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Competencies of high-performing correctional officers of jails and prisons : developing tomorrow's officers

Douglas Woodfin Murphey II

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COMPETENCIES OF HIGH-PERFORMING CORRECTIONAL OFFICERS

OF JAILS AND PRISONS: DEVELOPING TOMORROW'S OFFICERS

By

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B. A., Virginia Tech, 1998

A Thesis

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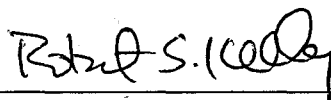
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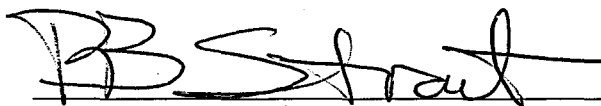
Richmond, Virginia

I certify that I have read this thesis and find that, in scope and quality, it satisfies the requirements for the degree of Master of Arts/Master of Science.

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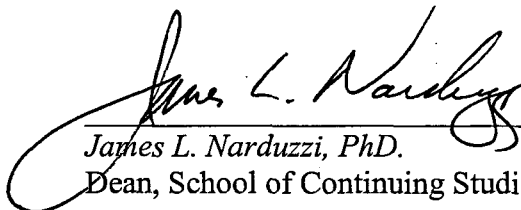OF JAILS AND PRISONS: DEVELOPING TOMORROW'S OFFICERS

ABSTRACT

Correctional facilities continue to be built to hold an ever-growing inmate population that must be managed by competent correctional officers. This study utilized three subject-matter expert groups to create and validate the core competencies required to be a high-performing correctional officer. The first group of eight high-performing correctional officers from the Chesterfield County Sheriff's Office created the initial list of competencies. The second group of eight expert correctional consultants rated the competency list. The third group of sixteen senior correctional administrators from outstanding sheriffs offices and correctional facilities in the United States also rated the competencies. The core competencies were clustered into roles and compared to the Correctional Leadership Competency Model advanced by the U.S. Department of Justice and the National Institute of Corrections in 2005. The Correctional Officer Competency Model may be used by the corrections industry to develop today's high-performing correctional officers and those of tomorrow.

Chapter 1

Introduction

A Brief History of Corrections in Chesterfield County, Virginia

Chesterfield County's first jail, commissioned in 1749, was rated to hold a total of three individuals. In 1841 the three individuals housed in the jail started a fire that completely destroyed the jail. After the fire a newer jail was built. "In the 1930's, the new jail was 'bulging at the seams' with 12 inmates. It was also around this time that inmates…were able to obtain a can opener and cut their way through the tin roof of the jail. Most were recaptured later" (Hutton, 2000, p. 14). In 1960 Chesterfield built a new facility that lasted until 2006. The first escape attempt from this jail was in 1970 when inmates got a key pack and released all the other inmates from their individual cells; however, "No inmate actually made it to the outside area. All were quickly rounded up and returned to their cells" (Hutton, 2000, p. 14). A new two-story addition was built in the 1970's to accommodate "the bulging population of 90 inmates" and in 1980, a dramatic hostage-escape occurred:

> …Two inmates managed to take several deputies hostage. These two inmates created a makeshift weapon from a leg brace of an inmate. When the deputy opened the door to fill the ice cooler, the inmates took over the deputy. Other deputies were taken hostage and locked in the cells…The two inmates made their way to the control room where a nurse had been left alone. The nurse opened the door and the inmates escaped in a deputy's vehicle, taking the nurse hostage. A quick thinking deputy who was locked in a tier used the inmate phone to make a collect call to the police department…The vehicle was followed and eventually overtaken…there were no serious injuries to anyone involved (Hutton, 2000, p. 15).

"During the early 1990's, the jail experienced enormous growth in the inmate population. The jail's rated capacity at this time was approximately 150 prisoners. It was not unusual

to find the count exceeding 400 on a regular basis" (Hutton, 2000, p. 16). In 1994 an addition was built to relieve overcrowding and was designed to hold an additional 115 inmates. Moreover, a regional jail, Riverside, was also built to alleviate the overcrowding by taking on offenders with longer sentences who were bound for the state correctional system. In 2006 a new 154-bed replacement correctional facility was built as a replacement for the 1960's jail. This new facility plus the 1994 addition was rated for 250 inmates; however, "The count is consistently above the 300 level" even today (Hutton, 2000, p. 43). The problems faced by Chesterfield County are mirrored not only by neighboring cities and counties but also around the nation. Correctional facilities continue to face overcrowding challenges and the dangers associated with inmate populations. It is in this context that the need for competent correctional officers to manage this population inside these facilities becomes clear.

The 1970's also saw the beginning of basic education for the development of correctional officers. The Department of Criminal Justice Services (DCJS) developed the first Basic Jailor's Training Course that was meant to train correctional officers on the basics of work inside a jail. "This basic training included one week in a classroom discussing basic jail functions and its history in America" (Hutton, 2000, p. 43). "Prior to 1992, the [Chesterfield County] Sheriff's Office participated in a regional training academy..." (Hutton, 2000, p. 56). In 1992 the Chesterfield County Sheriff's Office held their own in-house certified academy that met the Basic Jailor requirements. They have since expanded their educational offerings to partnerships with all of the following agencies: "the U.S. Marshall Service, Federal Bureau of Investigation, the International

Association of Chiefs of Police...in addition to seminars [and classes]...offered by the National Correctional Association and the American Jail Association" (Hutton, 2000, p. 58).

The Chesterfield County Sheriff's Office has distinguished itself as a high-performing agency by earning accreditation through the Virginia Law Enforcement Professional Standards Commission. According to the Sheriff's Office website:

> Of the more than 360 law enforcement agencies in Virginia, the Sheriff's Office is among only 47 having earned the distinction. Chesterfield County has also become the third Virginia jurisdiction where both the Police Department and Sheriff's Office are accredited. Chesterfield shares this distinction with Albemarle and Fairfax counties. The accreditation is considered perhaps the best measure of professionalism among law enforcement agencies.

This dedication to the training, education and development of the correctional officer has led to the development of an outstanding agency, and it is the description and formalization of this process through the Correctional Officer Competency Model that I hope to convey in this thesis.

Rationale for Selection of the Study

As the introduction shows there is an increasing inmate population that continues to pose risks to correctional officers. This inmate population needs to be managed by competent correctional officers to not only manage day-to-day safety and security, but also to prevent escapes, hostage-taking, assaults, riots, and other emergency situations.

Jails and prisons continue to grow and expand with an increasing number of inmates. Inmate population statistics from the Bureau of Justice indicate:

- From 1995 to 2005, the number of jail inmates per 100,000 U.S. residents rose from 193 to 252.

- From midyear 2003 to midyear 2004, the number of inmates in custody in local jails rose by 22,689; in State prison by 15,375; and in Federal prison by 10,095.

- From midyear 2004 to midyear 2005, the 12-month increase of 4.7% in the jail population was slightly more than the average annual increase of 3.9% since 1995.

- From midyear 2004 to midyear 2005, the number of inmates housed in the nation's local jails was up from 713,990 to 747,529.

- In 2005, jails reported adding 33,398 beds during the previous 12 months, bringing the total rated capacity to 789,001.

And this growing inmate population has encouraged the growth of correctional facilities to hold them. "In 1996...123 state and federal prisons opened or were being built. Even with such expansion, many prisons still house far more inmates than their intended capacities...forty states...have been mandated by courts to relieve prison overcrowding [through building even more facilities]" (Bender & Leone (Eds.), 1997, p. 12). These increases in inmates and correctional facilities highlight the significant need for competent correctional officers to manage this growing population.

In a typical day, correctional officers must respond to inmate complaints, inmate requests for medical attention, inmate altercations, inmate meals, the distribution of canteen and hygiene items, post office mail, movement of inmates from one housing location to another, intake of new inmates, and release of inmates that have served their sentences.

Correctional officers are presented with new technology and equipment which may include extendable ASPs; pepper spray or foam; radios with emergency buttons and

multiple frequencies; handcuffs; flexcuffs, special locking leg irons and waist chains; gloves for personal protection when conducting searches or dealing with medical emergencies, etc.

In summary, there is a need for competent correctional officers to deal with the changing environment and the expanding inmate population. If the correctional community is to deal effectively with these challenges they must train, educate and develop their correctional officers so they are competent to manage safely the security of the inmate population in the correctional facilities of today, tomorrow and the future.

I have chosen the Chesterfield County Sheriff's Office as my particular client of study because I have the most direct experience with this organization. I have worked for this organization, assigned to the correctional services division, since I graduated from the academy over seven years ago. The Chesterfield County Sheriff's Office has a rich history as described above and it continues to make progress into the future most notably with the construction of a new replacement jail facility that was completed in 2006.

Purpose of the Study

This research attempts to identify a competency model comprised of core competencies that are required for correctional officers to manage inmates in jails and prisons safely and securely over the next five to ten years. The competency model presented will hopefully provide a guide for jail and prison management in determining which training opportunities will develop the competencies needed to be a high-performing correctional officer.

Research Questions

This research attempts to answer the following three questions:

Primary Question:

1.   What is the competency model that will allow for the development of high-performing correctional officers to manage inmates of jails and prisons safely and securely over the next five to ten years?

Secondary Question:

1.   What are the core competencies involved in the Correctional Officer Competency Model?

Tertiary Question:

1.   How does the Correctional Officer Competency Model compare, contrast and integrate with the Correctional Leadership Competency Model?

Definitions

The following are terms that have been defined for the scope of this research:

Correctional Officer: Any officer, deputy, or security personnel who works inside a jail, prison, penitentiary or other correctional setting, whose primary duties involve the safety and security of inmates or prisoners.

Sheriff's Deputy: Employees who work at a Sheriff's Office or Sheriff's Department. Deputies have a larger scope than just correctional officers; they may work patrol on the road, inside courthouses, conduct the service of civil process or act as the primary law enforcement agency with full police powers.

Police Officer: A more limited term than Sheriff's Deputy. Police Officers do not generally work inside correctional environments other than when they are transferring custody of someone they have charged or detained over to correctional personnel.

Chesterfield County Sheriff's Office: An Accredited Sheriff's Office in Chesterfield, Virginia that operates a jail, provides security for two courthouses and oversees the service of civil process among other duties.

Jail: A local correctional facility that holds minimum, medium and maximum security inmates until they go to trial and are sentenced and/or released. Inmates are generally not held for periods of longer than one year.

Prison: A correctional facility where inmates are held for longer periods of time than at a jail facility. The majority of inmates or prisoners have been convicted of at least one felony offense.

Job Competency: "A job competency is an *underlying characteristic of an employee (i.e., motive, trait, skill, aspect of one's self-image, social role, or a body of knowledge)* which results in effective and/or superior performance in a job (Boyatzis, 1982, pp. 20-21)" (Dubois, 1993, p. 9).

Competency model: "A competency model includes *those competencies that are required for satisfactory or exemplary job performance* within the context of a person's job roles, responsibilities and relationships in an organization and its internal and external environments (adapted from Boyatzis, 1982)" (Dubois, 1993, p. 9).

The Correctional Leadership Competency Model

In 2005, the U.S. Department of Justice and the National Institute of Corrections created a Correctional Leadership Competency Model program that they broadcast via satellite and Internet as a learning tool to participants around the nation. The model identified 37 core competencies and clustered these competencies into qualities which I have taken a step further and defined as roles:

Correctional Leadership Qualities	Correctional Leadership Roles
1. Self-Awareness	The Self-Aware Leader
2. Ethics and Values	The Ethical / Value Minded Leader
3. Mission and Vision	The Mission Conscious / Visionary Leader
4. Strategic Thinking	The Strategic Thinker
5. Managing the External Environment	The External Environment Manager
6. Planning and Evaluating	The Planner and Evaluator
7. Collaboration	The Collaborator
8. Team Building	The Team Builder
9. Power and Influence	The Power and Influence Leader

The roles defined are just an extension of the qualities needed to be a leader in the field of corrections.

The model's first competency, self-awareness, refers to the individual's awareness of the need to continuously update their skills, education and overall development. The second competency, ethics and values, underscores all facets of ethical behavior and values of the organization and people. The third competency, mission and vision, ensure that the mission and vision of a leader's organization are communicated and understood. The fourth competency, strategic thinking, prizes diversity and creativity of thought towards solving problems. The fifth competency, managing the external environment, refers to developing relationships with outside agencies, entities and community leaders. The sixth competency, planning and evaluation, means setting clear plans, inspiring dialogue and feedback, and evaluating programs for effectiveness. The seventh competency, collaboration, emphasizes that trust is essential in considering and respecting others to develop a healthy process. The eighth competency, team building, is the most complex and involves dealing in the dynamics of team goals, objectives, achievements, decision-making skills, resources, etc. The ninth and final competency is power and influence, which refers simply to one's focus on his or her work, agency, and their internal and external customers.

The Correctional Officer Competency Model was created independently of the Correctional Leadership Competency Model, but they both share many similarities in their framework for understanding the need to train, educate and develop correctional professionals so they can remain safe and secure while performing their duties.

The results of this research may be used as a guide in developing training and educational tools as well as partnerships with other agencies and learning institutions to develop high-performing correctional officers who will effectively manage the inmate populations of the future.

Significance of Study

Jail and prison populations are on the rise, and this has created the need for ever more vigilant and competent correctional officers. Correctional officers work in a dangerous environment and their competence has a direct impact not only on the safety and security of the inmates they supervise, but also of their fellow officers. Training and educating high-performing correctional officers through development programs to hone competencies should be a priority for all correctional facility administrators.

The jails and prisons of the United States are some of the most humane confinement facilities in the world. Inmates are granted certain civil liberties under U.S. Code: Title 42, section 1983, commonly referred to as the 1983 Act, which states,

> Every person who, under color of any statute, ordinance, regulation, custom, or usage, of any State or Territory or the District of Columbia, subjects, or causes to be subjected, any citizen of the United States or other person within the jurisdiction thereof to the deprivation of any rights, privileges, or immunities secured by the Constitution and laws, shall be liable to the party injured in an action at law, suit in equity, or other proper proceeding for redress...

