PRISON MANAGEMENT BOOKLET

Project "Further Support for the Penitentiary Reform in Ukraine"

John McGuckin (author)
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Programmatic Cooperation Framework for Armenia, Azerbaijan, Georgia, Republic of Moldova, Ukraine and Belarus

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This booklet was developed in the framework of implementation of the European Union and Council of Europe Programmatic Cooperation Framework for Armenia, Azerbaijan, Georgia, Republic of Moldova, Ukraine and Belarus Project «Further Support for Penitentiary Reform in Ukraine».

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FOREWORD

By and large, the public takes little interest in prison matters. In many Council of Europe member States, the prevailing attitude is: we need more security against crime and therefore offenders should be kept off the streets.

There is no doubt – crime should not go unpunished. However, the bottom line is that all offenders, after serving their prison sentence, will be released and walk free, with the same rights as we have. They will look for a job and for housing, and it may well be that they will work or live in the same neighbourhood as we do. So the question the public should ask more often is, who do we want to be our neighbours? Who do we want to cross in the street on our way to work, or meet in the park where we take our children to play?

The answer is obvious – we do not want to meet recidivists hardened by inhuman and degrading treatment in overcrowded prisons run by criminal gangs. We want to meet people in good physical and psychological health, people who have made their decision and have the attitude to keep it – people who have acquired the skills needed to reintegrate, re-socialise and live the normal life of law-abiding citizens.

Preparing prisoners for their release is perhaps the most important role and responsibility prisons have in society. To be able to play this role, prisons must be managed well and properly staffed. Prison staff must have the necessary training to be equipped to do their daily work with professionalism and confidence.

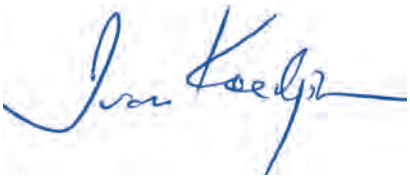
Unlocking the potential of individual prisoners to transform their lives requires new managerial approaches in prisons. Amongst the key issues for consideration are the leadership, the integrity and how to motivate staff, within a framework of ethical principles and values. This is the purpose of the standards for the prison profession enshrined in a whole range of Council of Europe Conventions, the Committee of Ministers' Recommendations and the case law of the European Court of Human Rights.

This manual is based on the lessons learned and the good practices developed in the prison systems of several Council of Europe member States. It presents a range of European prison management routines, selected and adapted for

the use of the managerial staff of the Ukrainian prison system: prison directors, their deputies, assistants and members of the management teams in prisons.

We do hope that this publication will motivate the prison managers to be the drivers of change towards human rights-based prison management. Human rights-based prison management is a matter of helping human beings in vulnerable situations, often left behind by their family, friends and community, to find their way back to society. A challenging and noble responsibility – and an invaluable contribution to the whole Ukrainian society.

This manual is prepared within the Project on "Further Support to the Penitentiary Reform in Ukraine" implemented under the European Union and the Council of Europe programme Partnership for Good Governance.



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PREFACE

This booklet is primarily intended for staff in the prison system in Ukraine: It will provide practical and theoretical guidance in managing prisons. It aims to improve the skills of prison staff both to use existing resources and to apply appropriate management techniques to achieve better results in the field of enforcement of criminal sanctions. The purpose of the booklet is to:

- provide practical advice to those working in prisons
- reference this advice to relevant International and Regional instruments
- provide some theoretical models of management which can be applied in prisons
- offer guidance from practitioners on good practice in prison management.

SECTION 1: **INTRODUCTION**

Prisons have an essential role in society. A prison system based on international standards and positive local legislation is a good system, one which is grounded in a deep respect for the rule of law and human rights. A principle objective of this booklet is to explore and understand practical ways in which prison staff can effectively implement international standards and norms in the institutions for which they are responsible.

Prison work as a profession

Professional identity is rooted in the understanding and ethical application of a body of specialised, developing knowledge and work skills. Modern prison work requires a high degree of professional skill and awareness. It is important that this should be recognised and that the men and women who work in prisons should be capable of performing at a high level. This booklet will made prison staff more conscious of the fact that the prisons that they work in are part of a wider structure and that what happens in one part of the system can affect other parts. Key issues for consideration will be leadership, integrity and how to inspire and motivate others, encompassed within a framework of ethical principles and values.

If one accepts that prisons are places where the relationships between the human beings involved have a central role to play , there is a need for prisons to operate within an ethical context. The management of prisons is primarily about the management of human beings. There are issues that go beyond effectiveness and efficiency. When making decisions about the treatment of human beings there is a more radical consideration. The first question which must always be asked when considering any new initiative is, "Is it right?".

Leadership

The importance of leadership runs throughout every level of the system. It begins in individual prisons where the character of the person in charge of an area or unit can be decisive in setting the culture of the establishment. Prison systems are hierarchical organisations and all of those involved in them will tend to look to the person at the top for a lead as to what is expected in terms

of attitude, behaviour and manner of working. The prisons with the most humane atmosphere, with the most positive culture, are likely to be those with the most visible leadership. It is also important to recognise that strong leadership is also more likely to produce efficient security systems and a safe environment. This leadership can be demonstrated in a number of ways.

