

FUNCTIONAL UNIT MANAGEMENT:

A TRAINING RESPONSE MODEL
FOR MANAGING PRISON VIOLENCE

by: JESSE L. MAGHAN

September 18, 1981

NIC Grant CZ-2

INTRODUCTION:

The attached proposed training program is developed in compliance with National Institute of Correction's grant CZ-2, entitled: DEVELOPMENT OF TRAINING PROGRAMS AND MATERIALS IN RESPONSE TO PRISON VIOLENCE. This grant requires "a cooperative agreement to review the training programs and materials available to correctional agencies to prevent and/or respond to prison violence. Materials developed by the Federal Prison Service, state and local correctional agencies and other resources are to be compiled, reviewed, modified (where necessary) and made available to the field." This proposed training presents a cooperative plan for providing expertise and knowledge of state and local corrections in coordination with Federal Prison Service for training in the management of prison violence-related programs.

STATEMENT OF NEED:

The overall focus of this training will be the development of a training plan utilizing federal resources to assist state and local corrections agencies in resolving problems of violence and population control. The

level of violence outside the prisons has continued to increase and that escalation is reflected behind the walls. Prisons are not safe for either the inmates or the corrections officers and other staff.

Severe overcrowding, institutional violence, racial and ethnic tensions are significant symptoms of this crisis situation. The reality of diminishing resources and increased population without parallel growth in facilities and employee manpower, compound this crisis. The necessity of effectively utilize scarce resources by the cross-designation of federal, state and local resources represents a practical alternative for addressing these problems. As federal and non-federal prison and detention systems become more bureaucratic, it is most important that this enhanced coordination be handled expeditiously through identifying interrelated factors concerning staff expertise, delivery systems, policy and procedures, physical plant designs and a variety of correctional programs, all of which affect the potential for controlling violence in a correctional facility. ONE SUCH IMMEDIATE RESOURCE IS THE SHARED EXPERIENCE OF THE RESTRUCTURED

ORGANIZATION OF CORRECTIONAL FACILITIES THROUGH FUNCTIONAL UNIT MANAGEMENT.

The concept of functional unit management has become an established operational procedure in the Federal Prison Service and in various state and local systems, the most noteworthy of which is the California Department of Corrections. Additionally, many other state and local agencies have adopted varying degrees of functional unit management for their systems. However, there is much confusion, ignorance, and resistance among non-federal correctional agencies concerning unit management. This training program will serve as a forum on unit management in corrections. The program will specifically examine the implications of unit management as a standard response to prison violence, and as a primary impact factor on overcrowding, population management, and the more effective delivery of programs and services to inmates and staff.

OBJECTIVES:

THE FOLLOWING OBJECTIVES WILL BE ACCOMPLISHED:

- (1) Provide a review of current corrections functional unit management theory.

- (2) Identify and interpret emergent trends in correctional unit management systems -- eclectic versions, special housing units, physical plant models, alternative systems.
- (3) Construct a process analysis inventory of external *forces* effecting unit management systems development, (e.g., budget, manpower issues/turnover rates, physical plant, gangs, guard unions, bidding systems, etc.).
- (4) Present a comparative analysis of effective functional unit management systems especially designed as proactive control plans for potentially-violent populations.
- (5) Develop understanding of federal and state problems and concerns regarding violent offenders.
- (6) Acknowledge the fact that the handling of violent offenders is a national problem that crosses state and federal jurisdictions, and begin a dialogue regarding the use of:

unit management as an effective tool for handling violence.

- (7) Provide role simulation training for effective communication in staff-staff and staff-inmate relations in the functional unit context.
- (8) Assist correctional personnel in developing skills for networking and obtaining clearinghouse information services from their peers and other resources in the private sector.
- (9) Develop in-service training models for staff development of unit management supervisory and line personnel.
- (10) Establish a cooperative strategy for correctional. skills training involving federal and non-federal resources.

