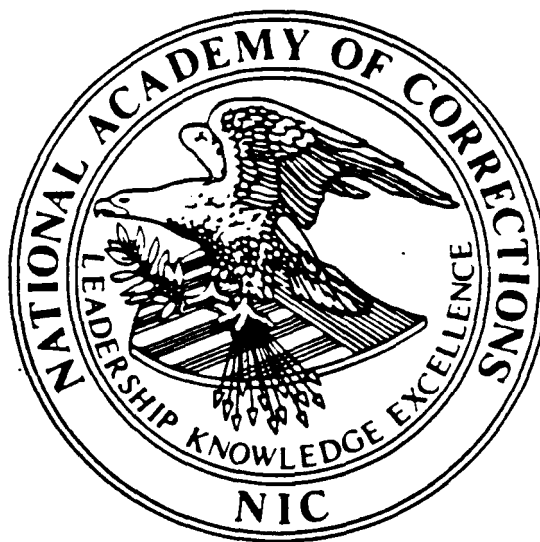

COMPETENCY PROFILE OF WARDEN/SUPERINTENDENT

Sponsored by



**U.S. Department of Justice
National Institute of Corrections**

October 25-26, 1988
Boulder, Colorado

WARDEN/SUPERINTENDENT

... is responsible for the overall management of the correctional facility, including administrative services, safety and security, and program and support services.

Duties						
A	Manage Human Resources	A-1 Assess staff training needs	A-2 Identify training topics/requirements	A-3 Provide opportunity & resources for training	A-4 Monitor training delivery	A-5 Determine staffing needs
		A-12 Monitor &/or implement staff discipline	A-13 Monitor employee evaluation system	A-14 Conduct staff evaluations	A-15 Promote career development	A-16 Monitor the staff grievance system
B	Manage the External Environment	B-1 Conduct/permit tours	B-2 Make public presentations	B-3 Participate in community meetings	B-4 Respond to external inquiries & complaints in a timely fashion	B-5 Maintain memberships in community organizations
		B-12 Develop contracts & coordinate activities with medical service providers	B-13 Encourage & monitor the use of volunteers	B-14 Provide for the recruitment & training of volunteers		
C	Manage the Budget	C-1 Monitor & control overtime	C-2 Maintain staffing within funding levels	C-3 Direct preparation of budget requests	C-4 Submit & justify budget requests	C-5 Monitor & review appropriate financial reports & expenditures
D	Develop Short & Long Term Goals & Objectives	D-1 Determine institutional mission	D-2 Analyze & project needs of institutional components	D-3 Establish goals based upon needs	D-4 Assign responsibility for development of institutional objectives	D-5 Review & approve a plan of action (i.e., short & long term)
E	Manage Litigation	E-1 Review correctional case law	E-2 Review & implement pertinent ACA & other applicable standards	E-3 Train staff on how to testify & present themselves in court	E-4 Update policy & procedures, if needed, to avoid litigation	E-5 Monitor policy compliance
		E-12 Assist counsel in developing courtroom strategies	E-13 Review & propose settlement agreements	E-14 Implement court decisions		
F	Manage Security Processes	F-1 Approve security policies & procedures	F-2 Monitor compliance with security procedures	F-3 Review &/or approve post orders	F-4 Inspect security equipment & systems	F-5 Maintain intelligence system

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Tasks

A-6 Control position utilization	A-7 Authorize/recommend hiring of staff	A-8 Terminate or recommend termination of staff	A-9 Promote & facilitate recruitment of staff	A-10 Interview applicants	A-11 Supervise and counsel staff as appropriate
A-17 Respond to staff grievances	A-18 Implement staff grievance &/or arbitration decisions	A-19 Provide incentives & recognitions for employees	A-20 Maintain working relationships with labor representatives	A-21 Provide for employee assistance programs	A-22 Promote & support affirmative action programs
B-6 Develop & maintain media relations	B-7 Develop & maintain legislative/political relations	B-8 Develop & maintain relations with other criminal justice agencies	B-9 Dev. & maintain relations w/special interest groups (i.e., ACLU, victims advocacy groups)	B-10 Consult & comply with regulatory agencies	B-11 Develop & maintain relationships with higher education institutions

C-6 Establish budget priorities	C-7 Allocate appropriate/authorized funds	C-8 Monitor appropriateness of expenditures by staff			
D-6 Disseminate plan of action	D-7 Monitor progress towards achievement of goals	D-8 Report to appropriate levels on achievement of goals	D-9 Modify goals as appropriate		
E-6 Assign staff to coordinate litigation activities	E-7 Orient legal counsel as to correctional processes	E-8 Maintain & monitor documentation in accordance with policy or practice	E-9 Review/respond to interrogatories & affidavits	E-10 Give depositions & testify in court	E-11 Encourage & participate in pre-trial conferences with staff & counsel

F-6 Develop an internal investigation process	F-7 Direct internal investigation	F-8 Provide appropriate housing & services for special management inmates	F-9 Maintain 24-hour availability of identified key staff		
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W-EN/SUPERINTENDENT