Staff/Prisoner relationships

There is a need to keep reinforcing the fact that prisons are dynamic institutions in which the most important elements are human beings. They are not inanimate entities made up solely of buildings, walls and fences. Real change in any prison system cannot take place without the involvement of both staff and prisoners. There are only three constant features in any prison system: the prison itself in which prisoners are held and the prison staff who look after them. The key feature for the success or failure of any prison system that is to be run in a decent and humane manner is the relationship between prisoners and the prison staff with whom they come into contact on a daily basis. This means, first of all, the uniformed staff who unlock prisoners in the morning and lock them up last thing at night. There is a relationship of mutual dependency between prisoners and prison staff. One group cannot exist without the other. Between them they can have the greatest influence on whether the prison has a human or an inhuman environment.

On a day to day basis what makes prison life either tolerable or unbearable for prisoners is their relationship with staff. Any attempt to change the culture of a prison or of a prison system has to recognise this fact. This also underlines the reality that prisoners are not mere passive players in this scenario. They must be actively involved in the organisation. This is not to deny the fact that staff have to control the routine of the prison. However, it has to be acknowledged that all the internal players in the prison, prisoners as well as staff need to be treated with respect.

Having said that, it should never be forgotten that prisons are primarily hierarchical institutions in which everyone has his or her place. It is important to know what the boundaries are and not to overstep them. If there is to be real culture change in a prison this structure has to be changed in a manner which breaks down the barriers between staff and prisoners without threatening the legitimate needs of security and good order. This radical change will only come about if those responsible for prison systems are determined in their efforts and leave junior staff in no doubt about what is expected of them.

Staff attitudes

If the culture of a prison or a prison system is to be fundamentally altered there also has to be a change of attitude on the part of staff. Most prison staff wish to do their work well and in a professional manner. In the course of their careers they may have come to and no major violent incidents. In the course of daily activities, the important thing is to have a quiet life: "A good day is a day when nothing happens". For these staff a good prisoner is a quiet prisoner. If the negative culture of the prison is to be converted into something more positive, the attitude of staff to their work and to prisoners needs to be positive. One often finds that the staff who are most resistant to change are not necessarily those with the longest service.

SECTION 2:
CONCEPTS OF PROFESSIONALISM

We recognise it when we see it, but how can we define professionalism? Can prison staff be described as professionals?

A 'true' professional must have:

- Relevant professional qualifications
- Be competent and expert in the use of specialised knowledge in the field of professional practice
- Possess excellent practical and literary skills in relation to the requirements of the profession
- Produce consistently high quality work in work endeavours
- Demonstrate in their practice high standards of professional ethics and ethical behaviour.

Prison staff has increasingly sought to be perceived as professionals. However a number of barriers remain in place before the professionalisation of prison work may be complete. It is potentially a dangerous occupation, usually with monotonous routines. It may also be thought to involve questionable ethical practices. Until such factors change, the status of prison staff as professionals will continue to be questioned. Moving beyond the task of merely locking and unlocking prisoners, prison staff begin to perceive themselves as having a wider and more "professional" role in the management of prisoners. There remains work to be done within prisons in order to develop a professionalised prison workforce. While there is no doubt that the administration of punishment requires specialised expertise and knowledge, professional autonomy for prison staff operating in secure environments requires an examination of the ways it differs from the operation of professional autonomy in other occupations.

Professionalism of Staff.

European Prison Rules 72

1. Prisons shall be managed within an ethical context which recognises the obligation to treat all prisoners with humanity and with respect for the inherent dignity of the human person.

2. Staff shall manifest a clear sense of purpose of the prison system. Management shall provide leadership on how the purpose shall best be achieved.

3. The duties of staff go beyond those required of mere guards and shall take account of the need to facilitate the reintegration of prisoners into society after their sentence has been completed through a programme of positive care and assistance.

4. Staff shall operate to high professional and personal standards.

All recognised professional occupations have a Code of Ethics. The Council of Europe has produced a Code of Ethics for Prison Staff (*Recommendation CM/Rec (2012)5)* and recommends that the governments of member States be guided in their internal legislation, practice and codes of conduct for prison staff by the principles set out in the text of the Code of Ethics for Prison Staff, which should be read in conjunction with the European Prison Rules. In general, a Code of Ethics should outline what the prison considers to be right and wrong or good and bad behaviour. It also signifies a professional identity within the field, and serves as a marker or guideline for personal and departmental evaluations. The 'professional identity' of prison management is rooted in an understanding and ethical application of a body of specialised and, developing: knowledge; work skills and ability.

It is often said that relationships are 'at the heart' of prison life. The moral quality of prison life is enacted and embodied by the attitudes and conduct of prison staff. There are important distinctions to be made in their work: for example, between 'good' and 'right' relationships; 'tragic' and 'cynical' perspectives; 'reassurance' and 'relational' safety; and 'good' and 'bad' confidence. These distinctions are largely unseen but decisive in shaping the prison's moral and social climate.

