,000 per bed the ability to pay for new prison and jail construction is making it almost prohibitive.

# CROSS - IMPACT EVALUATION FORM

Suppose that this event  
actually occurred -----

How would the probability of the  
events shown below be affected?

How would the level of  
these trends be affected?

	E1	E2	E3	E4	E5	T1	T2	T3	T4	T5
E1		+ 55%	+ 65%	+20%	+ 60%	-80%	+85%	-50%	+25%	0
E2	+ 15%		0	0	0	-25%	+30%	-20%	0	0
E3	+30%	+ 5%		0	+5%	-75%	+25%	-35%	0	0
E4	+ 75%	+ 60%	+ 40%		+5%	-35%	+70%	0	0	0
E5	+ 45%	+ 15%	0	0		-35%	+30%	-25%	0	0

Figure 7

These needs, however, are being met not entirely, but on a partial basis by the passing of state bonds calling for new jail construction. The State of California invested over \$2.5 billion into new prison systems in the last eight years. Both at the state and county levels, corrections has been deemed to be the largest growth industry in government today. California's inmate population continues to explode at an alarming rate and correctional administrators have estimated they will need an additional \$30 billion for growth alone.

Currently, in the year 2000, California will have the nation's highest inmate population and is still faced with severe overcrowding.

Currently, the ethnic break up of the inmate population is Hispanic, 42%, White 36%, Asian 13% and black 9%. An increasing portion of inmates have been identified as coming from underprivileged homes with a very high percentage having exposure to various forms of substance abuse. A substantial part of their childhood was spent in a single parent family. Increases in divorce and births to young, unmarried mothers intensified the numbers of youth that experienced a part of the criminal justice system. The key elements distinguishing the different classes of individuals was primarily the availability of drugs in society, lack of education and self-esteem.

Delinquency trends climbed at alarming rates and grew annually at the rate of nearly 10%. This year California law enforcement

agencies arrested over half a million youth. Also, felonies consistently grew at a faster rate than misdemeanor offenses, especially the crimes of aggravated assault, narcotic violations, motor vehicle thefts, and weapon offenses.

Most new jail construction spending has been devoted to county and state incarceration facilities. California continues to incarcerate a higher proportion of offenders than any other state in the nation. Punishment continues to dominate rehabilitation and prevention as the preferred strategy. By the year 2000 the majority of those in custody were black, hispanic offenders.

Substance abuse continues to increase and few new prevention or early intervention treatment programs have been established. Gangs dominated most urban centers while the majority of law enforcement agencies continue to experience budget deficits and were unable to increase the numbers of sworn officers within their departments.

Recruitment of both police and sheriff personnel remained one of the most critical issues facing criminal justice throughout the 1990's. With the exception of the increase in the use of community based policing, little change for law enforcement's ability to deliver high levels of service. A survey of public opinion toward California's management of its jails showed tremendous displeasure with the cost of maintaining that inmate population.

SCENARIO NO. 2 - HYPOTHETICAL ("WHAT IF?")

It was an average day for jails in California in which one could find 90% of the inmate population in custody for a variety of substance abuse problems, coupled with an equally high illiteracy rate. The monthly increase in population climbed from an alarming rate of 70,000 to well over 170,000 given the fact that immigrants from Mexico and Central America have flooded into California, escaping suppression, poverty and internal warfare in their homelands. This mass exodus reached an alarming rate by the year 1995. California's state prisons and county jail systems are completely overwhelmed.

On a national level, social spending programs and mental health programs were reduced substantially through the 1990's to accommodate an increase in military spending and foreign aid. During the early part of 1990, worldwide unrest reached an all time high with major dictators being replaced by their respective citizenry. This caused the entire eastern block countries to enter into a serious period of instability and confusion causing the United States to prepare for the absolute worst outcome.

Law enforcement was desperate for solutions to the number one problem facing the inability to deal with the rising inmate population; illegal use of drugs by people living within our country. Central American countries continue to produce record amounts of drug crops, and also were involved in numerous terrorist bombings and assassinations.

Drug and alcohol abuse rates for all segments of the population were increasing daily. In the larger urban cities the population became very fearful and concerned over the ability of whether their respective law enforcement agencies could, in fact, maintain peace and safety within their respective jurisdictions.

The traditional ways in which inmate population was being handled were no longer effective. Correctional leaders turned to a variety of sentencing alternatives that would allow for certain types of offenders to not be incarcerated and, thus, would offset the cost of in-custody status. By the year 2000 this strategy was showing some success.

Throughout the 1990's the school system throughout California continued to fall apart. Graduating students were barely able to read and write.

This was a decade of much corrections experimentation driven by necessity in coping with the social problems related to the unabated expansion of the inmate population. While many new programs were tried, few worked.

Corrections continued to become the agency of last resort with its in custody population quadrupling its number of incarcerated adult offenders.

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SCENARIO NO. 3 - NORMATIVE ("DESIRED AND ATTAINABLE")

In 1995, corrections departments throughout California adopted a master plan for the entire issue of incarceration. It included the establishment of a separate department that specifically dealt with the rising inmate population. It encouraged and provided financial incentives for each county to come up with various action plans and sentencing alternatives to deal with this serious dilemma.

The county level of a successful model was developed by identified experts in the field of inmate population management. This newly established unit goal was to establish cooperation amongst all criminal justice departments and coordination in an attempt to reduce the costs of housing inmates.

Additionally, other critical areas that were developed dealt with substance abuse, curriculum for children ranging in school from grades K through 12, and the establishment of an adult treatment programs within corrections facilities. Also, a critical need was identified to develop a partnership between the local office of education and job skilled training development to sentenced inmates at both state and county levels.

In the year 2000 the model had substantially changed the entire system and delivery of services regarding in-custody status of offenders. Recidivism, which had been running at 76% was cut to

38%, making it a dramatic decrease and saving taxpayers hundreds of millions of dollars nationwide.

At the national level by the mid-1990's, both the United States and the Soviet Union had reduced military spending considerably. The savings went into the lowering of the national debt and social programs that dealt with mental health issues and treatment programs for sentenced adult offenders.

The decade of the 1990's proved to be a time for substance abuse education for children. Recognizing the effectiveness of early intervention, social service and law enforcement agencies began to focus their efforts on continuing education during the informative years and for those who were sentenced to providing them with increases in education coupled with job skill training programs, allowing offenders to return back to their respective communities as productive citizens with viable skills so that they could obtain full-time employment and become taxpayers.

