



# STANDARDS for Correctional Industries

AMERICAN CORRECTIONAL ASSOCIATION

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# STANDARDS for Correctional Industries

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## AMERICAN CORRECTIONAL ASSOCIATION

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## **PREFACE**

The development of correctional 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 in 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, fiscal restraints, the high cost of equipment and the like.

Despite the restraints indicated, correctional industries as an organized effort is experiencing rapid change. Once viewed as simple production facilities for the convenience of the correctional system and 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 goals of correctional industries.

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. Successful industry programs are those that reflect sufficient planning and development to respond to the increased product need.

The modern correctional industry operation is characterized by "outside" and "inside" activities. The operating production function is located "inside" a facility. The "outside" function includes vigorous marketing and sales efforts consistent with inside production capability. Coordination of the two functions is the role of a central management structure. A strong marketing and sales program is needed for the transition of the correctional industry program from a reactive production shop to a full fledged business enterprise capable of responding to changing market needs. The 74 standards address the "inside" and "outside" needs of contemporary correctional industries. Particular reference is made to the issue of overall management of a correctional industries program.

This publication is viewed as a reference service for agencies operating and/or planning to operate correctional industries programs. It is understood that some of the standards will be benchmarks for the future, requiring operational and budgetary changes over a two or three year period. The Committee on Standards which produced this volume anticipates that such changes will be made in the best interests of the field and the persons committed to correctional facilities whose life chances are often based on their ability to get and keep a job after release to the community.

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Acknowledgement is extended to a number of consultants and participating agencies that assisted in the writing, field testing and completion of this publication. In this regard, particular commendation is extended to Robert H. Lawson, principal consultant, who was ably assisted by Jack Schaller and Ernest Reimer in the drafting and field testing of the standards. It is not possible to list all of the individuals who participated in the field testing of the standards. Gratitude is expressed to A.F. Cook, Superintendent, and Wray Thompson, Industries Manager, Apalachee Correctional Institution, Florida, and Bill Kelley, Director of Industries for the Florida Department of Corrections; David Craig, Director of Industries, Connecticut Department of Correction, and Wardens Carl Robinson, Somers, and Richard M. Steinert, Enfield, Connecticut; Robert Elsea, Warden, and Charles Wilkie, Superintendent of Industries, Federal Correctional Institution, Lexington, Kentucky; J.R. Johnson, Warden and Harry C. Johnson, Superintendent of Industries, Federal Correctional Institution, Milan, Michigan; Richard W. DeRobertis, Acting Warden, Stateville Correctional Center, Illinois, and Howard L. Skolnik, Director of Industries, Illinois Department of Corrections.

In order to facilitate the work of the ACA Committee on Standards a Resource Subcommittee was appointed which was chaired by Gerald Farkas and included representatives of the Correctional Industries Association, the North American Association of Wardens and Superintendents, the Association of State Correctional Administrators, the Correctional Education Association and the ACA Committee on Long Term Institutionalization.

Tom J. Crim, President of the Correctional Industries Association, commented on the standards for the Association. Other reviewers included Robert Thomas, Director of Industries, Massachusetts Department of Corrections and President of the Northeast Regional Correctional Industries Association, and G.M. Richards, Manager, Planning and Program Development, Industries Division, Inmate Employment Branch, Correctional Service of Canada. Mr. Richards also accompanied staff and consultants on two field tests of the standards, which was greatly appreciated.

Dale K. Sechrest and the staff of the ACA Correctional Standards Program received considerable assistance in the completion of this publication from the ACA Committee on Standards and the groups and individuals acknowledged. The continuing support of Nick Pappas of the Law Enforcement Assistance Administration and the funding of the LEAA made possible the project which led to the publication of standards for correctional industries.

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Connecticut Correctional Institution, Somers  
Connecticut Correctional Institution, Enfield  
Federal Correctional Institution, Lexington, Kentucky  
Federal Correctional Institution, Milan, Michigan  
Stateville Correctional Center, Joliet, Illinois

### Introduction

The biggest single issue affecting correctional industries today is the degree of confusion regarding primary purpose or mission.

Legislation or program statements frequently list several basic objectives for the industrial program. For the correctional industries administrator, these objectives are, unfortunately, often conflicting. Reducing idleness in prisons, providing training in job skills related to employment after release, providing meaningful work opportunities for inmates and providing inmates with the opportunity to earn money are among those objectives most generally cited.

There is also a frequent reference to the program's being self-supporting. While it is an important goal and could be part of a prison statement, it is not the basic purpose of an industries program.

Much of the ambiguity surrounding industries, their performance and the continuing controversy stems from the lack of clarity as to the basic purpose. Some of this confusion is attributable to the history of correctional industries and their more recently perceived position as a treatment program. Also influential are the various perspectives of different observers of the industries program. Whatever the cause, the confusion has frustrated correctional industries administrators who need a clear set of guidelines in day-to-day operations as well as assistance in long term planning.

A brief look at the history of correctional industries will provide the backdrop for examination of the appropriate mission of the activity.

Since the establishment of the first prisons in the United States, the need to provide work for inmates has been recognized and met in various ways and with varying degrees of success.

At both Eastern State in Pennsylvania and Auburn in New York, work was the primary emphasis. The Auburn system emphasized group work and Eastern State Penitentiary employed the individual working in solitude. The Auburn system particularly has provided the model which was copied by other states in an effort to achieve economically self-sufficient prisons and thus reduce the costs of maintaining convicted offenders in tax-supported facilities.

As part of the move toward economic self-sufficiency, many prisons permitted and even encouraged the contracting out of prison labor to private employers. The original incentive that work and the accompanying self-discipline as a health antidote for criminal behavior was replaced by economic considerations as prison-based industrial operations increased in size and profitability.

Yet, almost immediately there developed countervailing opposition from private industry and free labor. This continues to be a factor affecting the efforts of legislators and prison administrators to provide inmates with work opportunities.