Authority – or the use of power – is a serious business. One of the essential commitments prison staff make when they enter prison work is to the exercise of authority. Its use is not always obvious: it is not just at the point of disciplinary action that power is used, but prior to this, in preparations to use or avoid disciplinary procedures, or in everyday interactions. They must give their authority and power legitimacy. Legitimacy means authority used rightfully, or 'power exercised in accordance with established rules' and values.

What is distinctive about prison work is that it is based on, or requires subtle use of power. This is highly skilled work. Competence in the use of authority contributes most to prisoner perceptions of the quality of life in a prison. Staff decision-making is 'low-visibility work' in relation to their senior managers. But it is 'high visibility work' in relation to its key audience – the prisoner. Prison staff do not have the luxury of an impersonal bureaucracy through which to transmit their power. They do it face to face.

Important aspects of professional behaviour

Respect for others: Showing others respect is the basis of all professional behaviour. It includes:

- Being courteous and having good manners
- Being punctual
- Keeping confidential details confidential
- Being fair in all dealings
- Keeping personal opinions of people private
- Doing what needs to be done, not leaving it for others to do
- Acceptance of constructive criticism
- Being fair when giving feedback
- Dealing with sensitive issues privately
- Make allowances for other's mistakes
- Listen to others
- Apologise for any errors or misunderstandings
- Speak clearly and in language that is appropriate and that the receiver can easily understand

Responsibility and integrity

All professionals need to take responsibility for themselves and their work. They need to consider consequences and the impact on others.

- Honesty is crucial – avoid even the smallest of lies at all costs
- If you commit to something, then follow through with it
- If you are delayed, let the other person know as soon as possible
- Always be respectful about competing people – point out your benefits rather than their faults
- Be prepared before meetings and when presenting reports
- Ensure you have made yourself clear to avoid any miscommunication
- Avoid conflicts of interest
- Be impartial – keep personal bias and intolerances out of the workplace
- Be reliable and dependable
- Take appropriate actions, rather than trying to hurt someone when you feel wronged
- Ensure you present yourself pleasantly with good hygiene and appropriate dress codes.
- Pay for services and products promptly, whatever the cost to yourself
- Demonstrate self-control and avoid public arguments and disagreements
- Commitment to quality

Nature of professional practice

Situational awareness, decision-making and action are professional attributes of prison staff. Combined, these professional attributes provide a fourth aspect, what is called meta-cognition. The concept of *meta-cognition* is based on a person's ability to be aware of what they are doing or have just done. It includes an awareness of how things are going, spotting a need to change something in mid-stream, rapid moments of reflection and a more explicit attempt to remember and reflect on what happened through a personal diary or a group debriefing.

- *Assessing prisoners and situations* (sometimes briefly, sometimes involving a long process of investigation), on your own or as part of group.

- *Deciding* what, if any, action to take, both immediately and over a longer period (either individually or as a member of a team)
- *Pursuing an agreed course of action*, individually or collectively; and modifying, consulting and reassessing as and when necessary
- *Meta-cognitive monitoring* of the people involved, (colleagues, visitors or prisoners, individually or collectively) and following the general progress of the problem, project or situation.

It is important to be able to do the right thing at the right time. In practice this means that you have:

(1) to understand both the general context and the specific situation you are expected to deal with;

(2) to decide what needs to be done by yourself and possibly also by others;

(3) to implement what you have decided, individually or as a group, through performing a series of actions.

Each of these components of performance can take many different forms according to the context, the time available and the types of technical and personal expertise being deployed.

The CPT Standards[1] identify the importance of developing professionalism for staff. In the section on Staff-Prisoner relations, they state that the 'cornerstone of a humane prison system will always be properly recruited and trained prison staff who know how to adopt the appropriate attitude in their relations with prisoners and see their work more as a vocation than as a mere job. Building positive relations with prisoners should be recognised as a key feature of that vocation. The real professionalism of prison staff requires that they should be able to deal with prisoners in a decent and humane manner while paying attention to matters of security and good order. In this regard prison management should encourage staff to have a reasonable sense of trust and expectation that prisoners are willing to behave themselves properly. The development of constructive and positive relations between prison staff and prisoners will not only reduce the risk of ill-treatment but also enhance control and security. In turn, it will render the work of prison staff far more rewarding' (CPT Standards 26).

1 The European Committee for the Prevention of Torture and Inhuman or Degrading Treatment or Punishment (CPT)

Presentation of Self as a Professional

Appearance. Appearance functions to portray to people your social statuses. Appearance also tells us of the individual's temporary social state or role, for example whether he is engaging in work (by wearing a uniform), informal recreation, or a formal social activity. Dress and props serve to communicate gender, status, occupation, age, and personal commitments.

Prisons are hierarchical structures. The uniform is seen as a vital component of the structure. The uniform itself is endowed with considerable force and is seen as the source of the prison officer's strength, the vivid symbol of intense occupational solidarity and a high level of organization within the occupation. Research has shown that a uniform has been demonstrated to affect compliance, as well as trigger aggression against the wearer. A process of deindividualisation can takes place wherein the uniform attenuates the wearer's sense of moral responsibility resulting, at times, in aggressive interpretations of one's role. Conflict resolution can become more difficult and attitudes towards a non-uniformed wrong-doer can harden.