The specific objectives constitute the overall goal of professional development of practitioner skills by ensuring appropriate contact and assimilation of federal and non-federal expertise in correctional facility

initiatives concerning contemporary functional unit management systems. By educating these personnel as to the substantive developments in functional unit management in corrections, their awareness of and sensitivity to the applicability of this resource to the management problems of their respective agencies can be improved. This expertise can be strategized for correctional emergency response training in their respective agencies. The established operational record of unit management in the Federal Prison System over the past decade represents a significant management resource model and laboratory for comparative systems development by state and local corrections facilities. Concurrently, several non-federal systems have developed functional unit management for corrections operations that have been especially tailored to meet the manpower utilization resource constraints peculiar to state and local governments.

Most recently eclectic versions of functional unit management have been adapted by certain facilities of state and local corrections agencies for special offenders and problem groups within prisons. Examples of these are:

reception and diagnostic centers; psychiatric management units; disciplinary detention/administrative segregation; protective housing units; and management control unit:: for gangs and violent offenders. In these settings the fundamentals of functional/unit management are crucial to effective staff deployment and the provision of inmate services. The following listed advantages of unit management delineate the support features.

- (1) Unit management divides the large numbers inmates into small, well-defined and manageable groups, whose members develop a common identity and close association with each other and their unit staff.
- (2) Unit management increases the frequency of contacts and the intensity of the relationships between staff and inmates, resulting in:
 - (a) better communication and understanding between individuals;
 - (b) more individualized classification and program planning;
 - (c) more valuable program reviews and

program planning;

(d) better observation of inmates,
enabling early detection of problems
before they reach critical proportions;

(e) development of common goals which
encourage positive unit cohesiveness;
and,

(f) generally a more positive living and
working environment for inmates and
staff.

- (3) The multi-disciplinary unit Staff members' varied backgrounds and different areas of expertise enhance communication and cooperation with other institution departments.
- (4) Staff involvement in the correctional process and decisionmaking opportunities are increased, further developing the correctional and management skills of the staff.
- (5) Decisions are made by the unit staff who are most closely associated with the inmates, increasing the quality and swiftness of decisionmaking.

(6) Program flexibility is increased, since special areas of emphasis can be developed to meet the needs of the inmates in each unit; programs in a unit may be changed without affecting the total institution.

(Note: From UNIT MANAGEMENT, IMPLEMENTING A DIFFERENT CORRECTIONAL APPROACH, Robert B. Levinson, Ph.D., and Roy E. Gerard, Federal Probation, December 1973.)

Each of these advantages provides an enriched atmosphere in which inmates may be more likely to prepare for successful adjustment to confinement and eventual re-entry into the community. As noted, however, the signal features of these advantages, as now applied by the Federal Prison Service, will not have an immediate identifiable nature to most state and local systems. It is at this point that the selected non-federal participants must represent their current interest and concerns over the suitability of unit management. This training forum will provide an arena to vent these concerns through a training

process approach. The Federal Prison Service's historical and current program adjustments to provide for functional unit management will then be presented as a parallel to that of the state and local interest.

APPROACH:

This program will be presented through specific content units and discussion/role simulation sessions actively involving participants. The two approaches will be appropriately mixed to provide variety, maintain interest level, and to facilitate maximum interaction between federal and non-federal participants.

The following is a listing of preliminary topic areas for this forum on functional unit management.

UNIT I: OVERVIEW: FUNCTIONAL UNIT MANAGEMENT

THEORY FOR CORRECTIONS:

This unit will provide the basic definition of unit management: present its historical development in context with use by federal and non-federal agencies. The unit will conclude with specific correctional applications to prison violence controls.

UNIT II: ISSUES ARENA: A MANAGEMENT/MENTALITY! --
MANPOWER! -- MONEY!

This unit will construct, via a process analysis, the factors that support and/or constrain the development of functional unit management in a prison setting. Particular emphasis will be made on the external forces and de facto power groups that impact the management of the contemporary corrections bureaucracy, (e.g., budget/fiscal authority, litigation, unions, stability of job force, etc.). The emphasis will be on translation of skills of the Federal Prison Service career expertise to that of the non-federal client.