In the year 2000 the rate of incarceration had fallen by over 30% from what was predicted. At a turning point in time (1995) juvenile diversion programs, community crime prevention efforts, and cooperative ventures with social services, the office of education, non-profits, and school systems were readily in placed. Their combined effect reduced the community's fear of crime and substantially reduced the demand for inmate bedspace. Drug exposed children did not reach the crises proportions as



predicted, a situation which, in turn, greatly effected the need for new jail construction.

Citizens in the 1990's were motivated to promote and adopt policies that reversed the alarming trends of the 1980's. Correction facilities continue to operate in a manner which provided humane treatment and did not allow for concern or need on the part of any federal intervention. Their efforts when combined with other public and private agencies and groups made the difference. The community's reputation for its criminal justice system was heightened and administrators in the corrections field were applauded for their clarity of vision and long-term change strategy.

OBJECTIVE NO. II

STRATEGIC PLAN

## OBJECTIVE NO. II - STRATEGIC PLAN

### Statement

The second objective is to develop a strategic plan to assist county jail facilities in the implementation of a jail industry program. This strategic plan is based on scenario No. 3, which is a desired and attainable future. This strategy is a rational and logical process of combining resources to achieve an end in an unknown environment. It is suggested that actions taken today be designed to enable the society to face the future on its own terms, not on those imposed from the outside.

Strategic planning deals with the future of current decisions and looks at alternative courses of action that are open in the future. It is also a process that begins with setting organizational aims, defining strategies and policies to achieve them, and developing detailed plans to make sure that the strategies are implemented to achieve the end sought.

Strategic planning is an attitude; it is a dedication to acting on the basis of contemplating the future. A strategic plan will furnish a situation assessment, evaluate law enforcement strengths and weaknesses, identify stakeholders, recognize policy considerations, and structure the implementation process.

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## METHODS IDENTIFICATION & IMPLEMENTATION

The following methods and techniques were used to promote strategic planning.

- (1) Structured interviews were conducted with correctional subject matter experts.
- (2) The situational analysis was made of the organization's strengths and weaknesses and external and environmental threats and opportunities (WOTS-UP).
- (3) Capability analysis was made of the jail industry proposal in terms of its probability.
- (4) A mission statement was produced for the correctional agency in general (MACRO) and for defraying the cost of inmate incarceration (MICRO).
- (5) A modified policy delphi was conducted to evaluate and select the most desirable and feasible policies.
- (6) The strategic assumption servicing technique was used to identify and evaluate key stakeholders and their positions relative to the policies proposed.
- (7) Negotiation strategies were developed to make way for acceptance of desired policies.

The Sonoma County Sheriff's Department was selected as the example within and upon which analysis was performed and policies developed for implementation. The writer is confident that the policies developed can be implemented by other large correctional agencies in California.

Information gained during the background portion of this project was presented to and evaluated by correctional subject matter experts, either employed by or familiar with the Sonoma County Sheriff's Department, for their assessment of its implications for Sonoma County. These experts assisted in developing a picture of the environment in which the department operates, formulating a mission statement and developing policy options.

#### SITUATIONAL ANALYSIS

Situational analysis was accomplished using the WOTS-UP methodology for assessing the internal capability of the department as well as the external environment in which it operates. This methodology assesses the weaknesses, opportunities, threats, and strengths, and the underlying planning which is involved in policy implementation.

The purpose of this analysis is to provide information on distinctive competencies of this department that are used to take advantage of the identified opportunities and to avoid or minimize the threats. The analysis resulted in the following:

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- (1) Strengths - The Sonoma County Sheriff's department is the 11th largest sheriff's department in the State of California out of 58 counties. It consists of 590 employees and an operating budget this year of approximately \$33 million. For the past several years it has operated under a federal court Consent Decree in regards to the management of its jail operations. The department has substantially achieved its goals as outlined in the settlement agreement between the federal court and the County of Sonoma regarding the need for constructing a new, direct supervision correctional facility. Strengths also include pay scale and benefits, promotional opportunities, and career development.

Training has been identified as one of the highest priorities and includes important areas such as inter-personal skills and people management.

The new jail facility has been completed for a six months, but has yet to be opened because of some internal problems identified in the building control systems. The county is in the process of rectifying those concerns, and hope to have inmates housed in the new facility by the end of this year.

The advantages are many and, most importantly, will include program space in which inmates will be afforded educational

programs and other types of activities that will benefit them.

Additionally, with the anticipation of double bunking the new facility, the inmate housing needs will be met for the short term.

- (2) Weaknesses - The corrections unit has an authorized staff of approximately 200 officers; however, the department is currently faced with a recruitment problem that will impact our ability to adequately staff the jail upon its occupancy. Additionally, given the current operating environment, there is virtually no program space available to conduct much needed educational classes and other skilled training projects.

It is critically important that the department continue to focus on career corrections as one of the primary directions in which our department must proceed if we are to retain employees for longer periods of time.

A recently completed four-year contract with correctional staff was met with satisfaction by the vast majority of the employees. Many enhancements occurred to not only salary, but other important fringe benefits, as well as working conditions.

- (3) Threats - The federal consent decree, coupled with close supervision by the court appointed monitor, continues to place the County of Sonoma in a difficult position. Given the yearly demands placed upon the county budget, coupled with direction given by the federal court, the impact on the ability to deliver services in other important areas has been curtailed because of the mandate to spend those dollars in corrections.

The department is continually facing a daily inmate bed crisis. The latest estimate is that the inmate population will double over the next five years.

- (4) Opportunities - The Sheriff's Department currently has strong community support as well as support from the elected Board of Supervisors. No immediate changes are foreseen on the horizon that would impact the Sheriff's Department's ability to provide for adequate inmate bedspace and the delivery of other critical services to the community.

#### ORGANIZATIONAL CAPABILITIES/RESOURCE ANALYSIS

A survey was conducted of selected department personnel in both the sworn and non-sworn ranks to establish the Sheriff's Department's strengths and weaknesses in the ability of the department to react to or initiate change. Sheriff's



Department's organization strengths were identified as management skills, supervisory skills, training, image, community support, low personnel turnover, equipment and supplies, and partnership with the Office of Education.

The Sheriff's Department's organizational weaknesses were identified as personnel staffing, budget, and criminal justice system support.

#### ORGANIZATIONAL CAPABILITY/RESOURCE ANALYSIS

An internal survey was conducted of selected Department personnel (sworn and civilian) to establish the Department's (a) strengths and weaknesses and (b) the ability of the Department to react to or initiate change.