Importance of Acting Professional

It is important to remain professional at all times when engaged in prison work. Being professional not only lets people know you are a reputable person to work with, but also conveys intelligence and poise regarding your position. People who are professional are unfailingly polite, courteous and well-spoken, no matter what the situation. Being professional means you keep your cool and remain calm under any circumstances. No matter how upset a co-worker or prisoner makes you, you don't react; you deal with the situation rationally and calmly.

Dealing with Unprofessional Behavior

Not everyone places an emphasis on professional behavior. When this happens, it's important that you still remain business like and not react to this adverse behavior. Instead, remain professional, no matter what the behavior is of those around you. Many people confuse professionalism with passiveness. However, it is far more important to remain committed to your work and behave ethically in all endeavours. Remember that it is possible to remain passionate about what you do and still be willing to stand up for yourself and your ideals. Behaving professionally is an implicit, tacit trait that makes you look confident. You must also act appropriately for the circumstances.

Acting like a professional requires no special skills and only a little knowledge, with some basic principles in place and a desire to learn, you can act professionally.

Meet deadlines. Prove yourself reliable. Make deadlines sacrosanct, even if that means putting other areas of your life on hold. Tracking your time helps you complete projects on deadline and gives you an idea of how much work you can realistically tackle in any given week.

Keep your word. Don't make promises you can't keep. When you've said you'll do something, do it.

Be friendly. Being professional doesn't mean you should act standoffish. Remember your manners every time you talk to staff and prisoners.

Dress professionally. Donning a professional outfit when you go to meetings helps you feel more confident and reflects well on your professional approach. There is no advantage to dressing in an unflattering way. Humans are primarily visual creatures so you have to appeal to this faculty as much as possible. Wearing decent clothes is easy, just do it. It just might save your or boost your reputation. It is the ultimate professional accessory. Ensure you present yourself pleasantly with good hygiene and appropriate dress codes.

Show up for work and for meetings on time or five minutes early. Being on time demonstrates respect for others, responsibility, and eagerness. Being late creates an impression of irresponsibility, disrespect, and a lack of interest.

Be present at work every day, unless you are seriously ill or have a family emergency. If you have extenuating circumstances that prevent you from working, you should contact your supervisor immediately. Attendance at work meetings is also very important, and is not optional. If you are asked to attend a meeting, take this as a mandatory request and not as an optional invitation.

When you enter a meeting, **turn off your cell phone** or anything that makes distracting noises throughout the day. If you need to make any personal calls, make them during your lunch hour and in a private setting that is out of earshot of others.

When someone makes a mistake

Do you like to be publicly called out when you've made a mistake? Neither does anyone else. Professionals resist the urge to be negative, point out a person's faults, or undermine the authority of another. When it comes to making improvements, true professionals use their energy to solve problems, not just identify them. They will approach someone with possible solutions to the issue at hand privately or through appropriate channels first. Though it is appropriate to stand up when injustices are being done, a professional recognises the difference between what is pressing and what is petty.

When you are corrected

Professionals do not make excuses. As with other requests, if they are offered ways in which they could improve or are reprimanded for inappropriate behavior, a professional accepts the correction (whether they agree or not), tries to consider, apply the suggestion or do better next time, and then moves on. They do not blame unfortunate circumstances or other people for their mistakes. As a result, positive and professional leaders have good things happen to them because they are prepared to take the bad things that happen in stride. They cannot and will not play the victim. They recognise that a negative person creates a negative world around themselves and instead choose to motivate others to join them in their positive outlook.

When you have been wronged

Inevitably someone will disappoint you or do something that is unfair or unjust. It happens. Everyone faces this at some point in their professional career and/or personal lives. A professional acts with dignity in response to these situations. They recognise that fears and insecurities can damage a person's ability to think positively, act with generosity, and conduct themselves appropriately. You can avoid behaving badly in reaction to their behaviour without letting them take advantage of you or the situation. A person who goes about tearing down others is only opening themselves up to the same kind of scrutiny and backstabbing they distributed. No matter what has been done to them, a professional will always be the better person. They will take action through appropriate channels instead of dealing out their own form of justice.

When you are the one who has wronged

No one is perfect. Even professionals have bad days. They sometimes do, say, or act in a way that is not only unprofessional but unbecoming. Being mature enough to recognise when one is out of line, apologising, and then taking responsibility for the outcome is essential for someone that wants to continue to be viewed as a professional even when mistakes are made.

SECTION 3: **VISION AND MISSION**

Vision: The vision is a broad statement of the current and future purpose for which the organisation exists. The vision represents a deeper level of motivation than the mission. The vision describes what the organisation wants to do or where it wants to go. It projects an ideal future.

Mission: The mission is a statement that identifies the core purpose of the organisation. The mission describes the means to achieve the vision, i.e., how the organisation will get there. It should be both attainable and measurable. Although the vision cannot always be reached, the mission can.

Prisons should consider developing a mission statement and a statement of values to guide the operation of the prison. To instil into staff a sense of vision or a belief that what they do is of value is a huge task for those who are in charge of a prison system. It cannot be done in a haphazard manner, nor will it come about by accident. It can only be achieved if there is a coherent strategy based on the premise that good staff who are publicly valued are the key to a good prison system.