NOTE: As a resource document this unit will utilize research/evaluation materials on functional unit management systems, such as: The Comptroller General's Report on Unit Management in the Federal Prison Service; and the FPS Publication, Preliminary Evaluation of the Functional Unit Approach to Correctional Management, 9/15/75.

PARTICIPANT RESPONSE PANEL(S)

These units deploy the trainees into direct feedback: on the relevancy and practitioner skills in regard to the training program content. Participant response panels are set at intervals throughout the training week to ensure trainer/trainee interaction and to maintain a process evaluation system. (See attached schedule.)

UNIT III. THE FEDERAL PRISON SERVICE PERSPECTIVE: A MONITORING SYSTEM FOR UNIT MANAGEMENT.

This unit will consist of a thorough presentation on the administrative policy statements and regulations, personnel guidelines, physical plant factors, inmate classification system, caseworker program assignments, and other features of the Federal Prison Service unit management system. (a) staff roles; (b) correctional programs in a unit; (c) general management of a unit; (d) development of the unit plan.

UNIT IV: THE NON-FEDERAL (STATE/LOCAL) PERSPECTIVE:

This unit will consist of a thorough presentation of an established state corrections unit management

system. Components will include administrative policy statements and regulations, personnel guidelines, physical plant factors, inmate classification system, caseworker program assignments, and other features of a state-operated functional unit management system.

The emphasis highlighted in Unit II, above, will be further translated by examining those states that have reverted to unit management in response to violence potential situations. The prototype will be the Stateville Correctional Center, Joliet, Illinois.

This facility shifted to unit management via Federal Prison Service technical assistance in response to a situation of total gang control of Stateville in January 1979. The plans, implementation, stages of development, and current status will be examined.

NOTE: This unit will also utilize considerable information on state-operated unit management from The California Department of Corrections, San Quentin Prison.

UNIT V: ECLECTIC VERSIONS: A BEGINNING FOR THE
NON-FEDERAL SYSTEM.

As noted, many non-federal systems have developed versions of the functional unit management application to a sole facility or program. The specifics of these programs will be presented, especially in context with their initiation and survival in larger organizations that are not geared to agencywide functional unit management.

NOTE: The prototypes for this unit will be selected from the State of New Jersey Department of Corrections; the State of Arizona Department of Corrections; and the State of Florida Department of Corrections.

UNIT VI: UNIT MANAGEMENT AND THE PRISON PHYSICAL
PLANT.

This unit will consist of an evaluation of facilities designed to accommodate unit management programming. This includes the renovation of old facilities to accommodate the new unit offices; the renovation of inmate living areas which served as

open dormitories to that of private or semi-private cubicles; and special emphasis will be placed on contemporary correctional architecture which is explicitly designed to accommodate unit management-based facilities. (See sample attached.) "WE SHAPE OUR BUILDINGS, AND OUR BUILDINGS SHAPE US."

UNIT VII: UNIT MANAGEMENT AND THE INMATE --
POPULATION CONTROL ISSUES.