Periodic scandals and ensuing public cries of exploitation of helpless

prisoners by private contractors quickly subsided, and the industrial prison prevailed in this country until the twentieth century. As early as 1901, however, President Theodore Roosevelt issued Executive Order 305A prohibiting the federal government's purchase of prison-made goods except those coming from federal prisons. (This order, slightly amended by President Nixon to exempt work releasees, parolees and probationers, remains in effect today.) Congressional efforts to further curb activities of industries culminated in 1929 when federal legislation passed prohibiting the interstate commerce of prison-made goods. Additional legislation in the 1930's, spurred by the depression, provided further restrictions on the sale and movement of prison-made goods virtually wiping out large scale industrial activities in prisons.

An obvious result of these developments was a rapid increase in idleness in prisons throughout the country. Except for a brief respite during World War II, when restrictions on prison-made products temporarily were dropped and prisons became part of the war effort, idleness became a way of life for many inmates throughout the United States.

The postwar era ushered in an emphasis on rehabilitation with its various treatment concepts. Programs were designed to enable the inmates to deal with those problems which contributed to their commitment to prison. Gradually, work was viewed as one additional weapon at the clinician's disposal. This trend had marked effects on most industries programs, results which linger on today.

Work became a means of providing training rather than having intrinsic benefit. Success in industries was measured not by the balance sheet but by the development of work skills related to future prisoner-worker employment after release. Production goals were regarded as archaic and exploitative of inmates. Correctional or "prison" industries, as they were called for years, were considered just another treatment program. Business goals and methods were subordinated to those of treatment.

In recent years, however, there has been a resurgence of interest in the work ethic and, with it, a rediscovery of the potential of an efficient industries program. This is, in part, due to the reaction against many of the treatment activities, the challenge to the medical model concept of the prison, increasing costs of prisons and the various tax-reduction efforts on all government levels. The value of a self-supporting industries program which can provide work for a significant portion of an institutional population without use of tax funds is apparent to legislators and correctional administrators alike.

But the wheel has not turned entirely full circle. Although there is renewed interest in correctional industries, it now exists within the framework of prisoner rights undreamed of a hundred years ago. The new industries operations must not only be cost-effective but must also provide a safe and humane work environment for inmate employees. This requires that they be provided an opportunity to work productively in an atmosphere where they are treated with dignity and respect and are encouraged to develop a

sense of accomplishment and self-worth. These concerns and considerations cycle back to the importance of a clear understanding of the basic mission of correctional industries.

A clear mission statement for correctional industries should serve not only to identify the reason for the existence of the organization but also to distinguish it from other organizations with somewhat similar purposes. Persons in every organization need to know *why* industries exist and have a clear statement of what kind of business it is.

The railroads are a notable illustration of the results of clarification of purpose. For many years the railroad business was strictly that. As competing forms of transportation began to flourish, it became necessary for railroads to re-examine their basic mission if they were to survive. The successful companies were those which addressed themselves to the transportation business rather than the railroad business. This new perception spurred innovative ideas and solutions to existing problems. A more recent illustration is the major petroleum companies that have recast themselves as energy companies; a step which has had significant impact on their operations and long term plans.

It is essential then that correctional industries should examine carefully their basic purpose, determine what the business really is and capitalize on this new-found interest in the work ethic and the intrinsic value of work itself.

A mission statement for industries, therefore, must not refer solely to reducing idleness in prisons or providing meaningful work for prisoners. Institution support activities such as maintenance and food service fulfill that need. A mission statement providing training in work skills does not differentiate industries from vocational education any more than providing inmates an opportunity to earn money while incarcerated distinguishes industries in most correctional systems.

It seems obvious that the unique characteristic distinguishing industries from all other activities in correctional institutions is the ability to provide a work setting within institutional walls which replicates private industry. Industries should provide inmates a realistic work experience in a business-like environment which stresses the same types of performance standards and rewards used for workers in the outside world. These industries should be self-supporting, generating sufficient revenues from the sale of products and services to meet the costs of operation, i.e., staff and inmate wages, raw materials, business costs. This provides the most significant opportunity that the institution can offer for inmates to experience real world expectations, satisfactions and failures.

Adoption of this view of industries makes it relatively easy to develop a unified, coherent set of strategies as address operational problems and long and short range plans consistent with this mission.

One important aid to an industries program is the involvement of an advisory or supervisory board or commission. Such a body representing various elements of the community, advisory or policy-setting, provides a

forum to discuss and examine critically the plans of the industries staff. Through such involvement business and labor leaders and others can provide guidance to the program as well as interpret the program to the community and the legislature.

The relationship of the central industries administrator and the warden/superintendent is a significant organizational issue in the area of administration. Each has an important role in the success or failure of the institutional industries program. The warden/superintendent is the administrative head of the institution and all activities, including industries. The industries central office administrator has agency-wide responsibilities for the whole industries program. These two must maintain continuing communication and cooperation on plans and problems.

Sound fiscal management is the key to an effective industries operation. A cost accounting system will provide accurate, timely fiscal reports to advise all concerned of operational status and allow monitoring of essential items, i.e., cash flow, revenues and expenditures, profit and loss data.

Health and safety issues are important in any work setting and particularly important in industries. Many inmates have limited work experience and, therefore, less understanding and appreciation of the need for good safety practices.

The manner in which industries programs treat inmate employees is a critical test of effectiveness. The industries program is an opportunity to hold inmates accountable for performance against the objective standards of real world activity. As is consistent with security requirements, participation in such a program should be made available to the broadest segment of the prison populace.

As with other aspects of the program, industries' operating practices should be those successfully used by private industry to achieve efficiency and productivity. The supervisor must develop most systems rather than the industrial engineer who would be employed in private industry, but the systems need be neither sophisticated nor complex. Without these systems, industrial operations which may include agricultural and service activities as well as manufacturing, simply cannot be projected as efficient and cost-effective.