Although inmates are given the above-mentioned rights, these rights do not diminish the seriously dangerous job correctional officers have. Well-trained, educated, developed and competent correctional officers mean greater safety and security for all

involved, and the consequences of incompetent correctional officers can be death or serious bodily injury for inmates and other correctional officers who may be attacked by more violent inmates. For this reason, correctional facilities and their administrators have great incentive to train, educate and develop the most competent of correctional officers.

Delimitations

This research attempts to construct a competency model that identifies core competencies needed for the development of high-performing correctional officers. Although competency modeling would be a valuable tool for use with police officers and other professionals in the criminal justice field, the Correctional Officer Competency Model should not be applied outside the scope of the correctional officer.

The model is mainly intended for use in training, education and development of correctional officers in the necessary competencies to achieve high-performance. It is not intended to be used in an appraisal, selection or in a succession planning endeavor. Additional validation techniques would need to be incorporated before utilizing this model in any of those processes.

This study is based on the opinions and conclusions of eight high-performing correctional officers, eight expert correctional consultants and sixteen senior correctional administrators who have demonstrated high-performance in the field of corrections. Their opinions do not and cannot be expected to be representative of every expert in the field of corrections.

This study looks at some of the most pressing issues facing correctional officers such as overcrowding, gang activity, technological advances and heightened media attention. However, there are other issues not mentioned in this study that will impact correctional officers in the future. These include but are not limited to the privatization of correctional facilities, the growing number of women and minorities in the field of corrections, as well as legal challenges and changes in the laws that related to the field of corrections.

Chapter 2

Literature Review

Introduction

Methods of detention and incarceration have existed for ages. "As early as the ninth century in England Alfred the Great's laws mentioned imprisonment (Irwin, 1985, p.3) 'If he, however, pledge what is right for him to fulfill, and belie that, let him…be forty nights in prison…and suffer'" (Hughes, 1869, pp. 181-82).

According to Lawrence M. Friedman in *Crime and Punishment in American History*, imprisonment was not a routine form of punishment for crimes in Colonial America. People thought that when a crime was committed and the accused was found guilty, a public punishment was in order. So, confessions were solicited from criminals in public and criminals were hanged, whipped and branded; this was the accepted form of punishment for criminal behavior. It was years later that penitentiaries, prisons, jails and other correctional facilities were considered as more appropriate ways to punish offenders.

As for the correctional officer profession in this early Colonial period, "there were no actors in the system who spent all their working lives in criminal justice. There were no police, professional prosecutors, public defenders, prison wardens, probation officers, detectives, social workers, and the like. There were also few full-time criminals (Friedman, 1993, p. 67). What there were, Friedman says, were "laymen, amateurs…ordinary judges (some of them without any training in law)…and haphazard jailers" (Friedman, 1993, p. 67).

Unfortunately, the advancement of correctional facilities happened at a faster pace than the advancement of the correctional officer profession. The Thomas Gale Legal Encyclopedia notes:

> In 1790 the Walnut Street Jail in Philadelphia constructed a separate cell house for the sole purpose of holding convicts. This was the first prison in the United States...By the mid-nineteenth century, prisons existed throughout the United States. Prisoners were kept in unsanitary environments, forced to work at hard labor, and brutalized by guards. These conditions continued until the 1950s and 1960s, when heightened social and political discourse led to a renewed emphasis on rehabilitation.

Rehabilitation in the above paragraph refers mainly to the rehabilitation of the inmates; however, it should be clear that the guards who brutalized inmates were also in need of rehabilitation.

One modern example of why it may have taken longer to adequately train, educate and develop correctional officers involves the challenges and dynamics inherent with working in a correctional environment. In an infamous experiment held at Stanford University in 1971, Psychology Professor Philip Zimbardo created a place of imprisonment and selected half the participants to be the correctional officers and the other half to be inmates. What happened in a short amount of time was that the unequal balance of power began to distort the personalities of the participants; the guards who were given authority to make rules governing the inmates became brutal and humiliated the inmates. The students selected as inmates began to truly fear for their lives. The experiment was eventually cut short due the increasingly disturbing results. In other words, brutal conditions can be replicated at any time when there is an imbalance of power that is not controlled by specific training, education and development on the part

of the guards or correctional officers. Policies and procedures need to be in place and enforced and unlimited discretion without guidance will undoubtedly lead to brutal conditions whether we are in the colonial period or modern times.

Society has a need to isolate certain individuals from the general population for safety purposes, but it also needs to employ correctional officers to care for these individuals while they are being isolated. Someone must be attentive to the inmates' needs and be trained to keep them safe and secure during their period of confinement—this is the challenging job of a correctional officer.

The Professional Development of the Correctional Officer

Most of the educational and developmental history involving prisons, jails and correctional facilities in general focuses on the effort to educate inmates as a means of rehabilitating them. There is limited information on the efforts to educate and build competencies for correctional officers.

In the book *Correctional Officers in America*, Walters and Caywood (2000, p. 33) say that, "prior to the creation of the New York State Correctional Services Training Academy in 1972, New York State correctional officers were trained on the job." In the years that followed, many states followed New York by creating formal state guidelines for the training of correctional officers.

I interviewed a 20-year plus veteran from the Chesterfield County Sheriff's Office and asked him/her, "How have the duties of a correctional officer evolved over time at this facility?" (Appendix A-16) He/she told me that when they began, new correctional

officers were given two days of training and then sent to the jail to perform. Some time after the new officers began working, they were sent to a multi-jurisdictional academy, which lasted approximately six weeks. The academy taught the officers some Virginia code sections of law, basic security practices and trained them in the use of a firearm (although they were not issued their own personal weapons). The on-duty sergeant was the only person at work with a weapon, and his firearm had to be borrowed to be used. Further, there was no requirement to recertify or refresh on any of the material year after year once everyone completed the academy.

Chesterfield County began its own academy in 1992, each training session lasting approximately 12 weeks teaching most of the same subject matter as did the multi-jurisdictional academy. Even at this point though, there were no quality improvement, leadership, management, supervision or field training officer (FTO) classes offered through the county, and there was no specialized training with any outside organizations or schools.

The 12-week academy lasted up until 1999 when the department purchased Glock semi-automatic pistols and extended the academy to 14 weeks. The next milestone was expanding the academy to 29 weeks in 2006, providing for the first time full law enforcement certification to all the academy graduates. These graduates were qualified to not only work in a correctional environment, but they now held the same certification as police officers. It is too early to tell whether this additional certification will increase the overall performance of officers who are assigned to work in the jail, but it is clear the organization is committed to providing thorough training to all their recruits.

Currently, the most recent academy graduates and all others on the sheriff's office staff receive refresher training every year on the following training topics:

Day 1; 0800 - 1700 – Defensive Tactics, ASP Baton and OC (Capstun) training (8) hours
Day 2; 0800 - 1000 – Bias Based Policing (1 hour) Infectious Disease (1 hour)
Day 2; 1000 - 1230 – Fit Test (for an SCBA mask) (2 1/2 hours)
Day 2; 1330 - 1700 – Terrorism Awareness (3 1/2 hours)
Day 3; 0800 - 1200 – Laws of Arrest (4 hours)
Day 3; 1300 - 1400 – Arrest of Foreign Nationals (1 hours)
Day 3; 1400 - 1700 – Use of Force (3 hours)
Day 4; 0800 - 1700 – First Aid/CPR Training (8 hours)

Although the training is much more advanced today then it was in the past, there is still no specific effort to train, educate or develop the officers based on specific competencies or using any type of competency model.

Current Correctional Facilities

Today's jails, prisons and correctional facilities are some of the safest and most secure facilities in the world. However, there are still challenges that lay ahead:

(1) There is an ever-increasing jail population that puts a strain on facilities as it has done in the past. Overcrowding is a serious problem that correctional officers must be competent to deal with.

(2) Gangs and gang activity inside jails and prisons is also on the rise, and it takes a competent officer to recognize the signs of gang rivalry and separate individuals before there is an altercation.

(3) There are newer technologies such as stun guns, air-lock doors, cameras in almost every location and other devices that can be positive or negative for the corrections environment depending on whether adequate training in their use is provided.

(4) Escapes, riots and uprisings make significant media attention, and the popularization of such shows such as HBO's "OZ", MSNBC's "Lockup" documentaries, which profile life inside different correctional facilities, as well as NBC's show "Prison Break," all renew interest in corrections.

Each of these four factors will be discussed in more detail in the pages that follow.

The Overcrowding Inmate Population

Behavioral Interventions (BI), a company that offers solutions to overcrowded jails and prisons, notes the impact of overcrowding:

- Overcrowding can cause dangerous working conditions for those who work inside the jail.

- Severely overcrowded jails are often subject to federal litigation that may result in intervention and costly fines.

- Overcrowding often forces local governments to house offenders in neighboring jails at costly daily rates, compounding security and budget concerns.

BI (2006) also states that, "At year end 2003, state prisons were operating 16% above capacity, and federal prisons were 39% above capacity on average." This trend shows that correctional facilities are increasingly overcrowded. In an Associated Press article from 2004 out of Athens, Georgia, "Six county jails in northeast Georgia are overflowing with inmates as state prisoners wait for beds to open up in state-run facilities. The jails…as of July 1 had 116 state prisoners taking up space that would otherwise belong to

inmates awaiting trial in their respective counties. The six jails have a total capacity of 646, but they are housing a total of 867 inmates each..."

According to an MSNBC Associated Press article for May 21, 2006:

Prisons and jails added more than 1,000 inmates each week for a year, putting almost 2.2 million people, or one in every 136 U.S. residents, behind bars by the last summer. The total on June 30, 2005, was 56,428 more than at the same time in 2004, the government reported Sunday. That 2.6 percent increase from mid-2004 to mid-2005 translates into a weekly rise of 1,085 inmates. Of particular note was the gain of 33,539 inmates in jails, the largest increase since 1997, researcher Allen J. Beck said. That was a 4.7 percent growth rate, compared with a 1.6 percent increase in people held in state and federal prisons.

One of the common solutions is to build more jails, prisons and correctional facilities; but these new facilities will require correctional officers to run them. Until the facilities are built the present correctional officers must be trained in how to competently deal with inmates and overcrowded conditions.

The Rise of Gangs and Gang Activity

"The number of gangs and gang members is increasing just as rapidly in prisons as on the streets." (Compton, 2005, p. 26). In 1998 individual states in the U.S. reported the following data: "In Illinois approximately 60% of the prison population belongs to a gang. About 240 street gangs operate in the Florida system. Texas has identified 5,000 gang members and suspects that another 10,000 out of a population of 143,000 are members of gangs" (Compton, 2005, p. 27). Also, "an ACA study revealed that prison gangs were responsible for 20% of the violence toward staff and 40% of the violence directed at other inmates" (Compton, 2005, p. 28). Correctional officers must be

competent to identify gang activity, gang initiations, gang tattoos, gang signs and

symbols, etc. The skills of observation and knowledge of these practices are what will

reduce violence to other officers and to other inmates. Correctional officers must also be

cognizant of gambling, blackmail, extortion, prostitution, stealing, bribing, assaults, and

more. Some solutions offered such as "segregation of gang members in a unit separated

from the general population and the imposing of disciplinary sanctions, such as isolation,

for prison rule violations...transfers for gang members, security upgrades and mail and

telephone monitoring...denial of contact visits and furlough privileges" (Compton, 2005,

p. 29) all require a knowledgeable, skilled, competent correctional officer to take these

appropriate actions.

Advances in Correctional Facility Technology

According to their book *Prison and Jail Administration* by Carlson and Garrett,

technology in correctional facilities is a "new phenomenon." They say, "Correctional

institution staff have always been reluctant to accept significant change in how they do

business" (Carlson & Garrett, 2006, p. 414). One of the reasons correctional officers may

be worried about the changes is that technology is often seen as a way to "do more with

less." However, today's correctional technology has much less to do with cost savings

from replacing officer positions and much more to do with making the operation more

safe and secure for not only the inmates, but the officers as well.

Some of the newer technologies that are being utilized in jails, prisons and

correctional facilities include: air-locking doors; doors accessible by electronic card

readers; electronic "Medco" keys; Pan-Tilt-Zoom (PTZ) cameras; electronic vehicular gates; stab/puncture resistant vests and gloves; medical gloves and gowns that protect against blood-borne pathogens; extendable batons; tasers/stun guns; electric shields; etc. Moreover, there is also increasingly widespread use of computers for gathering inmate information, verifying inmate population data, recording inmate incidents, injuries, and medical conditions. Correctional personnel physically move inmates on a daily basis; there is a computer tracking component of this process as well. Computers can be accessed to determine prior to an inmate move which inmates are on a "keep separate" status for any number of reasons. This is an advance from the old routine that may have involved simply moving the inmate and telling them once they arrived at their new location, "If you have a problem with anyone in this new location, just let us know." The advanced technology is better able to track which inmates have been involved in an altercation in the past, and prevent poorly planned moves and resulting incidents before they occur. Finally, there have been advances in pretrial procedures, such as holding arraignments and bond hearings over a video monitor. These monitors that are installed at the courthouse and the correctional facility reduce escape attempts by reducing the need to physically transport inmates from jail to courts. Inmates are able to communicate with their attorney and judge over the live video monitor.

It should be noted that correctional officers who are not trained and competent on the use of this new equipment and technology could create unsafe conditions. Cameras have blind spots, and correctional officers who are not aware of these put their fellow officers and inmates in jeopardy. Further, tools used to bring inmates into compliance

can be stolen or taken by inmates and used against correctional officers who are not competent utilizing their own equipment. Officers competent in the technologies that have been instituted at their facility create a safer and more secure environment for themselves, their coworkers and the inmates they are charged with supervising.