Sheriff's Department organizational strengths were identified as:

- |                              |                           |
|------------------------------|---------------------------|
| 1. management                | 5. image                  |
| 2. supervisory skills        | 6. community support      |
| 3. correction officer skills | 7. low personnel turnover |
| 4. training                  |                           |

The Sheriff's Department is perceived as possessing the necessary skills at all levels of its structure to accomplish its tasks and responsibilities. It is well trained, enjoys high community support and a low personnel turnover rate.

Sheriff organization weaknesses were identified as:

- |                       |                              |
|-----------------------|------------------------------|
| 1. personnel staffing | 5. justice system support    |
| 2. equipment          | 6. promotional opportunities |
| 3. facilities         | 7. career development        |
| 4. budget             |                              |

## STAKEHOLDER ANALYSIS

A stakeholder is an individual or group who impacts what you do, is impacted by what you do, and cares about what you do. A snail darter is an unanticipated stakeholder who can radically impact your strategy. The following are individuals or groups from inside or outside the department who have a vested interest in the central issue and its resolution. They may affect or be affected by the development of jail industries. The most significant stakeholders, not in priority rank order, are:

- (1) Citizens.
- (2) The Board of Supervisors.
- (3) County Administrative Officer.
- (4) County Office of Education.
- (5) Business community.
- (6) Labor organizations.
- (7) Sentenced and pre-trial inmates.

## STRATEGIC ASSUMPTION SERVICING TECHNIQUE (SAST)

In developing policy it's important to anticipate stakeholders'

concerns as soon as possible. They have their own perception of the issues. The first consideration is the importance of stakeholder assumptions to the organization and the issue. The second is the degree of certainty that this assumption is correct.

The principal intent of the SAST is to firmly deliver the concept that the corrections division does not operate in a vacuum, that its policies have significant implications outside the department, and that those outside the organization can materially impact policy choices and implementation.

#### ASSUMPTIONS

(1) Citizens

- a. Very concerned regarding cost of incarceration.
- b. Have indicated support for past jail construction funding.
- c. Believe crime and fear of crime is high priority issue.

(2) Board of Supervisors

- a. Operating in a tight fiscal environment
- b. Must weigh priorities against political implications.
- c. Very sensitive to constituents' needs/wishes.

(3) County Administrator

- a. Strong interest in county's welfare
- b. Supports coordinated city-county efforts to resolve problems.
- c. Prefers social welfare solutions over law enforcement solutions.

(4) County Office of Education

- a. Supports partnership with Sheriff's department
- b. Generates ADA funds for teacher salaries

(5) Business Community

- a. Would oppose new taxes for inmate costs.
- b. Support county government programs that better use present resources.
- c. Support putting inmates to work providing a private industry is not impacted.

(6) Labor Organizations

- a. Will not support free inmate labor competition.
- b. Supports inmates organizing with union membership.

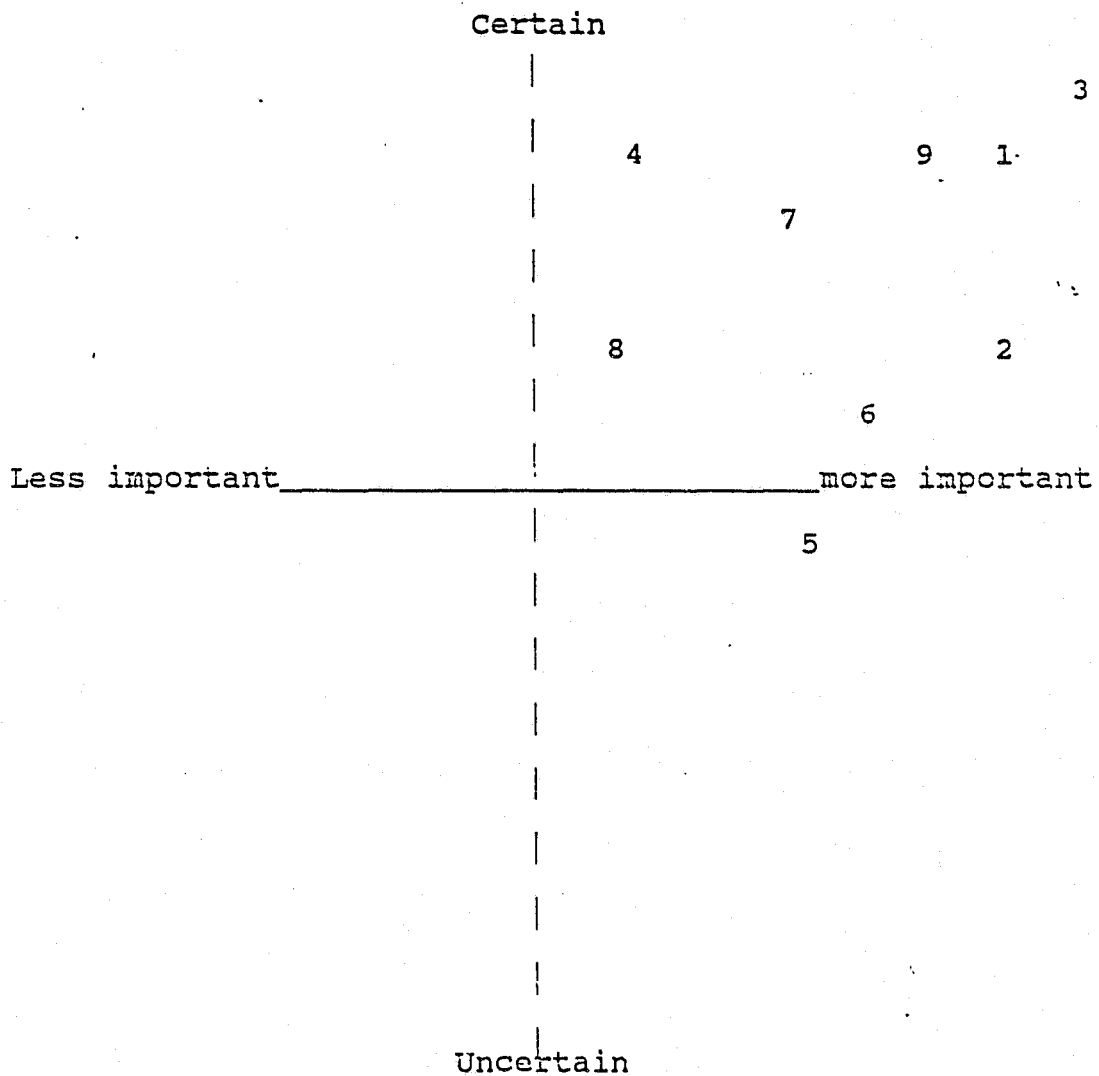
(7) Inmates

- a. Supports education and skill job training programs.
- b. Support compensation for victim restitution.