An important area of management which rarely gets the attention it deserves in the industries program is that of marketing. Marketing is more than catalogue distribution or order-taking. It is, most importantly, concern for the customer and the customer's needs. In a state-use market, the customer too often is taken for granted or even tolerated as a necessary evil. As with private industry, correctional industries administrators must recognize that their financial success rests as much on customer acceptance and good will as on technology or productivity.

Finally, despite continued emphasis on private industry practices, the industries administrator must not forget that while industries can emulate private industry, there are certain, unavoidable consequences of existing within a correctional institution. The real test of the industries ad-

ministrator is to maintain that perspective and yet push to the limits the potential for industries to provide a real world experience for inmate workers.

## Definitions

### *Agency Industries Administrator*

The person who has responsibility for industries operations throughout the correctional system. Titles such as head of industries, superintendent, chief, director or general manager may be used to denote this position.

### *Industry*

An activity existing in a correctional system which uses inmate labor to produce goods and/or services for sale. These goods and/or services are sold at prices calculated to recover all or a substantial portion of costs associated with their production and may include a margin of profit. Sale of the products and/or services is not limited to the institution within which the operation is located.

### *Institution Industries Manager*

The person designated to have responsibility for industries operations at a specific institution in the correctional system.

### *Operating Unit*

One distinct operation of the industries activity, which may be operated as a cost center or separate accounting entity. It may take the form of a manufacturing operation (furniture making, clothing production), an agricultural operation (dairy or poultry farming, crop or orchard farming, raising beef or pork) or a service activity (warehousing, keypunch, microfilming, laundering, repairing schoolbuses, etc.).

## 1. ADMINISTRATION

**NOTE:** These standards apply principally to central office/parent agency operations.

### 1.1.1 There is a statute authorizing the establishment of an industries program.

**DISCUSSION:** Effective administration of a program results largely from the existence of a body of carefully formulated constitutional or legislative statutes that clearly define the mission and basic goals of the program. Such statutes provide the legal framework within which the program's administrative structure, philosophy and policies are developed as well as the basis for assessing performance and identifying needed changes in organization and operation.

### 1.1.2 The purpose and objectives of the industries program are stated in writing, communicated to all institution personnel, reviewed annually and updated if necessary.

**DISCUSSION:** If there are multiple objectives for the industries program, there should be a definite ordering of priorities. There should be a specific means for providing information on industries purposes and objectives to all employees. Industries staff should receive special instruction in those objectives that pertain to their sphere of operation. Line industries employees particularly need the guidance such a statement provides.

### 1.1.3 There is, or the institution/parent agency can document current efforts to obtain, statutory authorization to obtain and spend needed capital other than through the normal appropriations process.

**DISCUSSION:** Because of the need to adapt quickly to marketing and production changes, industries need more fiscal flexibility than is afforded in the traditional governmental process. They also require a method of generating capital for equipment replacement and expansion. There should be a special industries fund in which revenues are deposited which does not require annual reappropriation and permits expenditure regardless of fiscal year. (See related standard 1.2.10)

**1.1.4** There is, or the agency can document efforts to obtain, statutory authorization to provide industries with sufficient markets to operate economic and efficient shops and/or service enterprises.

**DISCUSSION:** A fundamental requirement of a sound industries program is accessing sufficient markets. Industries then are able to develop a volume of work for economically feasible operations. Most desirable of situations, but not yet politically acceptable in many places, is sale of industrial products on the open market. A strong state-use law is necessary to give industries preferential, if not mandatory, status in state agencies' purchase programs. Additional access to non-profit sales listings also is desirable.

**1.1.5** There is administrative policy governing the creation of new industries operations.

**DISCUSSION:** The creation of new industries enterprises should be a formal process providing sufficient written information to the head of the correctional agency as is necessary to make an informed decision on whether to proceed. Information should include, at a minimum, data on anticipated markets, number of staff and inmates to be employed, space required, equipment costs and a projection of operating costs against anticipated revenues. Some analysis of the potential impact on the private sector also is desirable.

**1.1.6** There is a mechanism for compensating inmate employees for injuries sustained while working in industries.

**DISCUSSION:** Workers' compensation in private industry provides benefits to injured workers as assures proper medical care and compensation for the injury. Because the institution medical staff provides necessary treatment for any work-related injury, this benefits program is not necessary. In the case of serious, long term injury, however, some mechanism should allow the inmate involved to receive compensation. This could be available through a normal workers' compensation program or special process not requiring legal action. Any process established should include a record of injury and initial claim, provision for medical examination and a prerelease claim for compensation after a required physical examination.

**1.1.7** Written policy and procedure delineate the areas of authority, responsibility and accountability for the industries program, specifically defining the role of the warden/superintendent and the agency industries administrator in relation to institutional industries operations.

**DISCUSSION:** The warden/superintendent is responsible for all institution programs and activities including industries. This responsibility should focus on the safety and well-being of staff and inmates. The agency industries administrator is responsible for financial and operational matters of the agency's industries program. Shared responsibility for and authority over the institutional industries operations requires close cooperation of these two managers. There must be a clear statement of the roles and responsibility of each to provide a framework for this cooperation.

**1.1.8** The industries unit has a current organizational chart which delineates the structure of authority, responsibility and accountability within the institution and the agency. This chart should depict line relationships and those functionally unique to the program.

**DISCUSSION:** An organizational chart presents an overview of the unit to other public and private organizations. The chart should be updated as needed and should reflect functional groupings and effective span or control, lines of authority, distinctions between staff and line roles and orderly channels of communication. There may also be important functional relationships involving the central office management of industries, the institutional component and the warden/superintendent.

**1.1.9** The institution industries manager participates in staff meetings with the warden/superintendent and other program staff.

**DISCUSSION:** To preclude isolation of the industries program, there should be a strong effort to incorporate industries into the total institutional program. The warden/superintendent as administrative head of the institution should take a leadership role in creating an institutional climate which results in a high level of interaction between industries and the rest of the institution. Participation of the industries manager in the institution executive staff meeting and regularly scheduled sessions with the warden/superintendent are two means of achieving this result.