Understanding Vision

Responsibility

The Governor is responsible for the leadership and effective management of all prison operations and services. The Governor should:

- Establish the prisons vision ***and mission.***
- Set clear ***goals and objectives*** to ensure the alignment and/or development of the organisational and administrative systems to support the mission. Evaluate progress toward desired outcomes.
- Build an ***organisational culture*** that supports the attainment of desired outcomes.
- Develop a ***competent and diverse management staff*** to ensure that the vision, mission, and goals are achieved.

The purpose and justification of a sentence of imprisonment or a similar measure deprivation of liberty is ultimately to protect society against crime. This end can only be achieved if the period of imprisonment is used to ensure, so far as possible, that upon his return to society the offender is not only willing but able to lead a law-abiding and self-supporting life.

Standard Minimum Rules for the Treatment of Prisoners, Standard 58

Staff shall manifest a clear sense of purpose of the prison system. Management shall provide leadership on how the purpose shall best be achieved.

European Prison Rules 72.2

By their nature, prisons are conservative organisations. The existence of routine is often welcome to both prisoners and staff. Routine is familiar, comfortable and understood by all. A change to routine is often seen as highly threatening, and a seemingly minor change may provoke a reaction which seems out of proportion to the change being contemplated. It is important for prison management to understand that prisoners and staff may have a shared stake in many routines and practices, and that to introduce change requires a solid understanding of the dynamics at work and the inter-relatedness of much of what happens in prison.

Implementing the Mission

The challenge for Governors and the management team is to see that a plan is created to develop and implement goals that achieve the mission. One of the most common reasons that mission statements fail is that no structure has been provided for how to use them.

Vision and Mission – Managing Change

Effective leadership is about managing change, transforming prisons and improving their performance. Effecting organisational changes within prisons is a complex task involving many layers of staff and management as well as other organisations. Of course there is also the impact on prisoners themselves that will need to be considered with any change.

There are five elements of the process that should be understood

> The quality of prison life depends far more on management practice than on any other single variable
>
> **John Dilulio**
> **Governing Prisons**

Why Do People Resist Change?

Staff are generally afraid or anxious about the unknown. Change is a step into the unknown. With good consultation, sound planning clear communication and continuous monitoring, change need not be traumatic. People resist change because the change is:

- Perceived by them to be negative, and
- They do not want to deal with the reasons for it.

Resistance is a way of expressing feelings of concern about making a change.

Resistance is inherent to change. To deal with resistance, you should be able to:

- Identify when resistance is taking place
- View resistance as a natural process and a sign that you are on target
- Support the client in expressing the resistance directly
- Not take the expression of the resistance personally or as an attack on you or your competence.

Vision must be supported by organisational ethics and values.

It requires great skill and personal integrity to carry out prison work in a professional manner.

Ethics and values must drive the organisation. Moral and ethical considerations must be the highest priority for staff in prisons. If this is not the case, a noticeable rift will appear between the vision and day-to-day actions. Failure

to articulate and demonstrate appropriate ethical standards will result in a demoralised staff who will not try to implement the Governor's vision.

Ethics

Ethics: Ethics encompasses the standards for evaluating right and wrong and the personal qualities that sustain the ability to make and act on these judgments. Ethical standards guide decisions and focus behaviour for right or wrong action. They anchor our sense of personal and professional integrity.

Values: Values include principles, qualities, or aspects of life that individuals believe possess intrinsic goodness or worth. They also include qualities of character, such as courage, prudence, and fidelity, which provide the moral and psychological foundation to sustain judgment and act on it.

Good leaders are people who can inspire their staff and colleagues and who are able to offer a sense of self-worth and personal value and are themselves governed by strong moral values and ethics in all aspects of their lives. Some of the ways in which leaders can encourage accountability throughout an institution or a whole prison system are:

- Demonstrating personal integrity and ethics in order to create a positive prison environment. Staff and prisoners will look to prison management to set an example and to set the tone of the institution. If leaders do not show integrity and professional ethics in their behaviour and decisions, others should perhaps not be expected to do so.
- Being accountable and taking responsibility for one's own actions and creating an atmosphere of transparency. This is especially important when a mistake or wrong decision has been made. People generally have more respect for leaders who are willing to accept responsibility and, if necessary, take the blame for their own mistakes.
- Setting clear boundaries within the prison to define acceptable and unacceptable behaviour. Clear communication with staff and prisoners on all aspects of prison rules, regulations, policies and procedures cannot be overestimated. When everyone is clear about what is expected of them, there tends to be less confusion and greater effectiveness in the performance of duties.
- Being fair and equitable with staff and the prisoners. If the leader is not perceived to be fair and equitable, it will affect staff morale, performance, and compliance with existing rules and procedures. Unfair decisions and practices may also generate discontentment and affect safety and security within the prison.

- Cooperating with oversight mechanisms. It is important that prison leaders respect and work with all oversight mechanisms. This is part of the system of accountability and can demonstrate how transparent the prison leadership is prepared to be. Oversight mechanisms should be viewed by good prison leaders as a form of constructive feedback rather than a negative process.