(8) Victims of Crime (Snaildarters)

- a. Are concerned about "coddling" of offenders.
- b. More punishment oriented than rehabilitative.

STAKEHOLDER ASSUMPTION SURFACING



1. County Administrator
2. Board of Supervisors
3. Sheriff
4. Deputy Association
5. Labor Organizations
6. Inmates Countywide residents
7. Countywide residents
8. Justice Support System
9. Business Community
10. County Office of Education

## MISSION STATEMENT

A mission statement is a broad, general statement which describes the philosophy by which the jail will be operated. Specifically, a mission statement defines:

- (1) The purpose of the jail.
- (2) The jail's responsibilities to its inmate population and other major constituencies such as local government, the local criminal justice system, and governmental, and community agencies which provide services and programs for the facility and the public.
- (3) The philosophical direction of the jail.

The mission statement is of equal importance to the physical environment of the facility and its operation, particularly staffing. While the design of a physical plant and its appearance send a strong, immediate message regarding the mission of the facility, and while the physical plant can facilitate or inhibit the organization's ability to carry out its mission, it is only through its people that the mission can be achieved. As a result, the mission statement provides a critical element in the development of a staffing analysis. It ultimately defines organizational priorities and gives direction to help determine what the staff should be doing.

## MISSION STATEMENT

### A. "MACRO" Mission Statement (Developed by Staff)

The purpose of the detention division in the service of the people and the courts of this state is to provide a humane environment for persons lawfully detained until they are discharged. The division constantly strives to meet or exceed constitutional and Title 15 standards in the atmosphere of safety and security for the community, staff, and persons detained herein.

At all times our mission will be carried out in a fair yet firm manner.

### B. "MICRO" Mission Statement

The detention facility should provide inmates the opportunity to participate in a variety of programs which may help them make positive life changes and eventually reenter society.

### MODIFIED POLICY DELPHI

The modified policy delphi is a process designed to examine policy issues. Its principal objective is to ensure that a variety of alternative strategies, designed to address the central issue are identified and explored.



A diagonal slice of the department's correction personnel were selected to generate and choose policy alternatives using the modified delphi process that would assist the agency in developing jail industries. After much discussion, the group selected three policies which received the highest desirability and feasibility ratings. They were:

- (1) To develop inmate incentive programs.
- (2) To address the issue of financing jail industry programs.
- (3) To address the issue of competition with the private sector.
- (4) To develop product markets.
- (5) To develop education, training and other resource intervention programs.

#### SELECTED POLICY ANALYSIS

The five selected policy alternatives received considerable discussion during the modified delphi process.

##### (1) To Develop Inmate Incentive Programs

Inmate compensation is perhaps the most important issue to be addressed, if jail industries are to become productive. The key

here is the productivity of inmate labor. In order for jail industries to become more productive, incentive programs that link the compensation offered inmates to their own, as well as their shop's productivity, should be devised.

Human behavior is linked to self-interest. Without sufficient incentives, little improvement can be expected in the productivity of inmate labor. The key question for those interested in increasing the productivity of the jail industry program is what form these incentives should take. Should there be a differential weight scale based on the kind of work the individual is doing? Should productivity measurement be based on the individual or shop productivity? What guidelines should be used for the setting of production bonuses and other incentives?

These questions require considerable thought and study of other correctional and private incentive programs. As this problem lies at the heart of the productivity issue, several incentive structures could be developed and tested on a pilot basis to determine the best formula for each jail industry. Reflecting the real world economics, wages need to be tied to the kind of work the individual is capable of performing.

Within this structure, the individual's wages should primarily reflect their productivity with bonuses added for the general productivity of the shop. In short, this researcher would favor a gradual increase in rewards and sanctions including money, good

time, and extra privileges for productivity that would maximize the productivity of inmate labor.

(2) To Address The Issue of Financing Jail Industry Programs

Where the money would come from to pay inmates is another problem. In the short-term, there is clearly a need for capital investment. The investment must be made in such a way so as to ensure that whatever is invested is just that, an investment, and not simply another program for inmates.

Productivity is the key to ensuring a return on investment. Productivity is, in turn, related not only to how much is produced, but what is produced and how it is produced. This raises the question of what markets are to be addressed and indirectly to the question concerning private sector opposition to the sale of correctional goods.

First the options concerning markets and how they relate to productivity. The first market that should be addressed is the inmate market itself. How much of the material is used by corrections can be produced by jail industries? Every dollar saved by producing the food, clothing, building materials, and anything else that corrections now purchases can be used to encourage the work of inmates, and at the same time create a largely self-sufficient prison system.

Beyond this market are other government agencies whose needs can be supplied by a well-managed correctional industries program. Market estimates need to be made to determine if sufficient income can be generated within government agencies to justify the development of specific industries and shops. The capitalization necessary to be competitive in each sector would also emerge from this evaluation.

Beyond this, the international market should be explored as well as the development of new products and products designed to compete primarily with foreign products; i.e., those goods presently being sold in the United States that are primarily imported. The selection of specific products to be produced by jail industries is the most difficult and the most important task of management. It requires an ongoing evaluation of state, national and international market conditions and aggressive action to insure that the high levels of productivity that can be achieved internally with the right programs result in products that can be sold at a profit.

### (3) Competition With The Private Sector

Competition with the private sector and the resulting political problems are not altogether avoidable in the development of a strong jail industries program. Even the state use system indirectly competes with private corporations which would ordinarily sell their products to the various state agencies.

Whatever market is addressed, some companies will be affected and a program should be developed to help affected companies develop new products and markets on a case-by-case basis.

Political problems will exist, however, no matter how much is done, but these problems are not insurmountable. Not only can affected companies be assisted, but the total market captured by any particular correctional industry could be limited in much the same way as various imports are now limited, thus diffusing any major opposition.

In addition to private corporations that would be affected, private individuals, especially the poor, could also be negatively affected by a strong jail industries program. Correctional agencies cannot be responsible for every aspect of good government, and this concern seems more properly placed in the welfare agencies.