**1.1.10 Personnel job descriptions reflect the duties, responsibilities and requirements of the various personnel classifications in the industries organization.**

**DISCUSSION:** For purposes of recruitment, selection, pay, classification and performance evaluation of agency employees, it is necessary that the duties, responsibilities and requirements be delineated clearly. These factors form the legal and administrative basis for personnel actions.

**1.1.11 Staff training provided to full time industries employees includes both technical industrial practices and correctional policies and procedures; this training includes 80 hours in the first year of employment and an additional 40 hours of training annually.**

**DISCUSSION:** Many industries employees will be selected for their technical skills and have little or no correctional background. For this reason, it is important that new full time employees receive 40 hours of orientation/training prior to being assigned independently to their job in industries, and an additional 40 hours of training during their first year of employment. This training will enable them to work effectively in an institutional setting. Those employees who have primarily a correctional background will need training in industrial practices to increase their technical competence. Exposure of supervisors to comparable operations in private industry and other correctional institutions, trade shows, exhibits and other displays of current trade practices constitutes training where they may achieve specific learning objectives.

**1.1.12 Written policy and procedure provide that the industries' administrative and managerial staffs receive at least 40 hours additional training each year. This training covers, at a minimum, administrative and management theory and practice with emphasis on industrial applications, labor law, employee-management relations, the interaction of elements of the criminal justice system and fiscal management.**

**DISCUSSION:** Administrative and managerial staff should be trained to respond effectively to problems and to deal effectively with the parent agency, the employees and the community. Training should emphasize industrial principles and techniques as well as principles of financial management in an industrial setting.

**1.1.13 Written policy and procedure provide that decision about the employment of inmates in industries and their separation based on work performance are made by industries staff. Security determinations necessary for any individual to be eligible for industries work are made by the classification committee.**

**DISCUSSION:** Appropriate industries staff should evaluate and choose from the pool of potential employees made available by the classification committee. Responsibility for separation of inmates based on work performance rests with the supervisor and is subject to review by the industries manager at the institution and to applicable due process of standards and procedures. Separation for reasons not related to job performance should be done by appropriate classification through the appropriate institutional committee. Inmates separated are referred to the classification committee for reassignment.

**1.1.14 There is statutory or written administrative provision for the establishment of a part time board or commission to provide advice and/or policy guidance to the administrator of the industries program.**

**DISCUSSION:** The industries program is both politically sensitive and unique to government by virtue of its business oriented operations. It is important, therefore, to have a board or commission provide advice and guidance regarding the prison industries activities and also provide an open forum for the consideration of issues affecting the program. It is preferable that this body have statutory rather than administrative authorization to provide a firmer legal foundation for their activities. The authorization should define clearly the role and the responsibilities of the board/commission.

**1.1.15 Authorization for the industries board or commission provides for membership of primarily noncorrectional persons, but includes the correctional agency administrator, and describes member functions and responsibilities, term of office, method of selection and appointment, and provisions for expenses and pay, if any.**

**DISCUSSION:** The board or commission should include the membership of the agency administrator to assure proper support

and integration of industries with other correctional activities. Representatives of private industry, organized labor, and the general public should be included as well as an agricultural representative should the industries programs have an agricultural department head also provides a valuable liaison with the governmental structure. Other aspects of creating and maintaining this board should be determined and documented prior to the authorizing statute or administrative directive.

**1.1.16 Authorization for an industries board or commission includes a schedule of meetings, not less than twice a year. Meeting minutes are recorded and maintained.**

**DISCUSSION:** The industries board or commission should not be dependent upon the call of the chairperson for meetings. Rather it should have a statutory requirement of regular meetings to ensure that it does not become inactive. Records of each meeting should be kept and a file of board meeting minutes maintained to help ensure effective operation of the board.

**1.1.17 Industries have a written policy and procedure which details a mechanism for maintaining relations with industry, labor and other relevant community organizations.**

**DISCUSSION:** Private industry, organized labor and other relevant community organizations are important sources of technical assistance to the industries program. Both labor and industry are essential elements in postrelease planning for inmates. It is important these groups are kept informed of the status of the industries program thus improving its operations and assisting to provide employment to inmates upon their release.

## 2. FISCAL MANAGEMENT

**NOTE:** These standards apply principally to central office/parent agency operations.

**1.2.1 A cost accounting system in operation for each operating unit is designed and maintained in accordance with generally accepted accounting principles.**

**DISCUSSION:** Governmental agencies use an accounting system which is appropriate for their fiscal management needs. Industries, however, should have a cost accounting system based on a chart of accounts and general ledger which, in turn, generates data for a number of other fiscal reports. The system should provide a basis for recording and allocating direct and indirect costs and administrative overhead for each operating unit.

**1.2.2 Annual sales and expense projections are developed for the industries program to include individual operating units.**

**DISCUSSION:** Industries should have a budget separate from the correctional agency or institution within which it is located. This budget should be a realistic financial plan for the coming fiscal year. It should be prepared by management with the assistance of the accounting staff rather than exist solely as an accounting document. The budget should be based on production or the costs of production in relation to sales forecast prepared by the staff responsible for the marketing of products. Operating staff at the institution level should participate in the budget preparation.

**1.2.3 Written policy and procedure provide for a financial audit, independent of the institution, which is conducted annually, or at a time period stipulated by applicable statute or regulation, not to exceed three years.**

**DISCUSSION:** Industries books should be audited regularly either by the office responsible for fiscal audits of other governmental agencies or by commercial accounting firms specializing in financial audits. Audit reports should be prepared and industries staff should analyze and respond to audit findings in writing.

**1.2.4** Written policy and procedure provide that industries produce monthly financial reports. These reports include at a minimum, income statements for each operating unit and a balance sheet for all agency industries programs.

**DISCUSSION:** Industries staff need accurate financial records to manage the program. The general ledger should apply the necessary data for a system of reports which are meaningful to management.

**1.2.5** The monthly financial reports on industries operations are available within at least 30 days of the close of the month they cover and are distributed to those persons with responsibilities for the program.