Heightened Media Focus on Life Inside Correctional Facilities

Jail, prison, penitentiary escapes, riots, uprisings, etc. all make significant media attention and account for the popularization of such shows such as HBO's "OZ" (Oswald State Correctional Facility), MSNBC's prison documentaries, "Lockup" and Fox's show "Prison Break" a drama about inmates who escape from Illinois State Prison. All these television shows renew interest in corrections and make lapses in correctional officer duties top stories. In fact, even untimely "attempted" escapes that make news may jeopardize not only the correctional officers who are directly dealing with the inmates, but also those who are responsible for training them, as well as the entire leadership and administration of the department or organization at fault. Political pressures may also begin to mount for a change in command after poorly trained officers are accused of brutality or failure to provide proper medical care for injured inmates. It is imperative that senior administration takes seriously the need for competent correctional officers in our enhanced media-savvy culture to avoid liability and maintain a safe and secure environment.

Status of Research for Correctional Officer Competencies

There has been limited research on evaluating Correctional Officer Competencies; however, basic training is offered to almost every correctional officer in every state who is employed by a jail, prison or correctional facility whether it is local, state or federal. The National Occupational Information Network (O*NET) lists tasks, skills, knowledge and abilities for correctional officers. A short sample includes:

Tasks:

- Monitor conduct of prisoners, according to established policies, regulations, and procedures in order to prevent escape or violence.

Knowledge:

- Knowledge of relevant equipment, policies, procedures, and strategies to promote effective local, state, or national security operations for the protection of people, data, property, and institutions.

Skills:

- Active Listening – Giving full attention to what other people are saying, taking time to understand the points being made, asking questions as appropriate, and not interrupting at inappropriate times.

Abilities:

- Problem Sensitivity – The ability to tell when something is wrong or is likely to go wrong. It does not involve solving the problem, only recognizing that there is a problem.

All of these tasks, knowledge, skills and abilities are necessary in developing the most competent of correctional officers. However, there is limited research in terms of evaluating whether these factors are the competencies that actual high-performing correctional officers utilize on a daily basis. More survey data from high-performing

correctional officers, expert correctional consultants and senior correctional facility

administrators are needed to confirm and verify the timeliness and accuracy of this data.

Competency Modeling

The rapid expansion of the jail and prison inmate populations has placed pressure

on local, state and federal governments and organizations to find creative ways of dealing

with the situation. According to the New York State Department of Civil Service:

> With diminishing resources and increasing demands, effective development
> and utilization of human capital is just as critical to state agencies' successful
> delivery of services as state-of-the-art technology. We need the right people
> with the right competencies at the right time, in conjunction with having the
> right systems and technology.

Competency modeling is a method of culling these "human capital" competencies.

Education and training for correctional officers has occurred at different speeds at

different levels of corrections – local, state and federal – as well as at different

jurisdictions, depending on their available resources and their willingness to invest in

training opportunities. Even so, the competencies needed to be high-performing

correctional officers of all levels in the correctional system are very similar and can be

modeled.

A competency model "describes the particular combination of knowledge, skills,

and characteristics needed to effectively perform a role in an organization and is used as a

human resource tool for selection, training and development, appraisal, and succession

planning" (Lucia & Lepsinger, 1999, p. 5). This level of performance or competence is

not to be understood as basic performance, but performance at the highest level.

There are many different methods of constructing a competency model. According to the Handbook of Competency Mapping (Sanghi, 2006, p. 22), different models include:

- Job Competence Assessment Method – This is developed using interviews and observations of outstanding and average performers to determine the competencies that differentiate between them in critical incidents.

- Modified Job Competence Assessment Method – This also identifies such behavioral differences, but to reduce costs, interviewees provide a written account of critical incidents.

- Generic Model Overlay Method – Organizations purchase an off-the-shelf generic competency model for a specific role or function.

- Customized Generic Model Method – Organizations use a tentative list of competencies that are identified internally to aid in their selection of a generic model and then validate it with the input of outstanding and average performers.

- Flexible Job Competency Model Method – This seeks to identify the competencies that will be required to perform effectively under different conditions in the future.

- Systems Method – This demands reflecting on not only what exemplary performers do now, or what they do overall, but also behaviors that may be important in the future.

- Accelerated Competency Systems Method – This places the focus on the competencies that specifically support the production of output, such as an organization's products, services or information.

There is no definitive list of core competencies or an accepted competency model for correctional officers available today, but there is a need for such a list and model. I will be using the "Systems Method" as mentioned above for the purposes of constructing a competency model to be utilized for the purposes of educating tomorrows' officers.

According to *The Art and Science of Competency Models*, there are many benefits to using a competency-based training and development system. Specifically, "using a competency model as the basis of a training and development system helps to avoid the short-term perspective...and ensures that the system focuses on the right things rather than the latest things" (Lucia and Lepsinger, 1999, p. 27). The authors identify four areas of benefit: (1) enables focus on relevant behaviors and skills; (2) ensures alignment of training and development; (3) makes the most effective use of training and development; (4) provides a framework for bosses and coaches.

These four areas can be looked at in more detail, beginning with the competency model's focus on relevant behaviors and skills. Correctional officers are persons with many different behaviors and skills that are directly related to their job such as the ability to communicate clearly. Competency modeling focuses on only those behaviors and skills that are directly related to excellent performance on the job.

The next area is ensuring alignment of training and development. Well-constructed competency models do not simply identify the behaviors and skills that are needed on the job; they also strive to identify behaviors and skills that support the mission, vision and strategic goals of the jail, prison, or other correctional facility. This is a necessary component when requesting resources to support the results of the competency model. If it can be shown that training based on the competency model will further the mission of the facility, administrators will be more willing to invest money and resources into providing this training for correctional officers.

The third benefit to using a competency model-based training and development system is that it makes the most effective use of your training and development programs and resources. Though you have identified the relevant behaviors and skills needed and you have the administration's support for training and development programs to be implemented, it would not be fully efficient to put every officer through every competency-based program. The competency model identifies competencies that may be strong in some officers and weak in others, and allows one to provide training opportunities based on the officers' different behaviors and levels of skill and ability. This is a more efficient approach than putting everyone through the same classes.

The final and fourth benefit to the model is that it provides a framework for bosses and coaches. It involves assisting in the "transfer-of-training" or the ability of the classroom instruction to impact a change in behavior on the job. The model gives supervisors a clear picture of the competencies of high-performing officers, and it provides for feedback that is consistent with what the officers have learned in their training and development programs. This will further help supervisors motivate and coach correctional officers to improve their behaviors and skills so they are able to meet their high-performance goals. It also allows for the efficient reinforcement of the mission and vision of the facility, which almost always emphasizes safety and security.

Developing Correctional Officers of the Future

In spite of the risks, correctional officers play a necessary role in the safety and security of our communities. As the future unfolds and overcrowding, gang activity,

advanced technology and increased media scrutiny of our jails and prisons continue, competent correctional officers must lead the way in managing these challenges. Management must be willing to invest in the training, education and development of officers if they expect these officers to perform at their highest potential. Senior administrators must be open to cross-training with other jurisdictions, schools, colleges and universities as well as taking advantage of other new on-line training opportunities as they present themselves. Finally, supervisors must facilitate the transfer of training through mentoring and coaching of officers once officers return to their facilities and work to achieve high-performance.

Chapter 3

Research Methods

Introduction

This research study is aimed at creating a list of core competencies that may be put into a competency model to determine the competencies for high-performing correctional officers of jails, prisons and other correctional facilities in the next five to ten years. The model I will be using closely resembles the "Systems Method" Model referenced in the previous chapter.

Research Questions

Primary Question:

1. What is the competency model that will allow for the development of high-performing correctional officers to manage inmates of jails and prisons safely and securely over the next five to ten years?

Secondary Question:

1. What are the core competencies involved in the Correctional Officer Competency Model?

Tertiary Question:

1. How does the Correctional Officer Competency Model compare, contrast and integrate with the Correctional Leadership Competency Model?

Systems Method Competency Model

The systems method competency model reflects what behaviors high-performers are exhibiting presently, overall and what behaviors will be needed in the future. Using

this approach I have culled core competencies through surveying high-performing correctional officers, expert correctional consultants, as well as senior correctional facility administrators. Each of these groups of individuals has knowledge about the necessary behaviors to excel at the position of correctional officer. Many of the competency models follow similar process formats; however, this model will be the best for our purposes.

Using the systems method of competency modeling to develop the Correctional Officer Competency Model, the core process was divided into eight steps. The first fives steps represent the data collection phase. The last three steps represent the application phase, specifically: assessment, implementation, and dissemination. Briefly, the steps are as follows:

Step One: Conduct preliminary research on the topic of correctional officer competencies (present competencies, overall competencies and future competencies). This step also involves identifying a group of high-performing correctional officers who will assist me in the development of a list of core competencies.

Step Two: Once the list of competencies has been identified, they will be put into a survey format with a Likert Scale for rating and validation purposes. Step two also involves having the original group of high-performing officers, who are most aware of the present competencies needed for success in a correctional environment, to individually rate each competency in the survey for validation.

Step Three: This step involves identifying a group of expert correctional consultants who are well versed in the field of corrections. These individuals are most aware of the overall competencies that are needed in correctional environments, and they will be asked to rate the survey of competencies for validation purposes as well.

Step Four: Step four requires the identification of a group of senior correctional administrators who have the most knowledge regarding future competencies for their organizations. They know where they want to steer their organization, what type of advanced technology they are hoping to purchase and implement, and what skills will be needed in the future. This final group will be asked to rate and validate the survey.

Step Five: After the competencies have been validated by each of the groups, the competencies will be grouped into clusters and roles, assigned titles and given a definition to explain their meaning.

Step Six: Once the competencies have been clearly defined they will be assessed in terms of the Correctional Leadership Competency Model for comparison purposes.

Step Seven: The results will be unified and recommendations for implementation of the results will be made.

Step Eight: In this final eighth step means of disseminating the results will be discussed to provide a blueprint for developing tomorrow's correctional officers.

Content Validity

This research is intended to be applicable to any and all jails, prisons and correctional facilities in the United States. The model proposed cannot simply be valid

for the Chesterfield County Sheriff's Office for it to have widespread application.

The Uniform Guidelines on Employee Selection Procedures (UGESP) explains content validity in the following way:

> To demonstrate the content validity of a selection procedure, a user should show that the behavior(s) demonstrated in the selection procedure are a representative sample of the behavior(s) of the job in question or that the selection procedure provides a representative sample of the work product of the job.

UGESP goes on to say:

> Notice that in both cases the key to the definition is the idea of a representative sample. Just as measures of relationships (such as the correlation coefficient) are at the core in evidence supporting criterion-related validity, the nature and quality of the sampling process is central in providing evidence of content validity. The most important implication of the centrality of the sampling process is the truism that whatever is sampled is a member of the domain from which the sample is drawn.

In other words, for the correctional officer competency model to have content validity the sampling process, or the core competency collection process, must be done by "member[s] of the domain." The domain is the field of corrections and the members who are knowledgeable about this domain are the high-performing correctional officers, the expert correctional consultants and the senior correctional administrators. For example, if firefighters had been used to determine the competencies for correctional officers, the content of the survey and model would be invalid.

Data Collection

Triangulation is "the application and combination of several research methodologies in the study of the same phenomenon" (Fitzgibbons, 2006). It is useful

because, "by combining multiple observers, theories, methods, and empirical materials, researchers can hope to overcome the weakness or intrinsic biases and the problems that come from single method, single-observer, single-theory studies" (Fitzgibbons, 2006). I have applied this method by utilizing three separate groups of subject-matter experts to formulate the data.

Regarding the eight competency model steps outlined above, I will now delve into more detail regarding the first five steps that represent the data collection phase.

Step 1

I conducted some preliminary research on the topic of correctional officer core competencies and chose eight correctional officers (and four alternates) that I identified as high-performers from the Chesterfield County Sheriff's Office. These officers were asked to create an initial list of core competencies needed for correctional officers to manage inmate populations inside jails, prisons and correctional facilities in the next five to ten years. A list of the participants is included as Appendix A-7.

Performance criteria for the high-performing correctional officers were based on the following: supervisor recommendations, performance evaluations, specialized and/or advanced training, and receipt of awards and recognition. Individuals were specifically chosen based on sustained high-performance over the past year regardless of their years of experience or seniority with the department.

The eight high-performing correctional officers that were asked to participate in the group competency development workshop were all told that their participation was

completely voluntary, that they were not obligated to participate in the study, and there would be no retribution for their failure to participate.

The eight participants were given initial background on the definition of a competency. They were given paper and pencils and separated into groups of two, and the four groups of two brainstormed lists of as many competencies as they could think of in a 30-minute period. After all the groups acknowledged that they had an exhaustive list, each group's competencies were written on the whiteboards surrounding the classroom. The high-performing correctional officers examined the list and were given the opportunity to add, subtract or combine competencies that were duplicated. Once a final list was agreed upon, I transferred the information to my computer for analysis.

Step 2

There were 54 competencies gathered. Step two involved formatting the list of competencies so they could be rated in a survey format; a four-point Likert Scale was used for this process. The scale consisted of: 1 = strongly disagree, 2 = disagree, 3 = agree, 4 = strongly agree. The survey was created using "surveymonkey" formatting and all responses were gathered on-line. An example of the format appears below:

	Strongly Disagree	Disagree	Agree	Strongly Agree
Diffuse situations before they escalate	1	2	3	4
Conduct yourself in a professional manner at all times	1	2	3	4

The high-performing correctional officers were asked to rate the list of competencies for validation purposes. Competencies that received mean ratings of less than 2.5 were eliminated from the list. These responses represent the first group of results.

Step 3

Eight expert correctional consultants who are highly regarded in their field and possess considerable experience in the corrections industry were asked to participate in this study. This group was sent the on-line version of the survey and responded within one week of receiving the survey. Any competency that received a mean rating of less than 2.5 was eliminated from the list. These responses represent the second group of results.

The expert correctional consultants chosen were from a broad range of experts and are leaders in their fields. There is diversity in terms of organizations represented, which should help generalize the results. A list of the experts and their credentials is listed as Appendix A-10.