The researcher believes there are potential benefits that would accrue from a jail industries program development. The jail industries program, once fully operational, could serve as a model for the state as an employer of last resort. Of course, this is very ambitious and not without political risk of its own. Policy efforts do not have to go this far to be helpful to disadvantaged people. However, as there is great potential for crossover between the work of correctional industries and

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the needs of the poor. For example, poor people could be permitted to purchase the products of jail industries at cost. Such a plan would help diffuse the unfair competition issue while at the same time providing for those most deserving of the community's assistance.

#### (4) Development of Product Markets

Some fundamental principles of market strategy must be established if jail industries are to become self-sustaining. As a priority, correctional officials should accept that the marketing function is an integral part of operations, and that a programs marketing authority should be given access to the same range of product outlets offered businesses in the community.

Since production efficiency depends on a large extent upon the successful distribution of the maximum possible output, product lines and production levels should be coordinated with consumer demand. Given the importance of this essential axiom, it is curious that so few jurisdictions appear to have given the marketing function serious attention.

Over the past fifty years jail industry programs in many jurisdictions have been subject to legislation restricting the sales of goods and services. The sales to the public or to consumers other than governments or non-profit agencies have been

prohibited. As far as can be determined, the now antiquated statutory constraints limiting market access were first supported on the grounds that jail industries provided a source of unfair competition for private business and trade union interests. Legislative safeguards of this kind may no longer be justified, given recent surveys of public opinion.

The most obvious effect of maintaining restrictive legislation is that it places arbitrary and stringent parameters upon the type and volume of goods that can be produced in custody facilities. Equally important is the investment risk increases where sales are dependent upon a limited spectrum of potential customers.

In such situations, it is easy to imagine how a temporary fluctuation and product demand will result in devastating consequences. Without a diversified market to partially absorb the sudden loss of individual customers, the financial buffer necessary to allow for conversion to new product lines also is lost.

Restrictive legislation prevents a further disadvantage by its affect upon operational efficiency. Recently, however, some progress has been made toward allowing jail industries access to an expanded market place. New federal legislation provides for a pilot exercise in which programs operating within seven states are now allowed to sell products across state lines and to the federal government. It is also encouraging that ten states have

since passed enabling legislation supporting the federal initiative, and that more expanse of federal legislation has now been introduced in the senate.

The proposed law broadens the franchise to all state prison industry programs. Like the earlier, but more limited federal enactment, the new legislation includes provisions which address the concerns of both the trade unions and the business community by declaring the prevailing wage rates must be paid to inmate workers and union interests must be consulted. If jail industry programs are to prosper, this trend should be encouraged.

(5) The development of education, training and other resource intervention programs

During the last several years, the correctional community has become convinced that the most effective way to deal with offenders is through such resource interventions as education, vocational training, job training, job placement, and financial aid, each of which has been tried with varying degrees of success. The resource interventions have been identified as the most effective way of reducing recidivism compared to the alternatives.

Clearly, offenders need more education and vocational training and such training would make them more competitive in the labor market and decrease their chances of having no alternative to crime when released from an in custody status.



Education of offenders is a long-term effort aimed at making up for many years of deprivation and hardship that marked the lives of most inmates. Vocational training, while somewhat more practical, faces the same problem. After twenty years of social and economic deprivation, many inmates are simply not ready for even the most rudimentary vocational training.

The pattern of short-term success and long-term failure suggests several factors that need to be taken into account in planning a work-oriented jail system. First, a carefully designed hierarchy of work skills needs to be developed ranging from the most rudimentary skills of self-discipline to that of the master craftsman. Performance goals for inmates at each level should be clear, specific, and directly related to the task that needs to be done.

Secondly, inmates should be carefully matched to the skill level that they have presently attained. Those ready for work, those who need to develop basic work skills, and those unable to work need to be classified, and specific short-term programs developed to move offenders through each stage. This type of programming would give the inmates something specific and achievable in the short term to work toward, thereby giving the individual a sense of accomplishment.

To place inmates in such programs as education and vocational training when many are simply not ready for them means their

level of frustration is going to increase, inviting disaster for the program and for the citizens of the state in general.

Since few inmates have basic work skills and habits, any industrial program that is established would have to address all levels of training if it is to be successful. The key is to carefully match the inmate to a specifically designated skill level, and provide a specific short-term goal, the achievement of which is the inmate's ticket to the next level of development. Unless skill levels are matched appropriately to the background and prior achievement of the offender, it is unlikely the program will be successful, and like education and vocational training, could lead to increased recidivism as a result of increased levels of frustration among inmates created by involvement in a situation they are incapable of dealing with.

#### STAKEHOLDERS' POSITIONS ON POLICY ALTERNATIVES

Prior to the development of negotiating and implementation strategies, it is important to determine the position of the identified principal stakeholders relative to the five selected policy alternatives. The following chart contains the results of this analysis.

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### STAKEHOLDERS' POSITIONS

Stakeholder	Policy				
	1	2	3	4	5
CAO	s	s	s	m	m
Board of Supervisors	s	s	s	m	m
Sheriff	m	m	s	m	s
Deputy Association	i	i	i	m	s
Labor Organizations	s	s	s	m	m
Inmates	m	s	s	m	m
Countywide Residents	i	i	i	s	m
Juvenile Justice System	s	s	s	i	s
Business Community	i	s	i	s	o
County Office of Education	s	s	s	i	m

Policy 1	Develop Jail Industry Program
Policy 2	Interagency Cooperative Effort
Policy 3	Create Community Awareness
Policy 4	Develop Strategy
Policy 5	Obtain Additional Funding

s = support    m = modify    o = oppose    i = ignore

### NEGOTIATION AND IMPLEMENTATION STRATEGIES

With a clear understanding of the stakeholders and their

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positions on the five policy alternatives, it is now possible to develop the strategic plan by which the desired change can successfully occur to direct and manage the development of a jail industries program.

The most important characteristics of a good strategy are that it is:

- (1) Desirable.
- (2) Attainable.
- (3) Measurable.
- (4) Accountable.
- (5) Can be accomplished within a certain time frame.

The method of principal negotiation or negotiations on the merits has proven highly successful. Its four key points are:

- (1) Separate people from the problem.
- (2) Focus on interest not positions.
- (3) Generate a variety of possibilities before deciding what to do.

(4) Insist that the result be based on some objective standard.