**DISCUSSION:** Financial reports must be timely as well as accurate if they are to be useful to management. Financial reports should be made available not only to accounting and management personnel but also to shop supervisors and members of the board or commission. It is important that shop personnel be informed regularly of the financial status both of the total organization and of their respective shops.

**1.2.6** Written policy and procedure provide for effective monitoring and collection of accounts receivable.

**DISCUSSION:** In a business operation, managing the accounts receivable is an important fiscal and marketing process. There should be a written procedure for maintaining an accounts receivable file, defining responsibility for follow-up and handling overdue accounts.

**1.2.7** Written policy and procedure govern the pricing of products made for sale.

**DISCUSSION:** The pricing of industries products is a sensitive issue which obviously affects customer agencies as well as the industries organization. The written statement on pricing policies and procedures should specify who is responsible, what fiscal data are used, how prevailing market data are obtained and used and what staff members routinely are consulted on pricing decisions.

**1.2.8** Written policy and procedure prescribe at least an annual review of the status of industries operating units which do not generate sufficient revenues to offset the cost of expenditures associated with that operating unit.

**DISCUSSION:** Generally, industries programs are expected to be self-supporting. However, there may be valid reasons for maintaining the operation of an operating unit which is not self-supporting. There are also steps which can be taken to increase revenues or decrease expenditures. It is important, therefore, that there be an annual review of each operating unit not self-supporting to determine how the financial situation can be improved and/or whether the value of the unit is sufficient to justify continuation. This may be a part of the annual budget process but should be a formal, documented procedure.

**1.2.9** Written policy and procedure provide for perpetual inventory management, including provision for annual physical inventories of raw materials, work in process and finished goods. Minimum and maximum inventory levels are established for commonly used items.

**DISCUSSION:** None.

**1.2.10** There is, or the agency can document efforts to obtain authority for industries to procure the raw materials required for production.

**DISCUSSION:** The ability to procure required raw materials as quickly as possible is essential to good customer relations, effective production scheduling and marketing. Procurement activity should be competitive as assures lowest prices consistent with delivery and product specification requirements. Stocking of raw materials above customer order requirements should be approved by the authority in charge of the industrial operating unit. Sole source purchasing should be limited and subject to specific justification. (See related standard 1.1.3).

### **3. SAFETY, SECURITY AND WORKING CONDITIONS**

**1.3.1 Policy and procedure provide that all industries programs meet applicable minimum federal, state and local work, health and safety standards; there is documentation of at least annual health and safety inspections by federal, state and/or local officials.**

**DISCUSSION:** Inmate work programs should meet all applicable requirements for the safety and health of workers. A mechanism, such as safety committee, should be used to conduct weekly inspections and continuously monitor the operation of the programs.

**1.3.2 There is documentation of at least weekly safety inspections of industries facilities conducted by a person with special competence in the field of safety. Deficiencies reported will be corrected.**

**DISCUSSION:** Safety is a continuing problem in industries. Frequent inspections by safety specialists are necessary to ensure continuing compliance with applicable health and safety regulations and with sound safety practices. These inspections may be conducted by institutional personnel who have been assigned special responsibilities and received safety training.

**1.3.3 Written safety rules are established and distributed to all staff and inmates assigned to the program. These rules specifically mandate the appropriate use of safety equipment and clothing. There is evidence that the rules are enforced.**

**DISCUSSION:** It is important that the industries program have safety rules. It is necessary that staff and inmates be made aware of these rules. Finally, it is crucial that these rules have meaning and are enforced by supervisors and management.

**1.3.4 A formal safety training program is provided for both staff and inmates in industries operating units, with documentation available concerning subject matter covered and attendance.**

**DISCUSSION:** Safety training can not be casual and unstructured. To be effective, it must be formalized. Safety training covering safe working conditions and practices is important for industries

because many inmates do not have experience in comparable work situations and therefore have less knowledge and understanding of good safety practices.

**1.3.5 Written policy and procedures provide for safety committees which meet at least monthly and include input from inmate workers.**

**DISCUSSION:** Safety committees are an important safety management tool. There should be a committee for operating units as warranted by size. Should the size or potential for safety problems not require an individual committee, there should be one committee for the industries complex which includes at least one representative from each operating unit. Inmate workers should have input into the committee whether formally assigned as members or not. Such committees should meet regularly to discuss safety issues and to conduct periodic inspections of the work areas as supplements or assists safety specialists' inspections. The committee should identify unsafe conditions and practices and recommend remedies to management.

**1.3.6 Each industries operating unit has an accident record system which includes a written analysis of each accident.**

**DISCUSSION:** As a check on the effectiveness of the safety program and to identify problem areas, data on the extent and severity of accidents are necessary. These should be collected in a formal, documented method. Accident reports also provide a basis for assessing inmate claims of industrial injury.

**1.3.7 Each operating unit conforms to relevant safety standards in the handling and disposal of chemicals, waste materials and other potential atmospheric, soil or water pollutants.**

**DISCUSSION:** Control of industrial wastes and other types of environmental pollutants is a concern of industrial operations and society generally. Correctional industries management must be aware of the polluting effects of the various substances used in the operation, including their handling and disposition to assure compliance with appropriate community standards, whether legally binding on the institution or not.

**1.3.8 There is documentation by an independent, qualified source that the industries operating units comply with the applicable fire safety code(s).**

**DISCUSSION:** Local or state fire codes must be strictly adhered to in order to ensure the safety and well-being of inmates and staff in industries units. Reports of periodic inspections and action with respect to such reports must be available. In the event local and/or state codes are not applicable, the requirements of the National Fire Protection Association *Life Safety Code*, (current edition) apply.

**1.3.9** Written policy and procedure provide for a qualified fire and safety officer to routinely inspect industries operating units for compliance with safety and fire prevention standards, and for a review of this policy and procedure annually; there is a weekly fire safety inspection of the industries units by a person with special competence in the field of fire safety.