Step 4

The next step involved submitting the survey to 16 senior correctional administrators who are listed as Appendix A-12. This group represented a diverse group from across the nation. The administrators represented the following states: Ohio, New Jersey, Virginia, Texas, Tennessee, Florida, New Mexico, Idaho, Arizona and New York.

The number of states represented shows the diversity in range of opinions gathered and minimizes concerns of bias in the sample. These senior correctional administrators were sent the on-line survey and completed it within two weeks of receipt. Any competency that received a mean rating of less than 2.5 was eliminated from the list. These responses represent the third group of results.

Step 5

The third group of results was reviewed and the competencies were placed into clusters and roles. Each role was given a title and definition to clarify its specific meaning. This was the final stage of the data collection process. In the next chapter an analysis of the specific survey results is displayed and we will delve into the details of the application phase: assessment, implementation and dissemination of the results.

Chapter 4

Analysis of Results

Introduction

Over a three-month period of time I collected data from three different groups of subject-matter experts to determine the competencies required to effectively manage inmates in correctional facilities today and into tomorrow. This chapter reviews the findings and answers the primary, secondary and tertiary research questions of this study.

Review of Results

Step 1: Develop a List of Core Competencies

There were eight high-performing correctional officers selected and all eight responded positively to the request to participate. Unfortunately, one of the eight could not attend and an alternate was chosen. This alternate participated and this allowed for a 100% response rate. The group created a list of 54 competencies. These competencies are listed in Appendix A-17 (Table 4.1). The competencies are in the order taken from the final list developed at the competency workshop.

Step 2 Validation by High-Performing Correctional Officers

Appendix A-18 contains Table 4.2 that shows the average rating for each competency as determined by the high-performing correctional officers group as well as the other two groups. There were no additions or deletions from the original 54 core competencies after the high-performing correctional officers validated the list. The

average ratings ranged from a high of 4.00 to a low of 3.38; the mean rating for all the

responses was 3.73. In the opinion of the high-performing correctional officers, the ten

competencies that received the highest ratings were:

Highest Rated Competencies:

1. Diffuse situations before they escalate. (4.00)
2. Conduct yourself in a professional manner at all times. (4.00)
3. Know the inmate handbook and know what is authorized and what is unauthorized. (4.00)
4. Pay attention to detail. (4.00)
5. Lead by example. (4.00)
6. Know the facility's contingency plans in emergency situations. (4.00)
7. Know your use of force policy. (4.00)
8. React to emergency situations with the least amount of force necessary to control the situation. (4.00)
9. Check, double-check, and triple-check that your firearm is unloaded prior to breaking it down. (4.00)
10. Safely perform your duties so inmates and coworkers are in a safe and secure environment. (4.00)

In the opinion of the eight high-performing correctional officers, the five

competencies that received the lowest ratings were:

Lowest Rated Competencies:

1. Interact with inmates to know their mindset. (3.38)
2. Know how and when to correct fellow deputies. (3.38)
3. Delegate authority accordingly. (3.38)
4. Express yourself so you can get to the point without rambling. (3.38)
5. Write proposals that are recognized as possible ways to improve duties and the general operation of the facility. (3.38)

An item analysis of each core competency rating reveals that zero core competencies

received a "2" or "1" rating. So, out of 432 possible ratings, zero (0) responses were

negative. Therefore, there was no disagreement among the high-performing correctional officers.

Step 3 Validation by Expert Correctional Consultant Group

There were no additions or deletions from the original 54 core competencies created by the high-performing correctional officers that were supplied to the expert correctional consultants. All eight expert consultants that were chosen responded positively to the study; however, one was unable to participate. The first alternate I contacted was positive about the study, but unable to participate. The second alternate was unable to be reached. The third alternate was able to participate and allowed me to reach my target response rate of eight expert correctional consultants. The average ratings ranged from a high of 4.00 to a low of 2.88; the mean rating for all the responses was 3.60. In the opinion of the expert correctional consultants, the seven competencies that received the highest ratings were:

Highest Rated Competencies:

1. Conduct yourself in a professional manner at all times. (4.00)
2. Communicate clearly with inmates and your co-workers. (4.00)
3. Keep high standards and do not lower yourself to inmate behaviors or standards. (4.00)
4. Act with no reservation when given orders in emergency situations (as long as they are legal and moral.) (4.00)
5. Check, double-check, and triple-check that your firearm is unloaded prior to breaking it down. (4.00)
6. Safely perform your duties so inmates and co-workers are in a safe and secure environment. (4.00)
7. Document unusual behavior, events or situations in a timely manner. (4.00)

In the opinion of the eight expert correctional consultants, the seven competencies that received the lowest ratings were:

Lowest Rated Competencies:

1. Assert self with inmates and let them know what they need to do and what the consequences will be if they refuse. (2.88)
2. Interact with inmates to know their mindset. (2.88)
3. Write proposals that are recognized as possible ways to improve duties and the general operation of the facility. (3.00)
4. Analyze different behavior patterns among inmates (too quiet/too loud, etc.) (3.13)
5. Know how and when to correct fellow deputies. (3.13)
6. Discuss with co-workers "what if" scenarios. (3.13)
7. Keep proper posture in front of inmates. (3.13)

An item analysis of each core competency rating reveals that six core competencies received at least one "2" rating. Out of these six, three of competencies receive duplicate "2" ratings; two out of the six competencies received a single "2" rating; one of the six competencies received a triple "2" rating. There was only one competency that rated a single "1". Out of 432 possible ratings, 12 responses were negative; therefore, only 3% of the responses revealed disagreement among the expert correctional consultants.

Step 4 Validation by Senior Correctional Administrators

The author received a positive response from all but one of the 16 senior correctional administrators solicited for participation in this research study. One administrator was unable to be reached. Fortunately, the first alternate was able to complete the survey and allow for a 100% response rate. Step four did not result in the elimination of any competencies. The average ratings ranged from a high of 4.00 to a

low of 3.31; the mean rating for all the responses was 3.75. In the opinion of the senior

correctional administrators, the nine competencies that received the highest ratings were:

Highest Rated Competencies:

1. Conduct yourself in a professional manner at all times. (4.00)
2. Lead by example. (3.94)
3. Keep a firm but fair presence with inmates. (3.94)
4. Keep high standards and do not lower yourself to inmate behaviors or standards. (4.00)
5. Know the facility's contingency plans in emergency situations. (3.94)
6. Know your use of force policy. (4.00)
7. Check, double-check, and triple-check that your firearm is unloaded prior to breaking it down. (3.94)
8. Represent the department and the law enforcement profession by presenting a positive and professional attitude. (4.00)
9. Safely perform your duties so inmates and co-workers are in a safe and secure environment. (4.00)

In the opinion of the senior correctional administrators, the five competencies that

received the lowest ratings were:

Lowest Rated Competencies:

1. Interact with inmates to know their mindset. (3.44)
2. Discuss with coworkers "what if" scenarios. (3.44)
3. Experiment with new equipment that is intended to make things safer (search gloves, etc.) (3.31)
4. Express yourself so you can get to the point without rambling. (3.50)
5. Write proposals that are recognized as possible ways to improve duties and the general operations of the facility. (3.38)

Step 5: Identifying Competency Clusters and Roles

These steps resulted in the development of five clusters of competencies. The clusters were broken down as follows: (1) the commander, (2) the intelligence officer, (3) the negotiator, (4) the professional, and (5) the architect. The title for each cluster uniquely characterized the range of competencies located within the cluster. These clusters are discussed in detail later in this chapter.

Research Questions

The purpose of this research study was to develop a competency model comprised of a set of core competencies that were required for high-performing correctional officers to successfully lead the correctional facilities of the future. To accomplish this, the study attempted to answer primary, secondary and tertiary questions. The data has been complied, ordered and reviewed at this point and I can now answer more fully these questions.

Primary Question: What is the competency model that will allow for the development of high-performing correctional officers to manage inmates of jails and prisons safely and securely over the next five to ten years?

Five unique components comprise the High-Performing Correctional Officer Competency Model. The components are comprised of clusters of competencies. Each cluster has been assigned a role-title and a short definition that characterizes the primary

focus area for that cluster. The Correctional Officer Competency Model is represented in the following way:

Cluster 1: The Commander: The role of the commander is to take charge, make decisions and get the job done. This officer leads by example and puts policy and procedure into practice everyday. They make themselves visible to inmates or prisoners, give commands and act as the workhorses of their shift.

Cluster 2: The Intelligence Officer: The role of the intelligence officer is to gather, analyze and provide knowledge and understanding to other officers. He or she must be willing to listen, gather and organize data. The intelligence officer conducts research on best practices and disseminates this information.

Cluster 3: The Negotiator: The role of the negotiator is to speak, write and communicate with others effectively. Negotiators may not know all the answers or have all the information, but they are willing to express their ideas and the ideas of others. They act as mentors and coaches to their fellow officers and are able to diffuse difficult situations with humor, tact or diplomacy.

Cluster 4: The Professional: The role of the professional officer is to project a professional appearance and posture as well as moral and positive attitude. They are fair but firm, arrive on time, are well dressed, avoid the use of profanity and are committed to the mission and goals of the department as well as the community. They are committed to making a difference and feel a social and ethical responsibility towards the rehabilitation of the inmates they supervise and the well being of their fellow officers.

Cluster 5: The Architect: The role of the architect is to create and manage teams and teamwork amongst their fellow employees. The architect is also attuned to personal, political and other issues facing inmates, co-workers and supervisors. He or she helps identify individuals who may need additional structure or support in their lives and offers helpful suggestions. The architect is able to coordinate and design structurally sound teams that will stand together through the most difficult situations.

Secondary Question: What are the core competencies involved in the Correctional Officer Competency Model?

There were 54 core competencies identified and verified as part of the Correctional Officer Competency Model. These competencies were divided into clusters based on input from the original group of high-performing correctional officers; the number of competencies that are associated with each cluster varies. I have identified which competencies are associated with which clusters below. This final stage of clustering represents the essence of the Correctional Officer Competency Model; the clusters and their competencies are as follows:

Cluster 1: The Commander: The role of the commander is to take charge and make decisions, to get things done. This cluster includes the following competencies:

1.   **Deescalation:** Diffuses situations before they escalate.

2.   **Assertive:** Asserts self with inmates and lets them know what they
       need to do and what the consequences will be if they refuse.

3. **Commands:** Gives instructions with clarity and simplicity with no room for doubts.

4. **Implementation:** Implements policies and procedures correctly and effectively.

5. **Exemplify:** Leads by example.

6. **Presence:** Makes self visible to inmates.

7. **Delegation:** Delegates authority accordingly.

8. **Unwavering:** Holds ground when dealing with inmates.

9. **Follow-through:** Acts with no reservation when given orders in emergency situations (as long as they are legal and moral).

10. **Efficient:** Reacts to emergency situations with the least amount of force necessary to control the situation.

11. **Prepared:** Prepares for unusual events such as bomb threats, fires, riots, etc.

12. **Actionable:** Takes the lead and initiative in getting things done.

Cluster 2: The Intelligence Officer: The role of the intelligence officer is to gather and analyze information. This cluster includes the following competencies:

13. **Analysis:** Analyzes different behavior patterns among inmates (too quiet/too loud, etc.)

14. **Informative:** Knows the inmate handbook and what is authorized.

15. **Detailed:** Pays attention to detail.

16. **Keen:** Interacts with inmates to know their mindset.

17. **Teachable:** Is willing to learn from knowledgeable and experienced officers.

18. **Tactful:** Knows how and when to correct fellow deputies.

19. **Listener:** Listens to constructive criticism about self and tries to learn from it.

20. **Aware:** Knowledgeable of warning signs for security threats or when violence has occurred.

21. **Examiner:** Experiments with new equipment that is intended to make things safer (search gloves, etc.)

22. **Organized:** Collects pass-on information during duties and remembers it so it can be repeated to the relief officer.

23. **Emergency Ready:** Knows the facility's contingency plans in emergency situations.

24. **Purposeful:** Knows what needs to be done and acts with a sense of purpose.

25. **Procedural:** Knows use of force policy.

26. **Knowledgeable:** Understands the needs of the community, citizens and inmates and how each group needs to be treated.

Cluster 3: The Negotiator: The role of the negotiator is to speak, write and communicate with others effectively. This cluster includes the following competencies:

27. **Communicator:** Communicates clearly with inmates and co-workers.

28. **Mentor:** Mentors to other less senior correctional officers and the public.

29. **Dialogue:** Discusses with coworkers "what if" scenarios.

30. **Respectful:** Respects inmates to earn respect for self.

31. **Expressive:** Expresses self in order to get to the point without rambling.

32. **Documentor:** Writes proposals that are recognized as possible ways to improve duties and the general operation of the facility.

33. **Scribe:** Documents unusual behavior, events or situations in a timely manner.

Cluster 4: The Professional: The role of the professional officer is to project a professional appearance and posture as well as moral and positive attitude. This cluster includes the following competencies:

34. **Professional Conduct:** Conducts self in a professional manner at all times.

35. **Firm but Fair:** Keeps a firm but fair presence with inmates.

36. **Proper:** Keeps proper posture in front of inmates.

37. **Standard-Based:** Keeps high standards and does not lower self to inmate behaviors or standards.

38. **Committed:** Is committed to the department and community.

39. **Impactful:** Feels like he or she is making a difference.

40. **Proud:** Enjoys the type of work he or she does.

41. **Ethical:** Possesses strong character and high morals.

42. **Consistent:** Checks, double-checks, and triple-checks that their firearm is unloaded prior to breaking it down.

43. **Positive:** Represents the department and the law enforcement profession by presenting a positive and professional attitude.

44. **Supporter:** Supports the department's goals and assists others in achieving them.

45. **Safety Conscious:** Safely performs duties so inmates and co-workers are in a safe and secure environment.

46. **Focused:** Stays focused on job while at work.

Cluster 5: The Architect: The role of the architect is to create and manage teams and teamwork amongst their fellow employees. This cluster includes the following competencies:

47.   **Prioritizer:** Prioritizes daily functions, events and emergency situations.

48.   **Anticipatory:** Anticipates possible or potential actions from inmates.