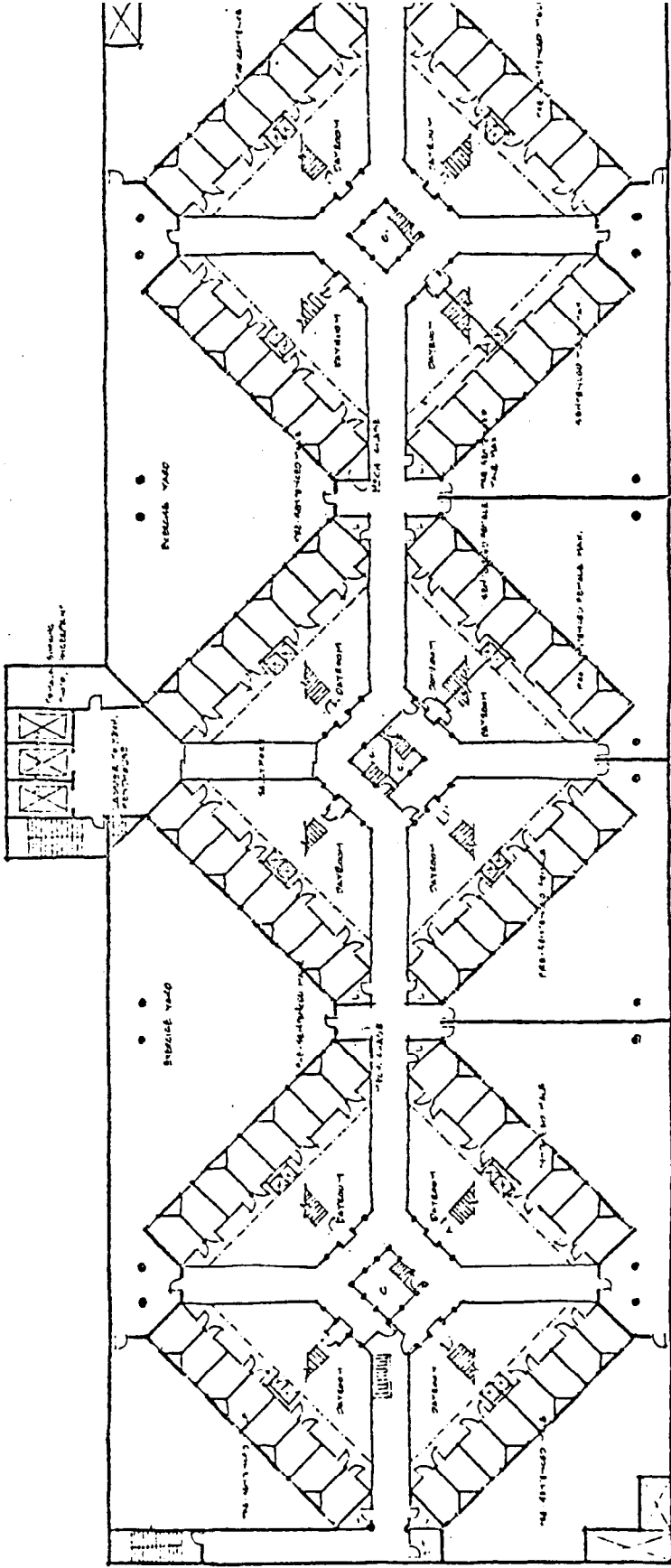
This unit will center on inmate and institutional management as a design to improve control and relationships by dividing the larger institutions' population into smaller, more manageable groups.

Special focus of this unit will be on inmate life issues such as maintenance of the initial classification decisions, disciplinary procedures; access to program; inmate-inmate and inmate-staff relations.

The Federal Prison Service inmate unit management experience is shared with the state participants as a grid comparing control factors available to each.

ISSUES CONSIDERATION: INMATE ASSIGNMENT FLEXIBILITY:

Too many specialized units; tendency to overclassify;



Level 4

U 75

less options for administrative uses for general assignments.

UNIT VIII: UNIT MANAGEMENT AND PERSONNEL:

This unit will particularly examine the manpower constraints of state and local facilities and the potential for adaption of these constraints via the Federal Prison Service unit management experience. The retention factors of turnover/absenteeism and training; the need for a stabilized job force are central components to be discussed. The requirement that the prison management hierarchy provide total fiat support of unit management mandate of an agency is positioned as a prime factor to the overall success of operation. How does a unit manager protect his flanks when the larger institution's manpower shortages attempt to reassign his unit personnel elsewhere? Union issues/bidding systems, and the plethora of problems intrinsic to unit management staffing will be examined as factors for role simulation exercises and home-base evaluation by participants.