**DISCUSSION:** None.

**1.3.10** Written policy and procedure specify fire prevention regulations and practices. These include, but are not limited to the following:

**Provision for an adequate fire protection service**

**A fire detection system**

**A system of fire inspection and testing of equipment at least quarterly**

**An annual inspection by local or state fire officials or other qualified person(s)**

**Availability of fire protection equipment at appropriate locations throughout the institution.**

**DISCUSSION:** The administration should plan and execute all reasonable procedures for the prevention and prompt control of fire. The use of national codes, such as the *Life Safety Code*, can help to ensure the safety of staff, inmates and visitors.

**1.3.11** There is a written evacuation plan prepared in the event of fire or major emergency which is certified by an independent, outside inspector trained in the application of national fire safety codes. The plan is reviewed annually, updated if necessary, and reissued to the local fire jurisdiction. The plan includes the following:

**Location of building/room floor plans**

**Use of exit signs and directional arrows for traffic flow**

**Location of publicly posted plan**

**At least quarterly drills in all institution locations**

**Staff drills when evacuation of extremely dangerous inmates may not be included.**

**DISCUSSION:** The evacuation plan should also specify routes of evacuation, subsequent disposition and housing of inmates, and provision for medical care or hospital transportation for injured inmates and/or staff. Fire drills should include evacuation of all inmates from industries operating units.

### **Security**

**1.3.12** Written policy and procedure govern the control and use of tools and equipment in the industries program.

**DISCUSSION:** None.

**1.3.13** Written policy and procedure identify responsibility for security in the industries area, including provision for periodic searches of the area to control contraband, and definition of the standards of security to be used.

**DISCUSSION:** Security measures which affect industries operations, staff and inmates should be specified in policy and procedure.

**1.3.14** When private industries operate on institutional grounds, security regulations applicable to facility personnel also apply to private industries personnel.

**DISCUSSION:** None.

### **Working Conditions**

**1.3.15** Written policy and procedure require weekly sanitation inspections of industries areas by a designated administrative staff member; at least annual inspections by federal, state and/or local sanitation and health officials, or other qualified person(s); and, compliance with all applicable laws and regulations of the governing jurisdiction. There is documentation by an independent, outside source that deficiencies, if any, have been corrected.

**DISCUSSION:** The industries areas should be inspected at least annually by appropriate government officials to ensure the health of personnel and inmates. In addition to the regular inspections by governmental officials, industries areas should be inspected at least weekly by a designated staff member who should submit a written report to the warden/superintendent documenting deficiencies wherever they occur.

**1.3.16 Industries units provide access to sanitary facilities for staff and inmates, including toilets, drinking water and necessary washing facilities.**

DISCUSSION: None.

#### **4. INMATE PERSONNEL PRACTICES**

**1.4.1 Each inmate work station in the industries program is defined by a written job description.**

DISCUSSION: Each work assignment in industries should have a job description including the requirements of satisfactory performance. These descriptions should be based on the *Dictionary of Occupational Titles* to permit comparability to jobs found in private industry. The descriptions are important for training selection and evaluation of the performance of inmate workers and should be used in any recruitment efforts. (See related standard 1.5.4).

**1.4.2 Written policy and procedure provide that the number of inmates assigned to industries operations meet the workload needs of each operating unit.**

DISCUSSION: To ensure that realistic working conditions prevail in the industries operations, the industries management should be involved in determining the number of workers necessary to handle the workload.

**1.4.3 There are, or the agency can document its efforts to develop, formal training programs in industries which have trade recognition in private industry.**

DISCUSSION: Much of the training for inmate workers in industries is on-the-job training, appropriate for its purposes. There are, however, opportunities for apprenticeship and other trade-recognized training programs which lead to certification or licensure. These opportunities should be identified and pursued actively by industries management. Such programs provide trained workers and, if recognized by private industry and organized labor, provide post-release employment opportunities.

**1.4.4 Job vacancies in industries are available to any inmate in the institution who meets the criteria for such an assignment and qualifies under the job specifications. There is a procedure for advising the inmate population of such vacancies and for interested inmates to apply.**

**1.3.16 Industries units provide access to sanitary facilities for staff and inmates, including toilets, drinking water and necessary washing facilities.**

DISCUSSION: None.

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**1.4.4 Job vacancies in industries are available to any inmate in the institution who meets the criteria for such an assignment and qualifies under the job specifications. There is a procedure for advising the inmate population of such vacancies and for interested inmates to apply.**

**DISCUSSION:** Work opportunities in institutions are limited generally as are the opportunities to earn money or other incentives normally provided in industries. Therefore, there should be an opportunity for all inmates to learn about job vacancies in industries and have an opportunity to apply if they are interested and qualified. Inmates must meet whatever security criteria apply before they can be considered for employment.

**1.4.5** Written policy and procedure specify linkages between industries and both academic and vocational education programs which may include providing trained inmates for industries, training programs for inmates working in industries, and live work projects from industries for vocational shops.

**DISCUSSION:** Industries, academic education, and vocational training are three elements in a broad occupational training program. They should work closely together in training inmates.

**1.4.6** Written policy and procedure provide a normal work day for inmate workers in industries which, including breaks but excluding meals, is at least equivalent to that of the industries supervisors less one hour.

**DISCUSSION:** To provide a realistic work program which enables inmates to develop good work habits and attitudes, it is important that the work day approximate that normally found in private industry. Because of supervisor and custodial staff work shifts, it is difficult to create a normal eight hour work day in industries. A work day which is at least the equivalent to that of the industries supervisor less one hour, including regular breaks but excluding meals is a realistic expectation for full time assignments. Thus, if the normal work day for supervisors is eight hours, the work day for inmate workers should be at least seven hours. This provides staff with ample time before the inmates arrive and after they leave for preparation, clean-up and other supervisory responsibilities.

**1.4.7** The number and duration of inmate workday interruptions are minimized through rescheduling of staff assignments and inmate activities. Written policy and procedure govern the conditions under which inmates may be absent from work.