49.   **Adaptable:** Adjusts and is adaptable to many different types of situations.

50.   **Balanced:** Balances home and work life so that the two do not counteract each other and cause stress.

51.   **Multitasker:** Manages several tasks at once.

52.   **Evaluator:** Evaluates situations accurately and thoroughly in a timely manner.

53.   **Collaborator:** Utilizes the strength and abilities of co-workers to accomplish daily responsibilities.

54.   **Teambuilder:** Works as a team with other officers to get the job done.

The clusters in combination with the core competencies identified by the high-performing correctional officers in this Correctional Officer Competency Model reveal the necessary competencies for training, educating and developing high-performing correctional officers for today and into the future.

Tertiary Question: How does the Correctional Officer Competency Model compare, contrast and integrate with the Correctional Leadership Competency Model?

As discussed in the introduction, the Correctional Leadership Competency Model was a product of the U.S. Department of Justice and the National Institute of Corrections.

The model identified 37 core competencies and clustered these competencies into

qualities which I took the additional step of defining as roles:

Correctional Leadership Qualities   **Correctional Leadership Roles**

1. Self-Awareness   The Self-Aware Leader
2. Ethics and Values   The Ethical Leader
3. Mission and Vision   The Mission Conscious / Visionary Leader
4. Strategic Thinking   The Strategic Thinker
5. Managing the External Environment   The External Environment Manager
6. Planning and Evaluating   The Planner and Evaluator
7. Collaboration   The Collaborator
8. Team Building   The Team Builder
9. Power and Influence   The Power and Influence Leader

At this point, one may compare the Correctional Leadership Roles with the Correctional

Officer Competency Model Roles. I have used the same leadership roles, but varied their

order to highlight how the two models may be compared:

Correctional Officer Competency Roles   **Correctional Leadership Roles**

1. Commander---------------------------------The Self-Aware Leader
                                             The Planner and Evaluator

2. Intelligence Officer-------------------------The Strategic Thinker
                                             The External Environment Manager

3. Negotiator--------------------------------The Power and Influence Leader

4. Professional------------------------------- The Ethical Leader
                                             The Mission Conscious / Visionary Leader

5. Architect----------------------------------The Collaborator
                                             The Team Builder

This organization of roles fits fairly well and highlights the common themes in both

models. The Commanders are self-aware in the sense that they are aware of their own

strengths and weaknesses and the degree of capability they bring to the job. They are also able to plan, implement and evaluate projects as well as the success or failure of their work.

The Intelligence Officers are strategic thinkers and use detailed information gathered from various sources to solve complicated problems. They may also be seen as external environment managers in terms of their ability to research outside best practices and gather information from other agencies.

The Negotiators may not seem like the first choice for the power and influence leader; however, the negotiators are often able to not only discuss issues with inmates, prisoners and co-workers, they are also able to communicate their needs and desires fluidly with supervisors and administrators. Their ability to communicate so well with administrators gives them power and influence to get changes implemented.

The Professionals are primarily concerned with acting in an ethical manner in all that they do. They are acutely aware of the difference between ethical and unethical behavior and where the boundary lines are drawn; they are also clear on the mission, vision and goals of the department they work for. They are committed to aligning themselves and everything they do with the mission of the department for which they work.

The Architects are able to build teams with different personalities and make the operation safe and strong using the innate abilities of everyone. They are concerned with all aspects of their co-worker's lives, and with finding ways to collaborate with all the

employees they work with to develop strong relationships and strong teams that foster a positive culture for the high-performing correctional officers to operate within.

Although the Correctional Officer Competency Model was created independently of the Correctional Leadership Competency Model, they both share many similarities in their framework. The results of both models provide a clear guide towards developing training and educational tools, as well as partnerships with other agencies and learning institutions to developing high-performing correctional officers who will be able to successfully manage the inmate populations of the future.

Implementation: Tactics and Strategies

With the information that has been presented above, it is recommended that this information be used at my organization, the Chesterfield County Sheriff's Office, through taking the following steps: (1) Begin with by reaffirming the mission, vision and strategic goals of the organization. (2) Conduct a needs assessment for both new recruits as part of their academy training and all other employees as part of the "mandatory in-service" training that is offered each year. (3) Compare the employee results with the competencies outlined in the Correctional Officer Competency Model. (4) Select training and educational programs and opportunities that will develop employees in those competencies in which they are deficient. This includes partnering with Chesterfield University and other organizations. (5) Send officers to the chosen schools and classes. (6) Conduct an evaluation once officers have received training and have begun to put it into practice. This is the reassessment phase to make sure there was a transfer-of-

training. If there is a major change in the external environment, strategic goals may need

to be adjusted and the process would begin again. It is my belief that these recommended

actions will improve the Chesterfield County Sheriff's Office tremendously by

developing the potential of all their officers to achieve high-performance. A strategic

systems model of this process is shown in Figure 5.1. This strategic systems model

identifies how the Correctional Officer Competency Model may be put into practice.

FIGURE 5.1

The Correctional Officer Competency Model Development Subsystem of the Strategic

Systems Model
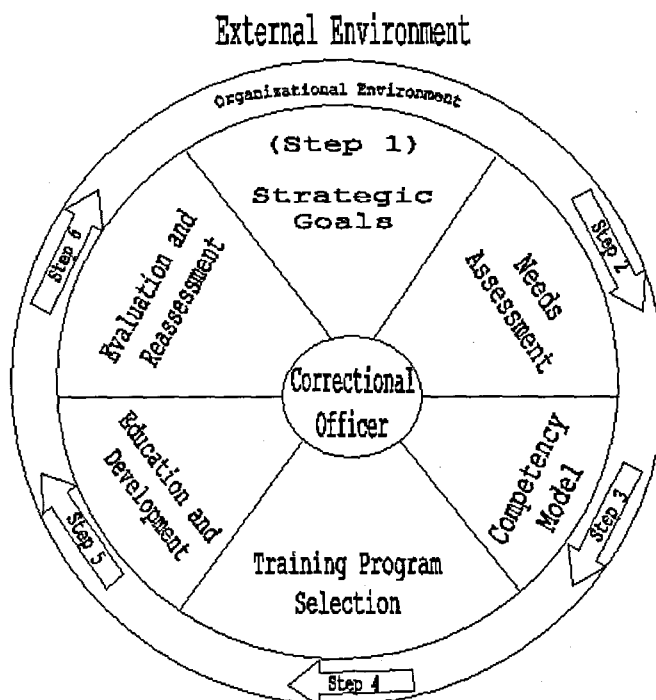
Dissemination

      The results of this study will be presented to Sheriff Clarence G. Williams Jr. and

Undersheriff Lieutenant Colonel Dennis S. Proffitt of the Chesterfield County Sheriff's

Office for the benefit of all the high-performing officers under their command.

Chapter 5

Conclusion

Introduction

In the early days of corrections, competencies were learned on the job by trial and

error with no formal training. In today's more advanced, faster-paced and more

dangerous correctional environment, competencies are best gained through training and

educational programs. These programs must be supported by management and may be

facilitated initially through basic training before continuing to more advanced training

opportunities. The results of this study will have minimal impact unless there is a

concerted effort to utilize the Correctional Officer Competency Model by all the

following participants: the correctional officers themselves, the supervisors of

correctional officers and the administrators of correctional facilities. A plan needs to be

developed by the administrators; the correctional officers need to work on the plan, and

the supervisors need to support the correctional officers once they return from training.

Faculty, Institutions and Accreditors' Role in Educating Tomorrow's Officers

"We are in the early stages of a learning revolution" according to Richard A.

Voorhees (2001, p. 5), who says:

> The pathways to learning no longer lead automatically to traditional
> institutions of higher education. Instead they lead most directly to learning
> opportunities in which competencies are defined explicitly and delivery
> options are multiple. This new paradigm will ultimately redefine the roles of
> faculty, institutions, and accreditors.

In essence, faculty, educational institutions and accreditation bodies must recognize that there are an increasing number of learning opportunities in non-traditional formats such as those that are on-line and Internet based. These educational opportunities may not be accredited and they may not be listed in the Integrated Postsecondary Data System (IPEDS) of the U.S. Department of Education; however, they do provide specific competency-based training that allows their participants to improve their knowledge, skills and abilities—competencies that correctional officers can use in today's dangerous and demanding work environments.

Administrators' Role in Correctional Officer Development

According to the book *Correctional Officers in America*, there has been a proliferation of criminal justice education programs. "The number of criminal justice programs at community colleges and universities has increased from 40 institutions granting associates degrees in 1960, to over 1000 in 1990" (Walters, 2006, p. 207). Further, "the number of colleges and universities granting [criminal justice] undergraduate degrees increased from 15 to 687 and graduate degrees increased from 15 to over 150" (Walters, 2006, p. 207). Clearly, formal educational opportunities in the field of criminal justice are abundant.

There are also many effective programs offered through government agencies. For example, the Arizona Department of Corrections offers a Correctional Officer Training Academy that provides a "Prison Simulator" that gives correctional officers hands on experience with role-playing scenarios. They offer courses in "Ethics and

Professionalism; Inmate Management; Legal Issues; Communication; Officer Safety; Applied Skills; Security, Custody and Control; [as well as] Conflict and Crisis Management" (Arizona, 2006). It is up to the administrators at each correctional facility to decide which training and educational opportunities will best develop the competencies of their correctional officers.

Another aspect to the administrator's role in developing correctional officers, is they need to make sure they are clearly communicating the mission and vision of the department to their supervisors and that the mission is aligned with the competencies that are being taught. Supervisors will be much more willing to support their staff of correctional officers if they are aware that it is encouraged by their command staff. Senior administrators are also encouraged to be "the public advocate, leader, and facilitator for creating an institutional culture that is open to change, is willing to take risks, and fosters innovations by providing real incentives for participants" (Voorhees, 2001, p. 12).

Supervisors' Role in Correctional Officer Development

Supervisors of high-performing correctional officers must be as committed to the benefits of the education and training as the administrators who are funding the programs. The goal of the administrator is to have a high-performing workforce. The goal of the supervisor is to have a high-performing unit. Supervisors need to have an understanding of the Correctional Officer Competency Model, the specific competencies that are

lacking in each of their subordinates, and the training opportunities available for improving their correctional officer's competencies.

Supervisors must be adequately trained themselves in management techniques such as management by walking around (MBWA). They must be able to identify the strengths and weaknesses of their employees and be adequately trained in coaching and mentoring techniques to compliment and reinforce the competency training that correctional officers are receiving. This is the most effective way to ensure there is a transfer-of-training from the competency-based learning initiatives back to the correctional facility.

Correctional Officers' Role in Personal Development

Correctional Officers must be committed to improving those competencies that are outlined in the Correctional Officer Competency Model in which they are deficient. This may take some humility to admit they are less competent in some areas than in others and that they can use some improvement; however, if administration is providing incentives for improved competencies and supervisors are encouraging correctional officer's development, it will transform the learning experience into something that is sought by officers. It will develop a high-performing workforce. The correctional facility is a dangerous environment, and although training and education will not remove the inherent dangers, they will give officers tools and techniques for managing these situations, keeping themselves and the inmates they supervise as safe and secure as possible.

Summary

This study spanned the history of corrections in Chesterfield County, Virginia, to the present challenges facing correctional officers including overcrowded facilities, gang activity, technological advances, and heightened media attention. It is in this context that a Correctional Officer Competency Model was proposed. Eight high-performing correctional officers were chosen to create an initial list of core competencies. This list was rated and validated by the initial group as well as by eight expert correctional consultants and sixteen senior correctional administrators. The validated competencies were then broken down into clusters and roles. The Correctional Officer Competency Model was compared to the Correctional Leadership Competency Model and shown how the two compliment one another. The primary roles established were: the commander, the intelligence officer, the negotiator, the professional and the architect. Finally, recommendations were made for implementation and dissemination of the results to the Chesterfield County Sheriff's Office. Effective application requires the support of administrators, correctional officers themselves and their supervisors. It is my hope that the model represents a practical guide for developing high-performing correctional officers.

Personal Learning

There was an enormous amount of information and knowledge that I personally learned from completing this project that I did not already know. First, I was completely

unaware of the concept of competency modeling prior to taking on this project and I have since learned and been impressed with its applicability to many different organizational issues. I focused on training and development; however, there are many other benefits to the use of a competency model such as appraisal, selection and succession planning.

Second, I was very surprised at the number of competencies involved in the job of a high-performing correctional officer. Most correctional officers are only required to have a high school diploma and most development is through trial and error on-the-job. The trial and error approach does not appear to be as focused and efficient as identifying the competencies needed and delivering training opportunities aimed at improving those core competencies. I can now see the effectiveness of competency modeling.

Third, this project has opened my eyes to the history of not only the Chesterfield County Sheriff's Office, but the history of crime, punishment and the entire field of corrections. Correctional facilities in many ways represent the absence of freedom for certain individuals in our society. I feel that as freedom continues to be a hallmark of our way of life in our developing society, so too will safe and secure incarceration be a hallmark of correctional institutions as they continue to develop high-performing correctional officers to maintain this balance.

Clarence G. Williams, Jr.
Sheriff

Lt. Colonel Dennis S. Proffitt
Undersheriff

Chesterfield County, Virginia

Appendix A-1

To: Sheriff Clarence G. Williams, Jr.

From: Sergeant Douglas W. Murphey, II

Date: September 5, 2006

Subject: Authorization for Thesis Research

I am writing to request authorization to conduct research for my thesis as part of the Masters Program in Human Resource Management through the University of Richmond. The proposal involves selecting a focus group of high-performing deputies and having them collaborate on a list of core competencies needed to perform in a correctional environment. (This focus group would be voluntary and would not involve any requests for compensation or overtime.) After the deputies collaborate on the list of competencies I will create a survey based on these competencies and submit the survey to one or more groups of consultants and to a group of correctional administrators at other correctional facilities for validation. At the conclusion of the project I will make the research available to the Chesterfield County Sheriff's Office and offer to conduct a presentation on the material. If you have any questions or concerns, please do not hesitate to contact me at murpheyd@chesterfield.gov or (804) 380-8593. Thank you for your consideration.