A specific game plan should be developed for each critically important stakeholder.

#### STRATEGY SUMMARY AND PLANNING SYSTEM

Evaluating the five policies presented indicates that they are all desirable, feasible and have substantial stakeholder support. All of the policies are integral and can be implemented within two years. The policy alternatives accompanied by implementation and negotiation strategies form the body of the strategic plan.

The current correctional environment of the Sonoma County Sheriff's Department is one of constant change. This is typical of most California custody facilities. It is suggested that periodic planning and review is warranted. Periodic planning necessitates an evaluation of the strategic plan at regular time intervals.

Policy progress should be assessed semi-annually, and an in-depth review and update to be taken at the end of three years. This review should include a thorough analysis of strategy effectiveness with recommendation for change if necessary.

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OBJECTIVE NO. III

TRANSITION PLAN

### OBJECTIVE NO. III - TRANSITION PLAN

#### STATEMENT

The third objective in the study is to develop a transition management process to assist in the implementation of the strategic plan for developing jail industries. This process is designed to ensure both smooth transition into the desired future state and proper policy implementation.

#### METHODS IDENTIFICATION AND IMPLEMENTATION

In review of the recommended policy considerations discussed in the strategic plan, the following methods and techniques were used in the transition process:

- (1) A map of the change process was defined for the specific needs.
- (2) Critical mass identification and analysis was conducted to determine those individuals who are needed and required for policy implementation.
- (3) A readiness and capability analysis was done to assist the change efforts present state.
- (4) A commitment and planning process was used to determine levels of commitment necessary for critical mass members.

- (5) An assessment was made of the organization's key leaders' readiness capability chart.
- (6) The management structure was identified to insure implementation of the strategic plan.
- (7) Implementation technologies and methods were analyzed for use by the transition management team.

Transition management provides a detailed plan for moving from the present state to a desired future state.

#### MAPPING THE CHANGE PROCESS

The overall goal of transition management is to provide a plan for the implementation of the strategies recommended in objective No. 2. This plan provides a basic outline or map of the actual transition process. This map provides a structure to ensure that proper consideration is given to important details during transition. It ensures appropriate structure and accountability and will identify critical mass members, assess commitment responsibility and readiness, and specify organizational transitional needs.

#### CRITICAL MASS

Critical mass is the smallest number of individual/groups whose



support is necessary for successful change and whose opposition likely leads to change failure. The following members/groups make up the critical mass:

- (1) The Sheriff - Without the encouragement and support of the Sheriff it is nearly certain that the desired change would not be initiated. The Sheriff supports the need to develop jail industries and is committed to defraying the cost of inmate incarceration. The Sheriff's management team will be needed for the success of the transition management process.
- (2) The County Administrative Officer - The support of the County Administrative Officer is central for the successful implementation of this change strategy. The CAO has control over the county's budget, and has considerable influence with the Board of Supervisors. The CAO also has control over the staffing of the department, and his support for a fully staffed agency is critical.

Tight fiscal circumstances have limited the amount of new monies that can be committed to these issues.

- (3) The Board of Supervisors - In terms of governing philosophy, the members that compose the board run from moderately conservative to very liberal. The board is very concerned about the present state of corrections in the

county and the cost to maintain an inmate for any period of time. The Board of Supervisors will support any program that can offset the cost of incarceration.

- (4) Citizens (homeowners/business) - The taxpayers have been greatly impacted by the county's ability or inability to pay for the cost of incarceration. The community, as a whole, is very conservative, and is looking for other alternative sentencing measures as well as inmate work programs and education and trade skill training efforts that will slow down the high rate of recidivism that has been experienced locally.

Once identified, the critical mass members must be analyzed to determine those actions necessary to change or influence the positions held by those members. A readiness capability analysis was used in this regard. It rates readiness and capability for anticipated change and serves to recognize individual/groups best prepared to lead the change effort.

#### READINESS CAPABILITY CHART

Critical Mass Member	Readiness			Capability		
	High	Med.	Low	High	Med.	Low
Sheriff	X			X		
C.A.O.		X			X	
Bd. of Supervisors		X			X	
Citizens			X			X

## COMMITMENT PLANNING

Commitment planning is a strategy described in a series of action steps devised to secure the support of the critical mass members who are vital to the change effort. Knowing where the critical mass members stand on the strategic plan is an important part of commitment planning. The present level and desired level of commitment for each critical mass members is presented in the following chart. Transition managers who quickly focus their energy on those members of the critical mass whose level of commitment must change.

## COMMITMENT PLANNING

### Critical Mass Stakeholders - Strategic Plan Commitment Needs

	<u>Block It/Let Happen/Help Happen/Make Happen</u>			
Sheriff				XO
C.A.O.	X	- - -	- -	O
Board of Supervisors	X	- -	- - -	O
Citizens (homeowners/business)	XO			

## TRANSITIONING

### Management Responsibility support

The end goal of the strategic plan is to enable the development of a jail industries program that will defray the cost of inmate

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incarceration. Managing the change process requires:

- (1) Determining the major task for the transition period.
- (2) Establishing a management structure appropriate necessary to accomplish the task.

A successful transition requires consideration of a readiness assessment of the management structure, responsibility, delegation, the organization's readiness, and supporting technologies.

#### Readiness Assessment

The organization's key leaders' readiness for change is measured on three dimensions: Awareness of the environment and reaction to change, motivation and willingness to change and key leader's skills and resources. This readiness assessment assists in determining and developing the transition management structure and in selecting the appropriate implementation technologies and methods.

The leadership group has both the readiness and capability to bring about organizational change. They are aware of the advantages of change and are willing to act under the uncertainty that frequently accompanies change. The key leaders have a vision of the future and are willing to take an active part in the change process to achieve this future.

More than just awareness and motivation, they possess the needed skills and resources to promote, support, and evaluate change. Overall, the key leaders will help to implement and insure successful programs to manage and control the development of jail industries.

### CAPABILITY/READINESS FOR CHANGE - ANALYSIS

Each item was evaluated for the type of activity it encouraged.