UNIT IX thru UNIT XI: GROUP EXERCISES:

The training week will be interspersed with carefully-designed group exercises that will require participants to simulate key problems. Examples are: Tensions between the central institutional administration and the unit management team; decisionmaking between unit disciplinary committees and institutional disciplinary committees; unit staff being assigned elsewhere to meet the larger institutions' needs; unit-staff, unit-inmate relations; audit inspection results; unit management and the union. All of these exercises are process-oriented and will require a problem-solving and presentation by participants to the group as a whole.

UNIT XII: OPERATIONS ISSUES: DECENTRALIZATION - COSTS

This unit will focus on the prime factor of the realignment of institutional authority in terms of upper-echelon personnel -- associate wardens, shift captains, chief-of-security, etc. This is the group which most-acutely feels the impact of the shift to a functional unit approach in management. Particularly

at the department head level, feelings of loss of authority or status may result in staff morale problems. The overriding issue of costs linked to the differentiation of staff to adequately initiate and sustain functional unit management represents the second important factor of this unit. State and local systems must clearly understand these essential tenets to the successful implementation of unit management. Comparative costs considerations can be substantiated through litigation expenses, standards compliance, and other regulatory or legislatively-mandated modes.

RESOURCE GROUP: The Correctional Economics Center,
Institute for Economic and Policy
Studies, Inc.

UNIT XIII: THE AUDIT:

The audit mechanism provides the external quality control role available to upper-echelon management and certain other external agents to ensure that functional unit management is meeting overall agency/institution mission statement and administrative policy and procedures. Who takes the audit?

What happens to the documentation? How is this information utilized to maintain operations and/or initiate adjustments?

UNIT XIV: DEMONSTRATION STAFF MEETING:

The four-unit staff and custodial support (correctional officer) are in a regular meeting.

What occurs? Discussion of problems, inmate personalities, shakedown, incidents, et al.

Diffused roles of staff: who does the correctional officer in the unit belong to? -- the unit manager or the shift lieutenant? The real problem belongs to the poor correctional officer in most cases!

The responsibility of the unit manager: "the making of a mini-warden". The unit manager is then seen in a meeting with the institutional warden and other command staff. What occurs? This unit will carefully analyze the support structure necessary to "move" unit management. Other issues: selection of unit managers; evaluation of unit managers; staff options for promotions. What training does the unit manager need/receive?

UNIT XV: PROGRAM EVALUATION:

Evaluation instruments will be utilized throughout on a "daily log" basis. Participant response panels also serve as evaluation function. Evaluation will be geared to needs for future programming of unit management and prison violence potentials.

As noted, the framework for this training event will be presented through an integrated curriculum and course content structure that will encompass a three-tract approach.

TRACT (1) DEFINE UNIT MANAGEMENT AND PROVIDE AN OVERVIEW OF CORRECTIONAL UNIT MANAGEMENT THEORY PERTAINING TO PROBLEMS AND CONCERNS REGARDING VIOLENT OFFENDERS IN FEDERAL AND NON-FEDERAL AGENCIES.

TRACT (2) DEMONSTRATION TRAINING WITH ROLE SIMULATIONS. SPECIFIC APPLICATIONS OF UNIT MANAGEMENT FOR CONTROL IN CORRECTIONS.

TRACT (3) DEVELOPMENT OF SKILLS FOR NETWORKING AND OBTAINING CLEARINGHOUSE INFORMATION SERVICES FOR ONGOING UNIT MANAGEMENT APPLICATION TO PRISON VIOLENCE CONTROL STRATEGIES.

The design of this training will deliberately utilize a forum of collegial exchange of techniques used successfully in the various state and local systems and the Federal Prison Service. The participants will be grouped to maximize team building among their peers-and the Federal Prison Service expertise present. The fundamentals of unit management in corrections will be thoroughly stressed to prevent any sensational or reactionary attitude toward managing prison violence. Unit management will be presented as one of many alternatives to addressing the problems of violence. The simple control logic, management differentials, physical plant and functional unit by inmate group types will remain as key factors.