Good leaders have to be seen to be consistently ethical and fair.

Recommendation CM/Rec (2012)5 of the Committee of Ministers to member States on the European Code of Ethics for Prison Staff

This code applies to prison staff at all hierarchical levels. Makes recommendations on:

A. Accountability
B. Integrity
C. Respect for and protection of human dignity
D. Care and assistance
E. Fairness, impartiality and non-discrimination
F. Co-operation
G. Confidentiality and data protection

Integrity is not always an easy concept to define. Integrity means balancing one's beliefs, deciding on the right action, and then summoning the courage and self-control to act on those decisions. Integrity is often shown in mundane daily decisions; sometimes, however, in situations of stress and temptation, it requires one to deliberate carefully, decide, and act on one's beliefs, even when self-interest, temptation, or passion points in a different direction.

Ethical behaviour lies at the heart of good management and leadership.

Personal Attributes for Ethical Action

Accept responsibility for actions. Leaders must know and acknowledge the legal and moral obligations that come with a position and avoid the temptation to shirk responsibility. Accepting responsibility increases a person's commitment to act competently. Responsible leaders acknowledge their contributions to the consequences of actions and avoid the blame game.

Act with self-discipline. Leaders must restrain their own passions and prejudices and avoid favouritism and thoughtless actions that do not contribute to desired consequences or fulfil legitimate obligations. Self-discipline is part of the foundation of ethical and professional behaviour.

Reflect on actions and act on the basis of reasoned reflection. Gut instincts, although occasionally right, often carry the weight of years of socialised and thoughtless prejudice or past habits that may be inappropriate for present conditions. Ethics requires thoughtful consideration of the obligations, laws, rules, and stakes in a situation, as well as an assessment of the consequences before taking action.

Unethical Behaviour

Ethical behaviour should not be confused with legal behaviour, but the two are intimately linked. Law and accountability legitimise public institutions. Individuals promise to abide by the law and remain accountable as a condition of taking their positions. In this sense, obeying the law and rules covers a great part of ethics; however, ethical behaviour demands a much deeper approach to decision and action than just obeying the law. It also requires knowing the reasons behind the law and understanding and taking into account the context. It means combating the pressures that undermine professional ethics in prison work.

Common Types of Unethical Behaviour

Unethical actions usually involve the abuse of trust and position in situations in which individuals impose their own private judgment or interests in place of legal, professional, or other objective standards of accountability. Such actions can be individual, or they can be abetted by group norms of performance or silence that protect or encourage wrongdoing. Three of the most common forms of unethical behaviour involve violations of trust, self-dealing and conflict of interest. Although they are presented as separate categories, these behaviour's often overlap, and many unethical actions involve all three.

Three Common Forms of Unethical Behaviour

Violations of Trust

One form of unethical behaviour is violating the standards of professional action and competence promised by accepting the position. This can occur in

the actions themselves or in their impact on the procedures that support accountability and professional conduct. Violations of trust include the following:

- ***Incompetence:*** Failing to meet the required standard of performance. Competence is the building block of organisational ethics. Prison manager's competence is presumed when they accept the position. Others depend on that competence. Failing to address incompetence infects the larger organisation and undercuts the efforts of competent individuals.
- ***Abuse of power:*** Using excessive coercion to achieve the organisational goals required by competent performance. Threats to use coercion against staff or prisoners to achieve personal ends not sanctioned by the organisation or cover up actions also constitute abuse of power and represent an especially abhorrent type of unethical behaviour.
- ***Lying:*** Passing on deliberate untruths to superiors or subordinates or failing to disclose to them the information they are entitled to have to do their job. Lying distorts the ability of the organisation and its responsible officials to understand exactly what is occurring in the organisation. It cuts accountability off at its roots and makes excellent performance impossible. If mistakes are covered up or not acknowledged, individuals cannot grow and learn.
- ***Favouritism:*** Treating other individuals, such as staff, clients, or prisoners with special favours that violate consistent standards of treatment.
- ***Discrimination:*** Violating the dignity of other human beings by judging them on the basis of morally irrelevant attributes such as race, religion, gender or ethnicity. Such discrimination invites conflict, becomes a flashpoint for violence and lawsuits, and destroys the capacity of teams to function together.
- ***Disrespect:*** Treating individuals in ways that violate the basic tenets of civility, truthfulness, and support that others have the right to expect as employees, citizens or prisoners. Too often, leaders mistakenly think they are showing respect when in fact they are simply not telling the truth or are avoiding the hard decisions that are required for institutions and people to grow and improve.
- ***Silence or looking the other way:*** Colluding in or permitting unethical or illegal action by pretending not to see it, not reporting it, or going along with inappropriate peer behaviour. This can also include superiors who know of this behaviour and do nothing about it. Codes of silence are the main weapon corrupt cultures and actions use to flourish.