_____
Sheriff/Designee

_____
Sergeant Douglas W. Murphey II

Appendix A-2

1. Last Name: Murphey

2. First Name: Douglas

3. Date: 9-5-06

4. Are you student, faculty, staff or other? Student

5. If other, explain: N/A

6. Faculty Mentor: Dr. Robert S. Kelley

7. Is this for a class? Yes

8. If yes, give department name and course number:
Graduate School of Continuing Studies/HRM and CRN: 18807

9. Project title:
COMPETENCIES FOR CORRECTIONAL OFFICERS OF JAILS AND PRISONS

10. Surveys, Interview, or Both? Both

11. Describe how subjects will be chosen.
For the interview, subjects will be chosen based on their seniority with the Chesterfield County Sheriff's Office to shed light on the history of the department.

For the survey, three groups will be chosen to complete the survey:
1) A group of high-performing correctional officers from my organization, the Chesterfield County Sheriff's Office, will be chosen based on recent recognition for exemplary service and/or supervisor recommendations.
2) A group of correctional consultants will be chosen based on their experience, specialization and recognition in working with law enforcement agencies.
3) A group of correctional facility administrators will be chosen based on their experience and reputation for running a model correctional facility.

12. Describe how the survey/interview will be administered.
The interview will be will be conducted in person with the consent of the interviewee at the Chesterfield County Sheriff's Office.

The survey will be prepared through an on-line format such as zoomerang.com or surveymonkey.com

All three survey groups will be asked to rate the competencies of a high-performing correctional officer.

13. Describe how the results will be disseminated. (Published paper, internet site, A&S Symposium, etc.)
The results of the survey will be disseminated by published paper and internet viewing.

14. Describe how you will ensure that the responses are anonymous, or if you cannot guarantee anonymity, describe the measures used to guarantee confidentiality.
Strict anonymity is not desirable in this study as all participants' names and organizations will be available in the appendices of the thesis. However, specific individual responses/ratings of competencies will not be made available and all ratings will be analyzed in aggregate.

15. Include (copy and paste below) a copy of the informed consent form. In some cases, particularly in the case that the consent form is the only place in which a subject is identified, having the consent form signed may be waived. IN ALL CASES a consent form must be provided to the subject. A listing of what must be included in a consent form and examples are found at (see web address).
SEE ATTACHMENT

16. Include (copy and paste below) all survey questions or a description of the interview questions. In the case of surveys, the questions should be submitted exactly as they will appear to the research subject.

The interview will be informal and only include the following three questions:
1) How have the duties of a correctional officer evolved over time at this facility?
2) How has the correctional facility environment evolved over time?
3) Have you noticed any changes in the inmate population or behavior over time?

The survey will be created after an initial focus group of high-performing correctional officers collaborates on a list of competencies. I anticipate the survey to have four ratings: Strongly agree, Agree, Disagree, and Strongly Disagree. I estimate there will be between 30 and 60 competencies, which will be rated and take the form of the following three examples:
1) Knowledge of the law.
2) Skilled in verbal de-escalation techniques.
3) Ability to stay alert while working non-traditional hours.

Appendix A-3

University of Richmond
Department of Human Resource Management

Informed Consent Form

HRM 540U: Thesis: Competencies for Correctional Officers of Jails and Prisons

Principle Investigator: Douglas W. Murphey II
For: Dr. Robert S. Kelley
Fall 2006

The purpose of this study is to determine the competencies for correctional officers of jails and prisons. A focus group of high-performing correctional officers has met to collaborate on an original list of competencies. I am requesting your participation, either as a high-performing correctional officer, an experienced correctional consultant or a model jail/prison administrator in completing a survey that involves rating these competencies. The original focus group session lasted for approximately 1-2 hours. The survey should last approximately 15-20 minutes.

The project involves no physical discomfort or risk to any participant. Steps will be taken to ensure that all information gathered will be held in the strictest of confidence.

Investigators
The principal investigator in this study is Douglas Murphey. I am supervised by Dr. Roberts S. Kelley in the Department of Human Resource Management at the University of Richmond. Should you have any questions or concerns, please contact me at douglas.murphey@richmond.edu or (804) 380-8593 or Dr. Kelley at bob@pureculture.com.

Voluntary Participation
Your participation in this thesis project is voluntary and you are free to withdraw your consent and discontinue participation in the project at any time without penalty. If at any point you are uncomfortable answering a question that I or any other participant poses, you are free to refuse to comment. We will be courteous and understanding and will not pursue the matter any further. The information will be used for research purposes only. We will not attribute the information to you, either in this study or in any other publication, paper, interview, or work.

Confidentiality of Records
In order to ensure the confidentiality of records, we will pool all responses and report the data as a whole; no individual responses will be disclosed. Participants will not be identified by numbers, rank, gender or any other designation. A list of your name

address and organization will be included only in the appendicies to cite you as a participant. Results will be reported in group/aggregate form only.

Participant's Rights Information

As a participant in the study, you have a right to be informed about the results of the research and how the information you have submitted will be used. If you wish, you may have the right to review the results of the research before it is presented or otherwise made public. You have the right to respond to make comments, and such responses or comments will be appended to any written or digital form of the results that is made public.

If you have any questions concerning your rights as a research subject, you may contact the Chair of the University of Richmond's Institutional Review Board for the Protection of Research Participants at 289-8417.

Participant's Consent

The study has been described to me and I understand that my participation is voluntary and that I am free to withdraw my consent and discontinue my participation in the project at any time without penalty. I also understand that, if I experience discomfort or distress during the course of the study because of sensitive issues that are raised, I am encouraged to call the University counseling center, CAPS, at 289-8119.

I also understand that the results of the study will be treated in strict confidence and reported only in group/aggregate form. I understand that if I have any questions or concerns about this study, I may pose them to Douglas Murphey at douglas.murphey@richmond.edu or (804) 380-8593 or Dr. Robert Kelley at bob@pureculture.com.

I have read and understand the above information and I understand that by completing this survey I am providing my consent to participate in this study.

_____   _____
Signature of Participant   Date

_____
Signature of Principle Investigator

UNIVERSITY OF RICHMOND INSTITUTIONAL REVIEW BOARD FOR THE PROTECTION OF RESEARCH PARTICIPANTS
NOTICE OF ACTION

Date: 9/13/06

Name(s): Douglas Murphey

Faculty ☐   Student ☒   Other ☐

Faculty Mentor: Robert Kelley

Is this for a class? ☒ yes   ☐ no
If yes, department and course number HRM 540U

Project Title: COMPETENCIES FOR CORRECTIONAL OFFICERS OF JAILS AND PRISONS: INTERVIEWS

The IRB has reviewed your research protocol by ☐ full review   ☒ expedited review.
Your application is:

☒	Exempt from further review	Your project does not fall within federal or university guidelines requiring review. If the nature of the project changes, you must resubmit this project for further review.
☐	Approved	Please review the criteria for approval at the end of this form.
☐	Approved with conditions	Please respond via email to the Chair of the IRB how you plan to address the concerns outlined at the end of this form.
☐	Third party verification required.	
☐	Disapproved	The IRB has some concerns regarding your proposed research; therefore, your project cannot be approved at this time. Please contact the Chair of the IRB to discuss the issues outlined at the end of this form.
☐	Incomplete	A decision on your protocol has been temporarily withheld until the information listed at the end of this form is provided for IRB consideration. Please send this information to the Chair of the IRB via email.

▪▪

Kathy Hoke   9/13/06
Kathy Hoke, Chair   Date
Institutional Review Board (8089)

Notes: Exempt under 46.101 (b) (2) which states that surveys and interviews are exempt unless disclosure of responses could pose risk of criminal or civil liability or possibly be damaging to the subjects' financial standing, emplyability, or reputation.

NOTE : Exemption is for interview portion only. We need further information after survey is developed.

Final Approval Kathy Hoke

Conditions of Approval

If your project has been **approved** by the University of Richmond Institutional Review Board for the Protection of Human Participants (IRB), this approval is based upon the conditions listed below. It is your responsibility to ensure that your research adheres to these guidelines.

1. IRB approval is for a period of one year. If this research project extends beyond one year, a request for renewal of approval (http://as.richmond.edu/facstaff/irbresources.htm) must be filed.
2. All subjects must receive a copy of the **approved** informed consent form. Unless a waiver of signature was given, researchers must keep copies of informed consent forms on file for three years.
3. Any substantive changes in the research project must be reported to the chair of the IRB. Changes shall not be initiated with IRB approval except where necessary to eliminate apparent immediate hazards to the subject. Based on the proposed changes, a new review may be necessary.
4. Any adverse reaction or other complication of the research which involves real or potential risk or injury to the subject must be reported to the Chair of the IRB immediately.

If your project has been **approved with conditions** or **disapproved**, or if your protocol is **incomplete**, please respond to the following concerns/questions of the IRB. Please send revisions or additional information to the Chair via email.

UNIVERSITY OF RICHMOND INSTITUTIONAL REVIEW BOARD FOR THE PROTECTION OF RESEARCH PARTICIPANTS
NOTICE OF ACTION

Date: 9/20/06

Name(s): Douglas Murphey

Faculty ☐   Student ☒   Other ☐

Faculty Mentor: Robert Kelley

Is this for a class? ☒ yes   ☐ no
If yes, department and course number HRM

Project Title: COMPETENCIES FOR CORRECTIONAL OFFICERS OF JAILS AND PRISONS SURVEY

The IRB has reviewed your research protocol by ☐ full review ☒ expedited review.
Your application is:

☒   Exempt from further review   Your project does not fall within federal or university guidelines requiring review. If the nature of the project changes, you must resubmit this project for further review.

☐   Approved   Please review the criteria for approval at the end of this form.

☐   Approved with conditions   Please respond via email to the Chair of the IRB how you plan to address the concerns outlined at the end of this form.

☐   Third party verification required.

☐   Disapproved   The IRB has some concerns regarding your proposed research; therefore, your project cannot be approved at this time. Please contact the Chair of the IRB to discuss the issues outlined at the end of this form.

☐   Incomplete   A decision on your protocol has been temporarily withheld until the information listed at the end of this form is provided for IRB consideration. Please send this information to the Chair of the IRB via email.

■■

Kathy Hoke _____   9/20/06 _____
Kathy Hoke, Chair   Date
Institutional Review Board (8089)

Notes: Exempt under 46.101 (b) (2) which states that surveys and interviews are exempt unless disclosure of responses could pose risk of criminal or civil liability or possibly be damaging to the subjects' financial standing, emplyability, or reputation.

Final Approval Kathy Hoke

Conditions of Approval

If your project has been **approved** by the University of Richmond Institutional Review Board for the Protection of Human Participants (IRB), this approval is based upon the conditions listed below. It is your responsibility to ensure that your research adheres to these guidelines.

1. IRB approval is for a period of one year. If this research project extends beyond one year, a request for renewal of approval (http://as.richmond.edu/facstaff/irbresources.htm) must be filed.
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3. Any substantive changes in the research project must be reported to the chair of the IRB. Changes shall not be initiated with IRB approval except where necessary to eliminate apparent immediate hazards to the subject. Based on the proposed changes, a new review may be necessary.
4. Any adverse reaction or other complication of the research which involves real or potential risk or injury to the subject must be reported to the Chair of the IRB immediately.

If your project has been **approved with conditions** or **disapproved**, or if your protocol is **incomplete**, please respond to the following concerns/questions of the IRB. Please send revisions or additional information to the Chair via email.

Clarence G. Williams, Jr.
Sheriff

Lt. Colonel Dennis S. Proffitt
Undersheriff

Chesterfield County, Virginia

Appendix A-6

September 10, 2006

Dear Participants,

I am currently in my second year of a masters program through the University of Richmond and one of my responsibilities for this semester is to complete a thesis. I have chosen as my topic Competencies for Correctional Officers. As such, I am requesting your help in developing a list of competencies needed to be a competent correctional officer. Competencies are the knowledge, skills and abilities to perform a specific job. You were selected for inclusion in this study because of your years of experience, expertise and competence in the field of corrections.

In one week, on September 17, 2006 I will be holding a competency development workshop. I am requesting your participation. Your participation is completely voluntary. This will not count towards hours worked nor will you be compensated with overtime pay. Furthermore, there is no penalty for non-attendance. With that said, if you choose to attend, your participation will be greatly appreciated and will greatly enhance the success of this study. Please let me know by September 14, 2006 if you will be able to attend. Once I receive all responses, I will send out further details to those who have chosen to participate.

Thank you in advance for your consideration.

Sincerely,

Douglas W. Murphey II

Appendix A-7

High-Performance Correctional Officer Group Participants 9-17-06 / 0900-1000

1. Leonilo Migo
Section: Civil Process
-General Instructor
-Field Training Officer (FTO)
-Special Operation Response Team (SORT)

2. Joshua Fahy
Section: Civil Process
-SORT Member
-General Instructor
-Specialized Blackwater Training
-Emergency Medical Technician (EMT)

3. Stephen McLeod
Section: Quartermaster
-EMT
-SORT Member
-General Instructor

Mary McLeod
Section: 1st A Platoon
-FTO
-EMT
-General Instructor
(Unable to participate)

4. Donny Dixon
Section: Intake & Release
-SORT Member
-General Instructor
-Hunter Safety Instructor

5. Jim Martin
Section: Booking
-General Instructor
-Life Saving Award
-Defensive Tactics Instructor

6. Marshall Townes
Section: Intake & Release
-FTO
-Master Deputy
-Color Guard

7. Gregory White
Section: Intake & Release
-Letter of appreciation
-Sgt. Sand's recommendation

8. Wade Williams
Section: Intake & Release
-FTO
-Two letters of appreciation
-Sgt. Sand's recommendation
-Next on Sgt.'s promotion list

Alternates:
Gilman
Section: 1st A Platoon
-FTO
-SORT Member
-General Instructor
-Firearms and Defensive Tactics

S. Bailey
Section: Intake & Release
-Highest score in the academy
-Sgt. Rubio's recommendation
-Sgt. Sands' recommendation

Travis Nicely
Section: 1st B Platoon
-FTO
-Life Saving Award
-Rookie of the year Award

Clarence G. Williams, Jr.
Sheriff

Lt. Colonel Dennis S. Proffitt
Undersheriff

Chesterfield County, Virginia

Appendix A-8

September 14, 2006

Dear Participants,

Thank you for agreeing to participate. Below is a short brief on the "trends and assumptions" for the thesis. In the context of these factors, please think about the competencies required to be a correctional officer.