**DISCUSSION:** One of the most serious deterrents to the maintenance of a realistic workday for industries operations is the number of inmate absences taken to meet with other institution staff members, take part in other institution activities, or use institution service

facilities. Rescheduling of staff assignments and institution activities can minimize these interruptions and still enable industries inmates to have access to institution services and programs.

**1.4.8** All inmates working in industries receive financial remuneration based on the level of skill required by the job and the quantity and quality of their work.

**DISCUSSION:** Inmates working in industries should be paid sufficient wages so they can make purchases from the canteen and accumulate funds to assist them upon their release from prison. Pay should be related to job performance.

**1.4.9** Written policy and procedure outline the pay plan for inmates assigned to industries, including bonuses, if used. Copies of the pay plan are distributed to staff and made available to inmates. The pay plan is reviewed annually, and updated if necessary.

**DISCUSSION:** Any pay plan used should identify rates of pay, performance requirements and the method of awarding pay increases. When bonus payments are made, the plan should identify bonus pay increments, requirements to achieve bonuses and method of calculation. Both staff and inmates should be made aware of the details of the pay plan.

**1.4.10** Where "good time" or other sentence reduction credits are awarded to inmates in the industries program, written policy and procedure define the standards to be met and require that supervisors review their recommendations with the affected inmates.

**DISCUSSION:** There should be clear and objective standards governing the awarding of sentence reduction credits when they are authorized statutorily. Inmates should be informed of the supervisory recommendations on such credits.

**1.4.11** Written policy and procedure define the types of incentives provided for inmates assigned to industries, their purposes, the governing conditions and persons responsible for authorizing such incentives.

**DISCUSSION:** Special incentives in addition to pay may be provided to reward inmates working in industries, such as special housing and extra privileges. Policies and procedures governing such incentives should be written and made available to staff and inmates.

**1.4.12 Equal employment opportunities exist for inmates in each operating unit of the industries program.**

DISCUSSION: An equal opportunity employment program for inmates is essential to ensure that all racial and ethnic groups participate equitably in the industries program. There should be appropriate balance of racial and ethnic groups in each of the separate operating units of industries. Management should have a means of monitoring this regularly.

**1.4.13 In institutions with both male and female inmates, written policy and procedure provide for equality of assignment to industries jobs. Exceptions are justified and documented.**

DISCUSSION: Sex should not be a factor in the selection and assignment of inmates to industries. However arranged, female inmates should have opportunities equal to the male inmates in regard to job assignments, promotional opportunities, pay scales, incentive plans, earning of good time credits and training opportunities.

**1.4.14 Orientation material provided to newly arrived inmates includes information about the industries program, jobs available, pay rates, incentives offered and instructions for application.**

DISCUSSION: New inmates should have an opportunity to learn about the industries program and make an informed decision about possible participation.

**1.4.15 Policy and procedure provide for inmate orientation to employment conditions, including safety and operating instructions for equipment, hours of work, the pay plan, special rules and personnel policies affecting the inmate worker. There is a written acknowledgement by the inmate of the receipt of this information.**

DISCUSSION: None.

**1.4.16 There is a uniform system with established criteria through which inmates working in industries receive written performance evaluations at least quarterly. These evaluations are reviewed with the inmate and a final evaluation is prepared and placed in the inmate's master file at the time employment is terminated.**

DISCUSSION: Supervisors of industries operations should evaluate the performance of inmate workers at least every three months. At the time of separation, a final report should be prepared on each worker regardless of time spent on the job or time lapsed since the last evaluation. A standardized written form should be used for this purpose. The inmate should receive a copy and a copy should be placed in the inmate's central file. The final evaluation should be available to parole hearings and for postrelease employment efforts.

## 5. SHOP PRACTICES

**1.5.1 Each industries operating unit has a written quality control procedure which provides for raw material, in-process and final product inspection.**

**DISCUSSION:** Quality control plans should stress periodic inspections during creation of the product as well as a final inspection of the finished product. A quality control plan also must include product specifications and tolerances or dimensions as well as production techniques. Use of mechanical devices such as gauges, sizing boards and color chips should be used where appropriate. Quality control records should be maintained and used for training purposes. There may be 100 per cent, random or statistical sampling product inspection.

**1.5.2 When required by statute, food products that are grown or produced in agricultural units of industries are inspected and approved by the appropriate government agency.**

**DISCUSSION:** Some industries programs include agricultural activities which grow or produce food for use in institution feeding. All foodstuff should meet or surpass governmental quality standards. Where appropriate and practicable, grading practices used commercially should be used also by industries.

**1.5.3 There is a distribution system for agricultural units of industries that ensures prompt delivery of foodstuff to institution kitchens.**

**DISCUSSION:** None.

**1.5.4 There are written productivity standards for individual work stations and for each operating unit that specify the work output a trained inmate worker should produce.**

**DISCUSSION:** Productivity standards are necessary for many reasons including production scheduling, performance evaluation, and sales and financial forecasting. The establishment of such standards in private industry may involve very sophisticated industrial engineering processes. For industries, such standards need not be this precise but may be based only on supervisory estimates. There should be a written record of these standards, the method whereby they were developed and provision for periodic review and updating. (See related standard 1.4.1)

**1.5.5 There is a written procedure for scheduling and control of work orders for each industries operating unit.**

**DISCUSSION:** Each industries operating unit should have a written procedure governing the scheduling and control of production as appropriate to the method of operating of that unit. If possible, there should be a visible record posted such as a schedule board or chart to which workers and supervisors can refer for easy check of the current status and schedule of existing projects or work orders.

**1.5.6 There are written product specifications and drawings, where required, for each item regularly produced in each industries operating unit.**

**DISCUSSION:** It is important for marketing as well as production that there be a written description of each item regularly produced by industries. This should include raw materials used, dimensions, methods of production, special characteristics and any other information necessary to ensure that items produced in the future are equal to those produced in the past. Changes in any of the product characteristics are documented and must be approved by industries management personnel.