Self-Dealing

Self-dealing is the use of a person's official position to profit beyond the normal benefits and compensation accorded officials in that position. Self-dealing includes the following:

- ***Bribery:*** Providing or accepting special treatment in exchange for some form of gain.
- ***Theft:*** Taking public resources that should be devoted to a public purpose and using them for personal purposes or gain. This can include theft of resources or time. Often the problem of theft starts with small items, grows into a sense of entitlement, and becomes a larger systemic problem.
- ***Inefficiency:*** Using excessive amounts of public resources to achieve an end that could have been accomplished with fewer resources (e.g., purchasing, for personal convenience, equipment with unnecessary features or of a quality beyond what is needed to do the job well).
- ***Collusion:*** Cooperating with other individuals, including outside contractors, in making decisions and allocating resources in ways that are inefficient or that provide excessive gain to the contractor or individuals.
- ***Kickbacks:*** Accepting payment from an individual or contractor in exchange for favourable decisions to allocate resources to that individual.

Conflict of Interest

A conflict of interest occurs when an official decides or acts in circumstances in which the official or those related to the official, stands to benefit materially from the decision or action. Most professional, agency, and institution codes of ethics focus on these issues. Nepotism – where spouses, friends, or relations report to each other – jeopardises the integrity of the chain of command. Nepotism and similar conflicts of interest undermine the quality of judgment and the perception of fairness.

What Contributes to Unethical Behaviour?

Unethical actions can occur at an individual level, but more often such actions reveal a culture of predictable and systemic corruption. Organisational susceptibility to unethical behaviour and corruption follows from a number of identifiable problems that arise from a combination of inadequate oversight

and several different but often overlapping situational variables. Problems to address include:

- Sporadic or lax oversight or limited training, which invites unethical performance.
- Factors that place constant stress on personnel, such as significant inequality of power, especially when exacerbated by differences of race, ethnicity or religion.
- Unrealistic performance goals coupled with a lack of support, resulting in inadequate performance reports.
- Threats to safety, which encourage staff to employ unethical methods they believe are necessary to survive.
- Personnel facing reduced or inadequate staffing levels, larger workloads, or different or more difficult prisoner populations.
- Management looking to fix blame rather than fix the problem.

These situations tempt staff with normal levels of self-interest to adopt unethical behaviour so they can function in excessively demanding and undermanaged environments.

Threats to Ethics in a Prison Environment

Several aspects of a prison environment constantly work to undermine the integrity and ethical actions of prison managers and supervisors. These include peer culture, denial of responsibility, rigidity, dominant informal actors, tensions created by diversity and silence.

Threats to Ethics in a Prison Environment

- Peer culture
- Denial of responsibility
- Rigidity
- Dominant informal actors
- Tensions created by diversity
- Silence

Peer Culture

Pressures from peers can push individuals to engage in dangerous or unethical behaviour. A primary obligation of managers and supervisors is to understand and positively influence the peer culture of prison officers, staff and prisoners.

Denial of Responsibility

An easy way to avoid making a difficult decision is to deny responsibility. Denial of responsibility permits individuals to commit or omit an action but put the blame on others.

Rigidity

One way to deny responsibility and avoid accountability is to rigidly follow Orders and Rules. This is often a substitute for exercising judgement or acting ethically. However there is an obvious tension between rules which are absolute and those where discretion may be expected.

Dominant Informal Actors

Informal cultures like prison are vulnerable to the excessive influence of strong individuals. The most dangerous case arises when an individual uses coercion and fear to control others. Managers and supervisors need to be aware of these individuals and act to reduce their influence.

Tensions Created by Diversity

Prison populations often overwhelmingly consist of racial and ethnic minorities. Prisoner and staff populations may differ along ethnic, racial, religious, and sometimes gender lines. These differences can result in misunderstanding, or violence and may result in legal challenge.

These tensions can erode trust not only between prison staff and prisoners but also among prison staff themselves.

Silence

People who know they are protected by secrecy or silence may act, or fail to act, in a legal or ethical manner if discovery is unlikely. Organisational culture may encourage an attitude of closing ranks and not highlighting these actions. This, if unchallenged, leaves the organisation open to reputational damage and may result in treatment which breaches the rights of prisoners.

Steps to Building an Ethical Organisation

- Know the applicable Laws, Rules, Guidance and Instruments
- Build trust and respect by being consistent, fair and impartial
- Be aware of how discretion is used or not used and be prepared to either challenge or support its use
- Actively learn the whole context of a situation before judging it or acting upon it
- Model high ethical standards and educate others to do so.
- Act with courage and endurance.
- Seek support and help when necessary. It is a sign of strength in a leader.

SECTION 4: **LEADERSHIP**

Lead by Example

The best and most respected of leaders lead by example and high moral values. They are guided by a strong sense of fairness, respect for others, and commitment to the rule of law. Leaders who manage through fear, deception or manipulation rarely achieve lasting results and they certainly do not gain respect from those around them.

Definition of Leadership

Leadership is a process whereby an individual influences a group of individuals to achieve a common goal.