Brief of Trends and Assumptions for Thesis

Correctional Facilities are demanding places to work. Today's correctional officers must manage the overcrowding inmate population, gang activity, new technology, the media, and many other aspects of work inside and outside of correctional facilities. Further, 12 hour shifts, isolating environments, social isolation on night shifts away from family and friends make the work even more challenging. What happens in correctional facilities is often a reflection of the population at large. These factors and others should be taken into consideration when identifying competencies for the high-performing correctional officer.

As a reminder, competencies are the knowledge, skills and abilities to do the job well. We will develop a list of these together in a collaborative process at the workshop.

Sincerely,

Douglas W. Murphey II

Clarence G. Williams, Jr.
Sheriff

Lt. Colonel Dennis S. Proffitt
Undersheriff

Chesterfield County, Virginia

Appendix A-9

To: Leonilo Migo, Joshua Fahy, Stephen McLeod, Wade Williams, Donny Dixon, Jim Martin, Marshall Townes, Gregory White

From: Douglas Murphey

Date: September 18, 2006

Subject: Competency List

A list of competencies created at our workshop has been put into survey format through the website surveymonkey.com. A link to the survey has been sent to you via email. Please access the survey, rate each competency and complete by September 21, 2006.

Sincerely,

Douglas W. Murphey II

Appendix A-10

List of Expert Correctional Consultants

1. Corrections Consulting LLC
Douglas T. Lansing
Consultant
Phone: (609) 466-0687
Email: dtl@correctionsconsultants.com
Website: correctionsconsultants.com

2. Correctional Consultants Inc.
Brian Lovins
Consultant
Email:brianlovins@correctionalconsultants.com
Website: correctionalconsultants.com

3. Correctional Consultants Inc.
Lori Brusman-Lovins
Consultant
Email: lori.lovins@uc.edu
Website: correctionalconsultants.com

4. Gastineau Human Services Corporation
Greg Pease
Executive Director and CEO
5597 Aisek Street
Juneau, Alaska 99801

5. College of Criminal Justice
Janis Bane
Adjunct Professor
Phone: (936) 294-3174
Email: stdjjb29@shsu.edu
Website: cjcenter.org/college

American Correctional Association
Kathy Black-Dennis
Director of Professional Development
206 N. Washington Street, Suite 200
Alexandria, VA 22314
Phone (800) 222-5646, ext. 0174
Email: kathyd@aca.org
(Unable to participate)

6. American Jail Association
Gwyn Smith-Ingley
Executive Director
1135 Professional Court
Hagerstown, MD 21740
Phone: (301) 790-3930
Email: gwyns@aja.org
Website: corrections.com/aja

7. College of Criminal Justice
John Matthews
Adjunct Professor
Phone: (936) 294-3174
Email:rettaandjohn@sbcglobal.net
Website: cjcenter.org/college

8. College of Criminal Justice
Joseph Wojcik
Adjunct Professor
Phone: (936) 294-3174
Email: jpw004@shsu.edu
Website: cjcenter.org/college

Alternates:

American Correctional Association
Jeff Washington
Deputy Executive Director
Phone: (800) 222-5646 ext. 0103
Email: jeffw@aca.org
(Unable to be reached)

Creative Corrections LLC
Percy H. Pitzer
President
6415 Calder, Suite B
Beaumont, TX 77706
Phone: (409) 866-9920
Fax: (409) 866-9922
(Unable to participate)

Office of the Sheriff

Chesterfield County, Virginia

Appendix A-11

October 1, 2006

The following is a copy of the email that was sent to the expert correctional consultants during the first week in October:

Hi,

My name is Douglas Murphey, I am a sergeant with the Chesterfield County Sheriff's Office and I'm working on a Masters Program through the University of Richmond (Virginia) and one of my requirements to graduate is that I complete a thesis. My thesis topic is "Competencies for Correctional Officers of Jails and Prisons". I worked with a focus group of high-performing officers at the Chesterfield County Jail to generate a list of 54 competencies. I am writing to request your participation in a short 10-15 minute survey to rate this list of competencies. If you are willing to participate, I can email the on-line survey link or send you a fax, whichever you prefer.

Thanks,
Doug

Sgt. Douglas W. Murphey II
Correctional Services / Intake & Release Division
Chesterfield County Sheriff's Office
(O) 717-6891
(P) 762-2173
murpheyd@chesterfield.gov

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Appendix A-12
Innovative Correctional Facilities
Senior Correctional Administrator List

1. **Ross Correctional Institution**
Don DeWitt
Curriculum Director for Training
Academy
11781 S.R. 762
P.O. Box 207
Orient, OH 43146
Phone: (614) 877-4345 ext. 244
Email: don.dewitt@odrc.state.oh.us

2. **Hunterdon County Department of**
Public Safety, Division of Corrections
Scott Nodes
Correctional Administrator
71 Park Avenue, PO Box 2900
Flemington, NJ 08822-2900
Phone: (908) 788-1184
Email: snodes@co.hunterdon.nj.us

3. **Newport News Sheriff's Office**
Gabriel A. Morgan
Sheriff / Command Staff
224-26th Street
Newport News, Virginia 23607-4406
Phone: (757) 926-8759
Email: sheriff@nngov.com

4. **Newport News Sheriff's Office**
Leroy Johnson Jr.
Professional Standards Bureau Chief
Major / Command Staff
224-26th Street
Newport News, Virginia 23607-4406
Phone: (757) 926-3987
Email: leroyjohnson@nngov.com

Henrico County Sheriff's Office
Michael L. Wade
Sheriff
P.O. Box 27796
Richmond, Virginia 23261
Email: sheriff@co.henrico.va.us
(Unable to be reached)

5. **Newport News Sheriff's Office**
Eileen Sprinkle
Operations Bureau Chief
Lieutenant / Command Staff
224-26th Street
Newport News, Virginia 23607-4406
Phone: (757) 926-8759
Email: esprinkle@nngov.com

6. **Newport News Sheriff's Office**
Janie Vergakis
Jail Administrator
Captain / Operations Bureau
224-26th Street
Newport News, Virginia 23607-4406
Phone: (757) 926-3511
Email: jlvergakis@nngov.com

7. **Bell County Sheriff's Office**
Robert Patterson
Major / Jail Administrator
Immediate Past President
American Jail Association
P.O. Box 749/111 W. Central Avenue
Belton, TX 76514 (76513)
Phone: (254) 933-5409
Email: bob.patterson@co.bell.tx.us

8. **Hamilton County Sheriff's Department**
Jim Hart
Chief of Corrections
President Elect
American Jail Association
601 Walnut St.
Chattanooga, TN 37402
Phone: (423) 209-7098
Email: jhart@mail.hamiltontn.gov

9. **Hillsborough County Sheriff's Office**
Robert Lucas
Major / Division Commander
3rd Vice President
American Jail Association
1201 North Orient Road
Tampa, FL 33619
Phone: (813) 247-8901
Email: rlucas@hcso.tampa.fl.us

10. **Bernalillo County Metropolitan Detention Center**
Michael A. Sisneros
Safety Specialist
Secretary of American Jail Assoc.
100 John Dantis Drive
Albuquerque, NM 87151
Phone: (505) 839-8860
Email: msisneros@bernco.gov

11. **Madison County Sheriff's Office**
Cindy Malm
Jail Administrator
1-Year Term Board of Directors
American Jail Association
145 E. Main
Rexburg, ID 83440
Phone: (208) 356-5426
Email: cmalm@madisonsheriff.com

12. **Bonneville County Sheriff's Office**
Sid Hamberlin
Captain / 1-Year Term Board of Directors
American Jail Association
605 N. Capital Avenue
Idaho Falls, ID 83402
Phone: (208) 529-1315 x 105
Email: shamber@co.bonneville.id.us

13. **Broward County Sheriff's Office**
Kim Spadaro
Major / 1-Year Term Board of Directors
American Jail Association
555 SE 1st Avenue
Fort Lauderdale, FL 33301
Phone: (954) 831-5922
Email: Kim_Spadaro@sheriff.org

14. **Pima County Adult Detention Center**
Richard O. Gibbons
Lieutenant / 1-Year Term Board of Directors
American Jail Association
1270 W. Silverlake Road
Tucson, AZ 85713
Phone: (520) 547-8370
Email: Richard.Gibbons@sheriff.pima.gov

15. **Buffalo Police Department**
H. McCarthy Gipson
Commissioner of Police
2-Year Term Board of Directors
American Jail Association
74 Franklin Street
Buffalo, NY 14202
Phone: (716) 851-4571
Email: hmgipson@bpdny.org

16. **County of Monroe Sheriff's Office**
John J. Caceci
Major / Sergeant-at-arms
American Jail Association
130 Plymouth Avenue, South
Rochester, NY 14614
Phone: (585) 753-4056
Email: johncaceci@monroecounty.gov

Chesterfield County, Virginia

Appendix A-13

October 15, 2006

The following is a copy of the email that was sent to the senior correctional administrators during the second week in October:

Hi,

My name is Douglas Murphey, I am a sergeant with the Chesterfield County Sheriff's Office and I'm working on a Masters Program through the University of Richmond (Virginia) and one of my requirements to graduate is that I complete a thesis. My thesis topic is "Competencies for Correctional Officers of Jails and Prisons". I worked with a focus group of high-performing officers at the Chesterfield County Jail to generate a list of 54 competencies. I am writing to request your participation in a short 10-15 minute survey to rate this list of competencies. If you are willing to participate, I can email the on-line survey link or send you a fax, whichever you prefer.

Thanks,
Doug

Sgt. Douglas W. Murphey II
Correctional Services / Intake & Release Division
Chesterfield County Sheriff's Office
(O) 717-6891
(P) 762-2173
murpheyd@chesterfield.gov

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Appendix A-14
Competencies for Correctional Officers of Jails and Prisons

	Strongly Disagree	Disagree	Agree	Strongly Agree
1. Diffuse situations before they escalate	1	2	3	4
2. Conduct yourself in a professional manner at all times	1	2	3	4
3. Communicate clearly with inmates and your co-workers	1	2	3	4
4. Prioritize daily functions, events and emergency situations	1	2	3	4
5. Analyze different behavior patterns among inmates (too quiet/too loud, etc.)	1	2	3	4
6. Anticipate possible or potential actions from inmates	1	2	3	4
7. Adjust and be adaptable to many different types of situations	1	2	3	4
8. Assert yourself with inmates and let them know what they need to do and what the consequences will be if they refuse	1	2	3	4
9. Know the inmate handbook and know what is authorized and what is unauthorized	1	2	3	4
10. Give instructions with clarity and simplicity with no room for doubts	1	2	3	4
11. Pay attention to detail	1	2	3	4
12. Balance home and work life so that the two do not counteract each other and cause stress	1	2	3	4
13. Interact with inmates to know their mindset	1	2	3	4

14. Willing to learn from knowledgeable and experienced officers	1	2	3	4
15. Implement policies and procedures correctly and effectively	1	2	3	4
16. Lead by example	1	2	3	4
17. Know how and when to correct fellow deputies	1	2	3	4
18. Listen to constructive criticism about oneself and try to learn from it	1	2	3	4
19. Keep a firm but fair presence with inmates	1	2	3	4
20. Manage several tasks at once	1	2	3	4
21. Mentor to other less senior correctional officers and the public as well	1	2	3	4
22. Make yourself visible to inmates	1	2	3	4
23. Discuss with coworkers "what if" scenarios	1	2	3	4
24. Keep proper posture in front of inmates	1	2	3	4
25. Keep high standards and do not lower yourself to inmate behaviors or standards	1	2	3	4
26. Knowledgeable of warning signs for security threats or when violence has occurred	1	2	3	4
27. Committed to the department and community	1	2	3	4
28. Delegate authority accordingly	1	2	3	4
29. Evaluate situations accurately and thoroughly in a timely manner	1	2	3	4

30. Feel like you are making a difference	1	2	3	4
31. Enjoy the type of work you do	1	2	3	4
32. Experiment with new equipment that is intended to make things safer (search gloves, etc.)	1	2	3	4
33. Hold your ground when dealing with inmates	1	2	3	4
34. Collect pass-on information during your duties and remember it so you can repeat it to your relief	1	2	3	4
35. Respect inmates to earn respect yourself	1	2	3	4
36. Know the facility's contingency plans in emergency situations	1	2	3	4
37. Possess strong character and high morals	1	2	3	4
38. Know what needs to be done and act with a sense of purpose in what you do	1	2	3	4
39. Act with no reservation when given orders in emergency situations (as long as they are legal and moral)	1	2	3	4
40. Know your use of force policy	1	2	3	4
41. React to emergency situations with the least amount of force necessary to control the situation	1	2	3	4
42. Check, double-check, and triple check that your firearm is unloaded prior to breaking it down	1	2	3	4
43. Represent the department and the law enforcement profession by presenting a positive and professional attitude	1	2	3	4

44. Support the department's goals and assist others in achieving these goals	1	2	3	4
45. Safely perform your duties so inmates and coworkers are in a safe and secure environment	1	2	3	4
46. Express yourself so you can get to the point without rambling	1	2	3	4
47. Stay focused on your job while at work	1	2	3	4
48. Prepare for unusual events such as bomb threats, fires, riots, etc.	1	2	3	4
49. Take the lead and initiative in getting things done	1	2	3	4
50. Utilize the strength and abilities of co-workers to accomplish daily responsibilities	1	2	3	4
51. Work as a team with other officers to get the job done	1	2	3	4
52. Understand the needs of the community, citizens and inmates and how each group needs to be treated	1	2	3	4
53. Write proposals that are recognized as possible ways to improve duties and the general operation of the facility	1	2	3	4
54. Document unusual behavior, events or situations in a timely manner	1	2	3	4

Thank you.