**1.5.7 There is a current written inventory of equipment for each industries operating unit.**

**DISCUSSION:** There should be an annual inventory of equipment owned, rented or assigned to industries. Equipment should be added to the inventory as it is acquired. The inventory may be maintained in the supervisor's office or the accounting office.

**1.5.8 Written policy and procedure provide for the maintenance of equipment in each operating unit to include a preventive maintenance program. Down time logs are maintained on major equipment items.**

**DISCUSSION:** The maintenance of equipment is important not only for production efficiency, but also for safety of operators. A sound maintenance program includes planned preventive maintenance with responsibility for such work defined and a record maintained of the work done.

**1.5.9 Each operating unit has procedures to ensure accountability for tools, raw materials, components and finished products.**

**DISCUSSION:** Security and production requirements require that every effort be made to reduce losses of equipment and products made by industries.

## **6. MARKETING**

**NOTE:** These standards apply principally to central office/parent agency operations.

**1.6.1** Written policy and procedure govern the marketing of industries products. Responsibility for the marketing function is fixed in the organization.

**DISCUSSION:** Marketing of industries products even with a mandatory state-use law is important. The marketing program should include not only sales and processing customer orders, but also customer service, pricing, promotional activities, preparing bids where necessary, customer complaints, customer information, product design and quality, market research and sales forecasts.

**1.6.2** Written policy and procedure provide a formalized process for receiving orders from customers, transmitting the information to the appropriate operating unit, if necessary, and acknowledging customer receipt of the order and anticipated date of decision, if requested.

**DISCUSSION:** Good business practice requires a formal process for handling customer orders.

**1.6.3** Written policy and procedure provide for the identification and timely processing of all customers' orders to avoid late or delayed delivery of orders. There is a system to identify early those orders likely to miss their promised delivery dates, and to take whatever corrective action necessary, including prompt notification to the customer.

**DISCUSSION:** Industries have a responsibility to customers for timely delivery as does any vendor. Circumstances can cause orders to be late. There should be a process to identify such orders, advise the customer and take whatever action necessary to complete the order as soon as possible.

**1.6.4** Written policy and procedure provide a process for customer complaints about industries products or service. This process includes a method for investigating the complaint, taking appropriate action and reporting back to the customer.

**DISCUSSION:** None.

**1.6.5 Industries use promotional materials and methods to aid in the marketing of their products.**

**DISCUSSION:** Catalogues, slide presentations, samples, price schedules, promotional fliers, trade fairs, exhibits and other similar promotional activities are important marketing tools.

**1.6.6 Written policy and procedure governing market research activities include, but are not limited to, collection of pricing data, expanding existing markets, locating new markets for present and potentially new products.**

**DISCUSSION:** Market research is important to provide data on product prices for assistance in pricing decisions and to evaluate possible new products.

**APPENDIX A**

**References For Use With Standards**

American Correctional Association  
4321 Hartwick Rd., Suite L-208  
College Park, Maryland 20740

"Code of Ethics"  
*Library Standards for Juvenile Correctional Industries*

American Society of Heating, Refrigeration and Air Conditioning Engineers  
345 East 47th Street  
New York, New York 10017

*ASHRAE Handbook and Product Directory*

Building Officials and Code Administrators International, Inc.  
17926 So. Halsted Street  
Homewood, Illinois 60430

*The BOCA Basic Building Code/1978*

Illuminating Engineering Society of North America  
345 East 47th Street  
New York, New York 10017

National Academy of Sciences  
2101 Constitution Ave., N.W.  
Washington, D.C. 20418

*Recommended Dietary Allowances*

National Fire Protection Association  
470 Atlantic Ave.  
Boston, Massachusetts 02210

*Life Safety Code*

United States Office of Personnel Management  
1900 E Street, N.W.  
Washington, D.C. 20415

*State Salary Survey*

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*Executive Assistant*

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*Missouri Corrections Association*  
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*Southern States Correctional Association*  
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## Code of Ethics

### AMERICAN CORRECTIONAL ASSOCIATION

*The American Correctional Association expects of its members unfailing honesty, respect for the dignity and individuality of human beings, and a commitment to professional and compassionate service. To this end we subscribe to the following principles.*

#### Relationships with clients/colleagues/other professions/the public—

- Members will respect and protect the civil and legal rights of all clients.
- Members will serve each case with appropriate concern for the client's welfare and with no purpose of personal gain.
- Relationships with colleagues will be of such character as to promote mutual respect within the profession and improvement of its quality of service.
- Statements critical of colleagues or their agencies will be made only as these are verifiable and constructive in purpose.
- Members will respect the importance of all elements of the criminal justice system and cultivate a professional cooperation with each segment.
- Subject to the client's rights of privacy, members will respect the public's right to know, and will share information with the public with openness and candor.
- Members will respect and protect the right of the public to be safeguarded from criminal activity.

#### Professional conduct/practices—

- No member will use his official position to secure privileges or advantages for himself.
- No member will act in his official capacity in any matter in which he has personal interest that could in the least degree impair his objectivity.
- No member will use his official position to promote any partisan political purposes.
- No member will accept any gift or favor of a nature to imply an obligation that is inconsistent with the free and objective exercise of his professional responsibilities.
- In any public statement members will clearly distinguish between those that are personal views and those that are statements and positions on behalf of an agency.
- Each member will be diligent in his responsibility to record and make available for review any and all case information which could contribute to sound decisions affecting a client or the public safety.
- Each member will report without reservation any corrupt or unethical behavior which could affect either a client or the integrity of the organization.
- Members will not discriminate against any client, employee or prospective employee on the basis of race, sex, creed or national origin.
- Each member will maintain the integrity of private information; he will neither seek personal data beyond that needed to perform his responsibilities, nor reveal case information to anyone not having proper professional use for such.
- Any member who is responsible for agency personnel actions will make all appointments, promotions or dismissals only on the basis of merit and not in furtherance of partisan political interests.

(Adopted August 1975 at the 105th Congress of Correction)

**END**