- I. Custodial - reject change.
- II. Production - adapts to minor changes.
- III. Marketing - seeks familiar change.
- IV. Strategis - seeks related change.
- V. Flexible - seeks novel change

The noted ratings reflect the median value established by the rating group

#### Category

#### TOP MANAGERS:

Mentality

Skills/Talents

Knowledge/Education

#### ORGANIZATIONAL CLIMATE:

Culture/Norms

Rewards/Incentives

Power Structure

#### ORGANIZATIONAL COMPETENCE:

Structure

Resources

Middle Management

Line Personnel

	I	II	III	IV	V
Mentality				x	
Skills/Talents				x	
Knowledge/Education			x		
Culture/Norms			x		
Rewards/Incentives		x			
Power Structure			x		
Structure		x			
Resources			x		
Middle Management			x		
Line Personnel		x			

## ASSESSING ORGANIZATION'S KEY LEADERS' READINESS FOR MAJOR CHANGE

### SCORE

#### Awareness Dimensions

- |   |   |
|---|---|
| 1. Awareness of the nature of the organization's current environment  | 5 |
| 2. Understanding the nature of the inter-relationships among organizational dimensions (people, culture, structure, technology, etc.) | 4 |
| 3. Appreciation that the change situation has some unique and anxiety producing characteristics                                       | 3 |
| 4. Appreciation of the complexity of the nature of inter-relationships among organizational dimensions                                | 4 |

#### Motivational Dimensions

- |   |   |
|---|---|
| 5. Willingness to specify a detailed "vision" of the future of the organization   | 4 |
| 6. Willingness to act under uncertainty   | 4 |
| 7. Willingness to develop contingency plans                                       | 5 |
| 8. Willingness to activate contingency plans                                      | 4 |
| 9. Willingness to make achievement of the "vision" a top priority                 | 4 |
| 10. Willingness to assess own theory of organizational behavior                   | 3 |
| 11. Willingness to increase organizational dissatisfaction with current situation | 2 |
| 12. Willingness to use non-authority bases of power and influence                 | 3 |

13. Willingness to share responsibility for managing change  
with other key leaders in organization 4

Skill and Resource Dimensions

14. Possesses the conceptual skills to specify a detailed  
"vision" of the future for the organization 4
15. Possesses assessment skills to know when to activate  
contingency plans 4
16. Possesses interpersonal skills to effectively employ  
non-authority based power and influence 4
17. Possesses personal relationships with other key leaders  
in the organization 5
18. Possesses ready access to resources 5
- 1 = very little degree      2 = little degree      3 = some degree  
4 = great degree      5 = very great degree

TRANSITION MANAGEMENT STRUCTURE

The transition state is a period wherein change, stability, and ongoing operations must be managed. Successful transition management is able to mobilize the resources necessary to keep the change moving and utilizes effective inter-personal skills in the planning, communicating and negotiating of the change process. Transition management sets direction and continually rethinks and learns through experimentation, and allows for rational decision making.

Using these criteria, the most appropriate management structure

consists of a designated program manager, coupled with a community-based task force. It is their responsibility to act in the name of the sheriff in getting the job done within the department and to coordinate activities with those outside agencies and organizations as needed. The responsibility for the overall effectiveness and accountability would be delegated to an administrative assistant who has the responsibility for implementation of the strategic plan. This person is charged with getting the job done and facilitating the effective achievement of the future state. The individual also acts as the center of information, support, and resources for the organization as it undergoes change and answers to the immediate needs of the task force.

The community task force is organized to assist in accomplishing a successful move to the future state with a two-year implementation period. This transition management team must communicate its existence to all critical and relevant parties.

#### IMPLEMENTATION TECHNOLOGIES AND METHODS

The transition management team must build a climate for success, keep everyone well informed, avoid surprises, and allow for maximum participation as the changes take place. The most critical challenge the transition management team will have is to understand the impact on change on people.

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## NO. 1 - RESPONSIBILITY CHARTING

Responsibility charting is useful to set forth the action steps which are necessary to get the future state and then to fix levels of responsibility. This clarifies behavior and roles required to implement important change.

### RESPONSIBILITY CHART

Decision/Task	Actors					
	1	2	3	4	5	6
Develop overall plan	a	r	s	s	i	i
Design org. structure	a	a	r	s	-	-
Create pilot program	a	a	r	-	s	i
Train officers	a	i	r	-	s	-
Monitor program	a	i	r	s	i	i

r = responsibility for task    a = approval required    s = support given    i = inform/consult

1 = commander    2 = project manager    3 = task force    4 = planning division    5 = corrections officers    6 = business community

## NO. 2 - TEAM BUILDING

Team building is a method that complements the task force concept. Team building uses a variety of methods, the most important of which are communication to ensure that all parties are working toward the common goal and sharing the vision of the

future state. It is also a useful method for gathering feedback once the implementation process is underway.

### NO. 3 - ESTABLISHING MID-POINT GOALS AND SCENARIOS

The program manager and commission members have two years to implement their strategic plan. The task force must guarantee itself that it will complete its job on time and establish mid-point goals to insure their responsibilities will be carried out.

### NO. 4 - VISION

It will be necessary for the commission members and program facilitator to set forth the vision of the future with a strategic plan firmly in place. The very essence of leadership is that one has to have a vision based on community values and desires.

### NO. 5 - FORCED FIELD ANALYSIS

This evaluation that will be done by the committee members involves the identification of positive forces that will help the shift to occur, and the identification of those forces that will hinder or obstruct the movement from the present to the desired state.

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#### NO. 6 - ORGANIZATIONAL DEVELOPMENT

This is a process for bringing about organizational change and assists in finding answers to complex problems and pressures.

#### NO. 7 - EDUCATION AND TRAINING INTERVENTIONS

The development of an education/training program will be a high priority for the committee members. It will allow for the development of new skills, abilities, values, and a change in attitudes which will be required for effective performance.

#### NO. 8 - COMMUNICATION FEEDBACK EVALUATION

Systems that provide feedback relating to the effectiveness of these policies and procedures must be set up. This will form the foundation of a sound evaluation component. The program evaluation and measurement of performance in relation to goals and objectives is important during the transition process.

#### THE SUMMARY OF TRANSITION PLANNING

The transition plan is intended to assist with the effective implementation of the policies developed in objective No. 2. If done correctly, transition management can mitigate any turmoil and disruption that could occur during those periods of change. A new set of skills is required to manage effectively as we look to the future. Among the skills needed is an understanding of how change is designed, constructed, and managed.

## CONCLUSION

For years corrections has been handicapped with the crippling menace of overcrowding. It has been felt that not only could the profession do little about overcrowding, but the causes related to high incarceration rates were beyond our control. Certainly from a micro view, it would appear that correction's hands are tied and few options are apparent. Yet, if viewed from a macro prospective, the corrections system may have some options and responsibilities to the community at large that have been overlooked.