Acknowledgment of the fact that handling of violent offenders is a national problem that crosses state and federal jurisdictions will be made. This dialogue will then be utilized for establishing a cooperative relationship between state and federal corrections staff. It is important that the participants and trainers realize that this program is not an attempt to "strut" the Federal Prison Service record before the states. Rather, it represents

a process by which Federal Prison Service and state and local corrections practitioners can more aggressively identify resolutions anchored within their own systems. By observing these elements together, they can develop effective training programs and modify unit management systems in response to the particular prison violence situation of their respective locales.

Through this thorough process analysis of unit management concerning the immediate issues of overcrowding and problems specific to violence, the participants could generate new and more mutually supportive programs of unit management. The recent series of riots in the state prison systems of New Mexico, Idaho, Michigan, Nevada, and Iowa have clearly established a need for such a dialogue. All of these riot situations have resulted in a more active role by the Federal Prison Service in temporarily receiving inmate transfers on an emergency basis and by providing technical assistance and other services. Concurrently, the NIC has also become directly involved as a resource agent and technical assistance provider to those suffering the violence of prison riots.

Inmates of the contemporary prison represent a highly distilled group that is increasingly minority, younger, angrier and more politicized. Inmate power groups are not new in prisons, but the increasingly racial character of the inmate population has 'seen the development of a whole new set of informal inmate and staff power structures created as a byproduct to the formal recognition of legitimate religious groups. For example, the issue of inmate rights has in some cases provided a religious facade as a vehicle to power for militant sects/gangs established along racial lines. As these groups endeavor to legitimize their existence, they often utilize racist ideology as a convenient rhetoric and as a guise to disciplining their members, and as attempts at controlling the inmate economy. On the other hand, administration and staff reactions in the narrowing of traditional response options have developed new forms of counter-intelligence and strategies for control. This is extremely important to understanding the new factors basic to population management at all levels of the prison, affecting administration, staff and inmates. These are the variables affecting the balance in the cause and control of

prison violence. The application of unit management to such situations, often fraught with overcrowding, racial tension, and other more immediate indicators of violence can result in more rationale and equitable decisions for both inmates and staff. Properly developed within the exigencies that control local agencies, unit management provides a structural basis for meeting the needs of inmates and staff as well as checking the bureaucratic inertia that accompanies the problems of overcrowding and the effective delivery of inmate services.

TRACT ONE:

Necessarily, the opening tract (day-one-and-two) will involve the review and analysis of unit management in the correctional setting during the last several decades, with central emphasis on how it has affected changes in prison bureaucracies. This analysis will also examine the distinct nature of unit management and its propinquity to the operations of corrections. The movement toward greater involvement of prison architects, program designers and other experts in accommodating the concept of unit management will be addressed in this opening tract. An inventory of the

impact of unit management on such areas as classification, staff training, upward mobility, and inmate reintegration potential will be documented. The focus of unit management as a component and/or support system to a more collaborative prison through the development of grievance mechanisms, prisoner councils and other mediation structures can be made. The overall goal will be to present a composite understanding of the scope, development and present status of unit management. This will demystify the unit concept. Open considerations that unit management does not solely rest on physical plant and certain security keyed institutions. The example of the U. S. Penitentiary at Lewisburg, 'Pennsylvania will be used to refute the physical plant requirement.

The resource faculty for the unit of Tract One will be individuals conversant with specific content, operations and research on unit management in corrections. The participants, too, will serve as resource trainers. It is envisioned that these participants will be selected according to their direct agency involvement and/or interest in unit management. Experts from state systems will serve as resource persons.

As cited, an external evaluation research specialist in unit management could present cogent findings relevant to correctional programming of unit management in non-federal systems. Tract One will also include exemplary models developed as eclectic versions of traditional unit management and as a direct result of violence management initiatives in state prisons.