Duties							
G	Manage Emergencies	G-1 Review & approve emergency plans	G-2 Test emergency plans	G-3 Ensure readiness of emergency response team	G-4 Maintain liaison with emergency support agencies	G-5 Monitor indicators of potential disturbances & take appropriate action	G-en
H	Manage Inmates	H-1 Oversee/ approve inmate classification actions	H-2 Maintain frequent & direct contact with inmates	H-3 Provide for inmate program services	H-4 Provide for inmate support services	H-5 Provide for inmate custody & safety services	H-sc ac m fo
I	Review & Inspect Institutional Operations & Physical Plant	I-1 Direct development of preventive maintenance plan	I-2 Direct routine maintenance to assure proper sanitation & upkeep of facility & equipment	I-3 Inspect facility to determine the condition of the buildings & grounds	I-4 Initiate & monitor special repair & improvement projects	I-5 Review on-site documentation for policy & procedure compliance	I-st
J	Manage Change Within the Institutional Environment	J-1 Assess readiness for change	J-2 Identify stakeholders	J-3 Consult with stakeholders	J-4 Create ownership for involvement	J-5 Assess impact of proposed change internally & externally	J-t str ch
		J-12 Monitor & evaluate the change	J-13 Accept & demonstrate support for imposed change				
K	Manage the Office	K-1 Document & report institutional activities	K-2 Develop, revise & update institutional policy & procedures	K-3 Delegate responsibilities	K-4 Review & analyze institutional processes	K-5 Organize paper processing & communication flow	K-re cr
		K-12 Control phone calls and drop-ins	K-13 Direct maintenance of active & historical records				
L	Maintain Professional Competence & Awareness	L-1 Seek & participate in training	L-2 Read professional journals	L-3 Maintain & encourage membership in professional organizations	L-4 Demonstrate ethical behavior	L-5 Seek information on trends & regulations in corrections	L-a rr

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Tasks

G-6 Activate emergency plans	G-7 Develop after-incident reports	G-8 Conduct after-incident briefings			
G-9 Assure scheduling of activities & movement to account for inmates	H-7 Maintain inmate discipline system	H-8 Maintain inmate grievance mechanism	H-9 Facilitate communication from inmates	H-10 Provide for & control inmate self-betterment programs	H-11 Provide programs & services for special needs inmates
I-5 Confer with staff & inmates	I-7 Observe staff & inmate behavior	I-8 Observe programs, activities & ops. for compliance w/policies & perform. standards	I-9 Monitor allocation of space	I-10 Monitor & allocate man-power, equipment & supplies	I-11 Observe compliance with life safety conditions
J-6 Develop strategy for change	J-7 Give advance communication & evaluate feedback	J-8 Assess timing & staging for change	J-9 Prepare for potential disruptive behavior	J-10 Keep appropriate management levels informed	J-11 Publicize & implement the change
K-6 Receive & respond to communications	K-7 Initiate communications	K-8 Monitor assigned tasks	K-9 Prioritize & categorize work	K-10 Determine distribution of communications & information	K-11 Schedule, conduct &/or attend meetings
L-6 Review agency documents	L-7 Encourage involvement of academic community	L-8 Provide for involvement in continuing education	L-9 Conduct training	L-10 Support & participate in research	

WARDEN/SUPERINTENDENT

Worker Traits & Attitudes

Creative
Professional
Flexible
Decisive
Empathetic
Dependable
Tactful
Ethical
Assertive
Energetic
Sense-of-humor
Tenacious

Resilient
Analytical
Poised
Emotionally stable
Perceptive
Resourceful
Attentive
Firm/fair
Cooperative
Sincere
Optimistic
Self-motivated

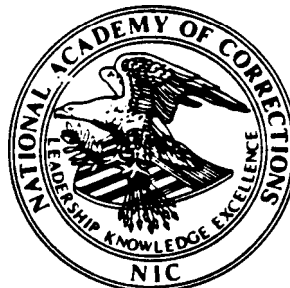
General Knowledges & Skills

Communication (oral & written)
Organizational skills
Management/supervisory skills
Budgetary skills
Leadership skills
Training
Public relations
Decision-making skills
Prisoner classifications
Incorporate emergency plans
Ability to interpret departmental policies & procedures

Knowledge of stress management techniques
Knowledge of labor relations
Knowledge of institutional programs
Knowledge of office management
Knowledge of political/legislative process
Knowledge of health & safety regulations
Know how to use community resources
Know how to work with personnel
Understanding of good facility preventative maintenance
Understand criminal justice system
Understand dynamics of human behavior

Tools & Equipment

Communications equipment
Audio-recording equipment
Computers
Firearms/weapons
Security equipment & systems
Reference materials (i.e., law books, policy/procedure manuals, etc.)



**Warden/Superintendent
Panel Members
October 25-26, 1988
Boulder, Colorado**

Barbara Carter
Director
Kansas Correctional Institute at Lansing
Lansing, KS

Harold W. Clarke
Warden
Nebraska State Penitentiary
Lincoln, NE

Kenneth McKellar
Warden
Central Correctional Institute, Capitol Station A
Columbia, SC

Al Parks
Warden
Kentucky State Reformatory
LaGrange, KY

Richard Rison
Warden
United States Penitentiary
Lompoc, CA

Pam Withrow
Warden
Michigan Reformatory
Sonia, MI

Charles Zimmerman
Superintendent
State Correctional Institute at Graterford
Grater-ford, PA

DACUM Facilitated By:

Allen Wiant
National Center for Research in Vocational Education
The Ohio State University

Sponsored By:

U.S. Department of Justice
National Institute of Corrections
National Academy of Corrections

Organized By:

Dr. Dianne Carter
President
National Academy of Corrections