Corrections has an enormous responsibility for housing more inmates everyday, and how we choose to perform that task has a direct correlation to the success of an inmate's return to the community.

Perhaps crowding and its problems should be looked at from both a micro and macro view. Corrections is moving into the 1990's and it is not clear what direction it will take. Will it continue to allow inmates to return to the community with no job, no education, and no future or will the cycle change and are is corrections missing the big picture.

It's no wonder that corrections is the fastest growing industry in the nation in terms of job opportunities. That growth is a symptom of epidemic overcrowding in prison and county jail

systems all over the country. Jail overcrowding has been described as the most pressing problem facing criminal justice systems throughout all of government. Expanding jail budgets are consuming larger and larger portions of local government expenditures and with revenue bases declining, this trend cannot continue.

This report set out to test the ground upon which changes in jail industry programming might be initiated. Where changes are promoted within an established system, the risk is always present that disorder will result. But the risk can be minimized by first identifying some point against which the movement of change can be referred. In order to fix a reference point, however, decisions must be made and choices exercised.

The report's overriding purpose has been to provide information that can assist policy makers to make decisions respecting work program development, and it is within the parameters of this declared purpose that the question of change arises. Because the changes needed to render jail industry programs self-sustaining are essentially changes in correctional policy, the nature of policy itself deserves attention.

From one point of view, policy sets out the way in which judgments can be made between alternative choices and serves as a guideline for setting disputes. In a more primary sense, policy is an expression of meaning. A policy statement in the criminal justice system constitutes a declaration of social value, and it

is upon the basis of the declared value that subsequent decisions are shaped.

When policies are developed without attention to the social purpose they are intended to support, they often become transformed and work against the interests they were meant to serve.

What then is the social purpose that self-sustaining jail industry programs can be expected to support within the area of correctional policy? When work is viewed historically, the case has been made that participation in industry programs can contribute to the well being of inmates by offering them access to a wide variety of benefits. Properly designed, self-sustaining jail industries also can complement the principals of humane treatment and the rebuilding of self-esteem.

Moreover, the interests of society are satisfied through the capacity of a self-sustaining work program to help recapture the social costs of incarceration while not interfering with the public's need for protection or the criminal justice system's need to see that justice is done.

Seen in this light, the social purpose of the jail industry programs can address is threefold in nature. The inmate population, correctional officials, and the community at large all derive benefits from the greater utilization of such programs within the jails. Not only can self-sustaining jail industry

programs speak to the practical issues of budgetary constraint, they also can assist administrators to secure the orderly good management of the institutions they maintain.

The statements that have been outlined in this study are only the beginning of the development of a master plan designed to expand and improve the productivity of correctional industries. The overall master plan must include a comprehensive review of statutory framework governing correctional industries including those laws governing organization, compensation, use of labor, financing, regulation, and post release policies. From this review, a legislative agenda could be formulated.

We must also begin the development of individual and organizational incentives and training programs to support the profit motive. Business planning at the shop and industry level are comparable to that used in the private sector must be followed. Records system development including a complete system of management control for monitoring performance and providing the data necessary to perform financial, market, and product analysis must be employed.

The job that needs to be done is an enormous one with many obstacles to overcome and challenges to be met. But if those in charge of correctional facilities are to provide for the general safety and well-being of citizens, then these are the problems that need to be addressed. What is needed now is the will to do so.

## FUTURE IMPLICATIONS

The development of jail industries as an organized effort to utilize committed persons to produce products has been consistent with the prevailing work ethic. Attempting to put work programs on a functional basis with free enterprise has been a goal of most correctional administrators since the emergence of the correctional industries concept.

Very visible are the current trends and emphasis in the area of product marketing. The growth of governmental agencies in terms of scope and functional responsibility has created an increased need for industry products.

The development of jail industries has been established with several purposes in mind; ultimately these all relate to efforts to reduce the costs of incarceration, either through direct recovery of costs or through reduction in inmate population through reduced recidivism. The principal objective of the program is to provide the maximum possible contribution to these goals.



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APPENDIX 1

NOMINAL GROUP PANEL .

(MARCH 9th, 1990)

- (1) Member, Board of Supervisors
- (2) Analyst, County Administrator's Office
- (3) ROP Principal, Sonoma County Office of Education
- (4) Commission Member, Jail Industry Task Force
- (5) Representative, California State Prison Industry Authority
- (6) District Manager, Operation Engineers Union, Local #3
- (7) Program Specialist, Sonoma County Sheriff's Detention
- (8) Representative, Sonoma County Builders' Exchange
- (9) Representative, California Human Development Corporation
- (10) Inmate, Sonoma County Jail

## APPENDIX 2

### TRENDS

- (1) Homeless population
- (2) Crime rate
- (3) people on welfare
- (4) Demographic changes
- (5) Substance abuse
- (6) All levels of government budget short falls
- (7) State and federal prison/jail construction funding
- (8) Local manufacturing jobs lost to overseas work forces
- (9) Adult treatment programs
- (10) High school drop out rate
- (11) Parenting due to little or no home supervision of children
- (12) Inmates rights vs. mandatory work assignments
- (13) Public sector resources
- (15) Public's confidence to manage and control rising inmate population
- (16) Cooperation between all criminal justice agencies
- (17) Education/job skills training requirement prior to custody release

- (18) Government spending for social programs
- (19) Rehabilitation ethic in corrections
- (20) Private industry operations within corrections
- (21) Special interest groups on corrections operations (i.e., ACLU)
- (22) Legislation and mandatory sentencing enhancements
- (23) Community support groups
- (24) Technological advancements in crime detection and apprehension
- (25) Self-esteem for youthful offenders due to poverty, gang affiliations, etc.

## APPENDIX 3

### EVENTS

- (1) Private industry in corrections operations
- (2) Aging population
- (3) Limit on jail construction funds
- (4) U.S. military spending reduction
- (5) Mandatory work for inmates
- (6) Labor unions participate in jail industry programs
- (7) Legalization of drugs
- (8) Illegal immigration stopped
- (9) Federal and state guaranteed income
- (10) Taxpayer revolt
- (11) Special interest groups - jail industry programs
- (12) Victim versus inmate compensation
- (13) Development of new product lines and marketing techniques
- (14) Education advancements
- (15) Homeless and poverty eradicated
- (16) Mandatory education in parenting and basic job skills
- (17) Legislation passed to allow government to compete with public sector

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