Appendix A-15
List of 54 Competencies

1. Diffuse situations before they escalate

2. Conduct yourself in a professional manner at all times

3. Communicate clearly with inmates and your co-workers

4. Prioritize daily functions, events and emergency situations

5. Analyze different behavior patterns among inmates (too quiet/too loud)

6. Anticipate possible or potential actions from inmates

7. Adjust and be adaptable to many different types of situations

8. Assert yourself with inmates and let them know what they need to do and what the consequences will be if they refuse

9. Know the inmate handbook and know what is authorized and what is unauthorized

10. Give instructions with clarity and simplicity with no room for doubts

11. Pay attention to detail

12. Balance home and work life so that the two do not counteract each other and cause stress.

13. Interact with inmates to know their mindset

14. Willing to learn from knowledgeable and experienced officers

15. Implement policies and procedures correctly and effectively

16. Lead by example

17. Know how and when to correct fellow deputies

18. Listen to constructive criticism about oneself and try to learn from it

19. Keep a firm but fair presence with inmates

20. Manage several tasks at once

21. Mentor to other less senior correctional officers and the public as well.

22. Make yourself visible to inmates

23. Discuss with coworkers "what if" scenarios

24. Keep proper posture in front of inmates

25. Keep high standards and do not lower yourself to inmate behaviors or standards

26. Knowledgeable of warning signs for security threats or when violence has occurred

27. Committed to the department and community

28. Delegate authority accordingly

29. Evaluate situations accurately and thoroughly in a timely manner

30. Feel like you are making a difference

31. Enjoy the type of work you do

32. Experiment with new equipment that is intended to make things safer (search gloves, etc.)

33. Hold your ground when dealing with inmates

34. Collect pass-on information during your duties and remember it so you can repeat it to your relief

35. Respect inmates to earn respect yourself

36. Know the facility's contingency plans in emergency situations

37. Possess strong character and high morals

38. Know what needs to be done and act with a sense of purpose in what you do

39. Act with no reservation when given orders in emergency situations (as long as they are legal and moral)

40. Know your use of force policy

41. React to emergency situations with the least amount of force necessary to control the situation

42. Check, double-check, and triple check that your firearm is unloaded prior to breaking it down

43. Represent the department and the law enforcement profession by presenting a positive and professional attitude

44. Support the department's goals and assist others in achieving these goals

45. Safely perform your duties so inmates and coworkers are in a safe and secure environment

46. Express yourself so you can get to the point without rambling

47. Stay focused on your job while at work

48. Prepare for unusual events such as bomb threats, fires, riots, etc.

49. Take the lead and initiative in getting things done

50. Utilize the strength and abilities of co-workers to accomplish daily responsibilities

51. Work as a team with other officers to get the job done

52. Understand the needs of the community, citizens and inmates and how each group needs to be treated

53. Write proposals that are recognized as possible ways to improve duties and the general operation of the facility

54. Document unusual behavior, events or situations in a timely manner

Appendix A-16

Survey Participant: Confidential
General Identifier: 20 year plus veteran

Date Conducted: Confidential
General Identifier: 10-25-06 to 11-25-06

Questions:

1) How have the duties of a correctional officer evolved over time at this facility?

When I started in…[20 plus years ago], there was no academy or training in any specific duties. New recruits duties were to go to training for two days and then go to the jail to get the job done. You learned on the job. After you had been at the jail for a while, they sent you to Crater [Criminal Justice Academy], which was a school that all the local jurisdictions participated in. This was a six-week long training academy. We were taught some law, legal rulings that applied to the inmates, some inmate security procedures and we also went to the shooting range. The sergeant was the only one who kept a gun at the jail though. No deputies were issued a gun. You had to borrow the sergeant's gun if you were going to the magistrate to conduct a bond hearing. There were no mandatory in-service classes like there are now teaching diversity or first aid. There was no Chesterfield University or TQI classes; there was no Blackwater training or specialized schools that anyone was sent to. The duties were basic and evolved over time as the county and the sheriff's office grew.

2) How has the correctional facility environment evolved over time?

The first thing that comes to mind is recreation. We didn't do recreation for a while until they fenced in some basketball courts. Later, when the new jail was built in 2006 we got the indoor and outdoor facilities. These also allow us to do recreation at night. The medical section of the correctional facility has improved over the years. In the past, there was only one nurse. Now we have a medical RN supervisor and a Doctor on staff. They provide dental work and X-rays too. And the care for suicidal inmates is better. We now have a padded cell and procedures for calling mental health / crisis. The technology has improved over time at the facility as well. The deputies are issued vests, automatic weapons, Capstun which they can now carry inside the jail. The whole facility is much more modernized now. We use to operate out of tiers, and now the housing consists of large holding areas—dormitories. Further, everything is electronic now. The doors use to be manual. In the past, you had to roll a large wheel to close the doors, but now there are air locks and all sorts of building upgrades. Another upgrade was air conditioning. There use to be none in the old jail; then they installed window units that made it a little better, but the new jail has central air conditioning.

3) Have you noticed any changes in the inmate population or behavior over time?

Actually, the jail use to be more overcrowded in the past than it is today. The old jail would hold like 500 inmates and we would only have 5-7 officers, not counting supervision and administration to supervise the inmates. The inmate population has gone down mainly due to the opening of Riverside Regional Jail. I haven't noticed a spike in women or minorities in our inmate population. The population as a whole just continues to grow overall. However, Chesterfield County has continued to grow and this has kept our numbers fairly high if you add our Riverside holdings to our County Jail holdings. Gangs were not a problem in the past; they are more of a recent phenomenon.

Appendix A-17

Table 4.1
Initial List of Core Competencies

1. Diffuse situations before they escalate
2. Conduct yourself in a professional manner at all times
3. Communicate clearly with inmates and your co-workers
4. Prioritize daily functions, events and emergency situations
5. Analyze different behavior patterns among inmates (too quiet/too loud, etc.)
6. Anticipate possible or potential actions from inmates
7. Adjust and be adaptable to many different types of situations
8. Assert yourself with inmates and let them know what they need to do and what the consequences will be if they refuse
9. Know the inmate handbook and know what is authorized and what is unauthorized
10. Give instructions with clarity and simplicity with no room for doubts
11. Pay attention to detail
12. Balance home and work life so that the two do not counteract each other and cause stress.
13. Interact with inmates to know their mindset
14. Willing to learn from knowledgeable and experienced officers
15. Implement policies and procedures correctly and effectively
16. Lead by example
17. Know how and when to correct fellow deputies
18. Listen to constructive criticism about oneself and try to learn from it
19. Keep a firm but fair presence with inmates
20. Manage several tasks at once
21. Mentor to other less senior correctional officers and the public as well.
22. Make yourself visible to inmates
23. Discuss with coworkers "what if" scenarios
24. Keep proper posture in front of inmates
25. Keep high standards and do not lower yourself to inmate behaviors or standards
26. Knowledgeable of warning signs for security threats or when violence has occurred
27. Committed to the department and community

28. Delegate authority accordingly
29. Evaluate situations accurately and thoroughly in a timely manner
30. Feel like you are making a difference
31. Enjoy the type of work you do
32. Experiment with new equipment that is intended to make things safer (search gloves, etc.)
33. Hold your ground when dealing with inmates
34. Collect pass-on information during your duties and remember it so you can repeat it to your relief
35. Respect inmates to earn respect yourself
36. Know the facility's contingency plans in emergency situations
37. Possess strong character and high morals
38. Know what needs to be done and act with a sense of purpose in what you do
39. Act with no reservation when given orders in emergency situations (as long as they are legal and moral)
40. Know your use of force policy
41. React to emergency situations with the least amount of force necessary to control the situation
42. Check, double-check, and triple-check that your firearm is unloaded prior to breaking it down
43. Represent the department and the law enforcement profession by presenting a positive and professional attitude
44. Support the departments goals and assist others in achieving these goals
45. Safely perform your duties so inmates and coworkers are in a safe and secure environment
46. Express yourself so you can get to the point without rambling
47. Stay focused on your job while at work
48. Prepare for unusual events such as bomb threats, fires, riots, etc.
49. Take the lead and initiative in getting things done
50. Utilize the strength and abilities of co-workers to accomplish daily responsibilities
51. Work as a team with other officers to get the job done
52. Understand the needs of the community, citizens and inmates and how each group needs to be treated
23. Write proposals that are recognized as possible ways to improve duties and the general operation of the facility
54. Document unusual behavior, events or situations in a timely manner

Appendix A-18

Table 4.2

Average Ratings for Competencies by All Three Groups

	Competency	High-Perf. Corrections Officer	Expert Corrections Consultant	Senior Corrections Admin.	Cumulative Mean
1.	Diffuse situations before they escalate	4.00	3.88	3.81	3.90
2.	Conduct yourself in a professional manner at all times	4.00	4.00	4.00	4.00
3.	Communicate clearly with inmates and your co-workers	3.88	4.00	3.88	3.92
4.	Prioritize daily functions, events, and emergency situations	3.50	3.50	3.75	3.59
5.	Analyze different behavior patterns among inmates (too quiet/too loud)	3.50	3.13	3.75	3.46
6.	Anticipate possible or potential actions from inmates	3.63	3.63	3.75	3.67
7.	Adjust and be adaptable to many different types of situations	3.75	3.88	3.88	3.84
8.	Assert yourself with inmates and let them know what they need to do and what the consequences will be if they refuse	3.63	2.88	3.69	3.40
9.	Know the inmate handbook and know what is authorized and unauthorized	4.00	3.88	3.88	3.92
10.	Give instructions with clarity and simplicity with no room for doubts.	3.88	3.75	3.69	3.78
11.	Pay attention to detail	4.00	3.38	3.88	3.76
12.	Balance home and work life so that the two do not counteract each other and cause stress	3.88	3.63	3.75	3.76
13.	Interact with inmates to know their mindset	3.38	2.88	3.44	3.24
14.	Willing to learn from knowledgeable and experienced officers	3.75	3.50	3.75	3.67
15.	Implement policies and procedures correctly and effectively	3.75	3.75	3.81	3.77

	Competency	High-Perf. Corrections Officer	Expert Corrections Consultant	Senior Corrections Admin.	Cumulative Mean
16.	Lead by example	4.00	3.75	3.94	3.90
17.	Know how and when to correct fellow deputies	3.38	3.13	3.56	3.36
18.	Listen to constructive criticism about oneself and try to learn from it	3.63	3.75	3.81	3.73
19.	Keep a firm but fair presence with inmates	3.63	3.88	3.94	3.82
20.	Manage several tasks at once	3.50	3.25	3.69	3.48
21.	Mentor to other less senior correctional officers and the public as well.	3.75	3.38	3.63	3.59
22.	Make yourself visible to inmates	3.50	3.50	3.75	3.59
23.	Discuss with co-workers 'what if' scenarios	3.63	3.13	3.44	3.40
24.	Keep proper posture in front of inmates	3.63	3.13	3.75	3.51
25.	Keep high standards and do not lower yourself to inmate behaviors or standards	3.88	4.00	4.00	3.96
26.	Knowledgeable of warning signs for security threats or when violence has occurred	3.88	3.88	3.88	3.88
27.	Committed to the department and community	3.75	3.63	3.69	3.69
28.	Delegate authority accordingly	3.38	3.38	3.63	3.47
29.	Evaluate situations accurately and thoroughly in a timely manner	3.63	3.75	3.69	3.69
30.	Feel like you are making a difference	3.50	3.63	3.63	3.59

#	Item				
31.	Enjoy the type of work you do	3.88	3.50	3.56	3.65
32.	Experiment with new equipment that is intended to make things safer (search gloves, etc.)	3.50	3.38	3.31	3.40
33.	Hold your ground when dealing with inmates	3.63	3.25	3.63	3.51
34.	Collect pass-on information during your duties and remember it so you can repeat it to your relief	3.63	3.63	3.69	3.65
35.	Respect inmates to earn respect yourself	3.75	3.75	3.69	3.73
36.	Know the facility's contingency plans in emergency situations	4.00	3.88	3.94	3.94
37.	Possess strong character and high morals	3.88	3.75	3.88	3.84
38.	Know what needs to be done and act with a sense of purpose in what you do	3.88	3.88	3.69	3.82
39.	Act with no reservation when given orders in emergency situations (as long as they are legal and moral)	3.88	4.00	3.75	3.88
40.	Know your use of force policy	4.00	3.88	4.00	3.96
41.	React to emergency situations with the least amount of force necessary to control the situation	4.00	3.63	3.81	3.82
42.	Check, double-check, and triple check that your firearm is unloaded prior to breaking it down	4.00	4.00	3.94	3.98
43.	Represent the department and the law enforcement profession by presenting a positive and professional attitude	3.88	3.88	4.00	3.92
44.	Support the departments goals and assist others in achieving these goals	3.63	3.50	3.81	3.65
45.	Safely perform your duties so inmates and coworkers are in a safe and secure environment	4.00	4.00	4.00	4.00
46.	Express yourself so you can get to the point without rambling	3.38	3.38	3.50	3.42
47.	Stay focused on your job while at work	3.75	3.75	3.75	3.75
48.	Prepare for unusual events such as bomb threats, fires, riots, etc.	3.63	3.38	3.69	3.57
49.	Take the lead and initiative in getting things done	3.63	3.38	3.81	3.61
50.	Utilize the strength and abilities of co-workers to accomplish daily responsibilities	3.63	3.50	3.69	3.61
51.	Work as a team with other officers to get the job done	3.75	3.88	3.88	3.84
52.	Understand the needs of the community, citizens and inmates and how each group needs to be treated	3.50	3.50	3.56	3.52
53.	Write proposals that are recognized as possible ways to improve duties and the general operation of the facility	3.38	3.00	3.38	3.26
54.	Document unusual behavior, events or situations in a timely manner	3.75	4.00	3.81	3.86

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