Tract One will conclude with an analysis of the operational aspects of unit management. This will detail manpower utilization and population management factors as preventive and/or proactive components to violence control. The determinant of budgetary provisions and comparative costs factors for unit and non-unit management systems will also be addressed in this operational analysis. Unit management is more expensive in terms of staffing outlays, but not more costly than a ruinous riot and some modes of outdated traditional management approaches to contemporary correctional problems, such as violence.

TRACT TWO: (Day-three-and-four).

This tract taps the expertise of the resource facility and participants in unit management and problem solving for

violence in corrections. A highly skilled group facilitator will be utilized to construct and orchestrate role simulation training of incidents/resolutions on these topic areas. Specific content of these simulations has been cited in the training units listed. These sessions are crucial to those participants not currently involved in unit management in order to perceive some of the realities and problems the unit management system faces in everyday operations.

Resource faculty will include practitioner experts such as Federal Prison Service Unit Captains, Correctional Officer, case worker, associate warden, and a like grouping from established state systems. These individuals will present the constraints and capacities demanded for rational decisionmaking processes in order to apply unit management principles to violence management in corrections.

TRACT THREE: (Day-four-and-five).

Tract three places closure on the training program by addressing support training needs, demonstration staff meetings, networking and brokering character of unit management staff and program maintenance. This tract will be to tap participants' understanding and concerns for

follow-up training and support services. It is this final section that the participant response panels become useful in fostering comfort for maximum exchange of views on the adequacy and appropriateness of unit management as an immediate resource for programming effective responses to prison violence.

Tract three will conclude with a "clearinghouse arena" to identify resources and develop networks for continued communication regarding the training needs addressed during the week. This final unit will include representative information packages and referrals to government and non-government resources concerning unit management application to the problems of violence in prisons. Examples of these are: The National Institute of Corrections, The National Criminal Justice Reference Service, The American Correctional Association, The American Society for Training and Development, the American Association of Correctional Training Personnel, and other training groups.

The attached training schedule lists the topic flow of the training week. Evening sessions could be adopted to accommodate more time or innovations in content coverage.

FOR PRISON VIOLENCE

DATE: OPEN

| MONDAY | TUESDAY | WEDNESDAY | THURSDAY | FRIDAY |
|--|--|--|--|---|
| INTRODUCTION/WELCOME PROGRAM GOALS AND OBJECTIVES OVERVIEW UNIT MANAGEMENT HISTORICAL DEVELOPMENT CORRECTIONS CONTEXT | THE FEDERAL PRISON SERVICE PERSPECTIVE THE STATE PERSPECTIVE ECLECTIC VERSIONS | GROUP EXERCISE ON UNIT MANAGEMENT MATRICULATION ISSUES | OPERATIONS ISSUES DECENTRALIZATION BUDGETARY CONSIDERATIONS REALIGNED AUTHORITY | DEMONSTRATION UNIT EVENT MEETING PARTICIPANT RESPONSE PANEL CLEARINGHOUSE ARENA |
| LUNCH | LUNCH | LUNCH | LUNCH | PROGRAM EVALUATION |
| ISSUES ARENA... A MANAGEMENT MENTALITY... MANPOWER AND MONEY; PROCESS ANALYSIS EXTERNAL FORCES EFFECTING CONTROL PARTICIPANT RESPONSE PANEL | UNIT MANAGEMENT AND THE PRISON PHYSICAL PLANT UNIT MANAGEMENT AND THE PRISONER.. POPULATION MANAGEMENT ISSUES UNIT MANAGEMENT AND PRISON PERSONNEL PARTICIPANT RESPONSE PANEL | GROUP EXERCISE DISCIPLINARY COMMITTEE (UDC V. IDC) COMPARATIVE SYSTEMS REVIEW PARTICIPANT RESPONSE PANEL | GROUP EXERCISE ASSOCIATE WARDEN CRISIS UNIT C.O. CRISIS SUPPORT TRAINING MODELS | TRAVEL TIME |