Modern Definitions of 'Leader'

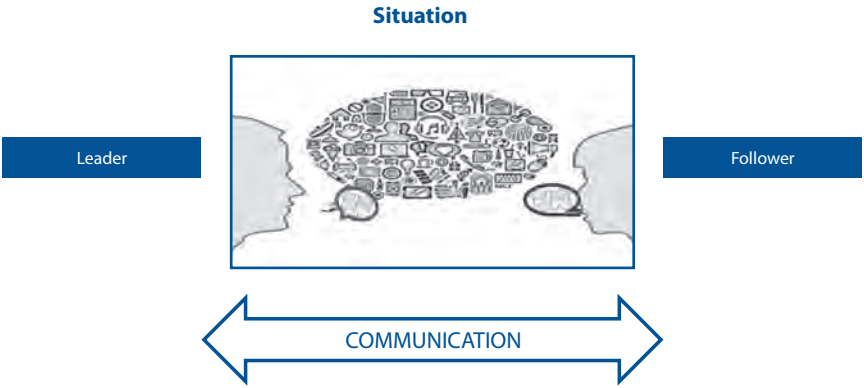
We are all Leaders. Leadership is not a position, it is a mind-set.

Concepts of Leadership

Good leaders are made not born. If you have the desire and willpower, you can become an effective leader. To inspire your staff into higher levels of teamwork, there are certain things you must be, know, and do. These do not come naturally, but are acquired through continual work and study. Good leaders are continually working and studying to improve their leadership skills; they are NOT resting on their laurels.

Four Factors of Leadership

There are four major factors in leadership: the diagram beneath underlines these factors.



Leader

You must have an honest understanding of who you are, what you know, and what you can do. Also, note that it is the followers, not the leader who determines if the leader is successful. If followers or subordinates do not trust or lack confidence in their leader, then they will be uninspired. To be successful you have to convince your followers, not yourself or your superiors, that you are worthy of being followed.

Followers

Different people require different styles of leadership. For example, a newly recruited prison staff member requires more supervision than an experienced officer. A person who lacks motivation requires a different approach than one with a high degree of motivation. The fundamental starting point is having a good understanding of human nature, such as needs, emotions, and motivation.

Communication

You lead through two-way communication. Much of it is nonverbal. For instance, when you "set the example," that communicates to your people that you would not ask them to perform anything that you would not be willing to do. What and how you communicate either builds or harms the relationship between you and your staff. Good communication also comes from being highly visible. A good prison leader is one who regularly visits all areas of the prison, is interested in and asks questions both of staff and prisoners. A good leader is always visible when there are difficulties and tensions. Their presence brings a sense of normality to these situations. Never avoid difficult areas of the

prison, your presence gives confidence to both staff and prisoners that unusual events will be managed.

Situation

All situations are different. What you do in one situation will not always work in another. You must use your judgment to decide the best course of action and the leadership style needed for each situation.

The Leadership Your Governor Expects

Prison staff are required to act decisively. Exercising judgement and assessing a situation and deciding upon a course of action often have to happen very quickly in response to a situation or event. Equally, staff have to constantly be aware of what is happening and be ready to challenge inappropriate behaviours and actions. This will often be in the face of pressure or even opposition from other staff. It is here that you must display personal integrity and courage. It is never an option to ignore what is not right or acceptable.

Your Governor expects that you:

- Understand rules and why they are there
- Deal in truth, fact and reality
- Deliver solutions not problems
- Keep your Governor informed
- Give more than you expect others to give
- Combine optimism and perseverance
- Express appreciation, accept responsibility
- Show respect for people around you
- Maintain a sense of humour.

Follow these rules and others will follow you

Good prison staff go beyond the superficial. They:

- Take time to get to know people
- Address inappropriate behaviour
- Encourage others to learn from their mistakes
- Are visible and approachable in the prison.

- Listen first in order to understand others
- Make others feel valued as individuals
- Act with integrity.

Prison staff must never walk by a compromised detail, whether it involves security, sanitation, or staff or prisoner's actions or facilities. Your response should be corrective. Your response should be to support. You must be determined and resolute in making the place better and pay attention to the little things. Your presence sends several message, that you are interested, available and responsive and that you are maintaining constant surveillance of the area/unit. Anyone can criticise, condemn, complain but it takes character, self-control and initiative to change things and set up new systems. Give more than you expect of others.

What makes a person want to follow a leader? People want to be guided by those they respect and who have a clear sense of direction. To gain respect, they must be ethical. A sense of direction is achieved by conveying a strong vision of the future. When a person is deciding if he/she respects you as a leader, s/he does not think about your attributes, rather, they observes what you *do* so that they can know who you really *are. They* use this observation to tell if you are an honourable and trusted leader or a self-serving person who misuses authority to look good and get promoted. Self-serving leaders are not effective because their staff only obey them, not follow them. They succeed in many areas because they present a good image to their seniors at the expense of their workers.

Principles of Leadership

There are eleven principles of leadership:

1. **Know yourself and seek self-improvement** – In order to know yourself, you have to understand your attributes. Seeking self-improvement means continually strengthening your attributes. This can be accomplished through self-study, formal classes, reflection, and interacting with others.
2. **Be technically proficient** – As a leader, you must know your job and have a solid familiarity with your staff's tasks.
3. **Seek responsibility and take responsibility for your actions** – Search for ways to guide the prison to new heights. And when things go wrong – they always do sooner or later – do not blame others. Analyse the situation, take corrective action, and move on to the next challenge.

4. **Make sound and timely decisions** – Use good problem solving, decision-making, and planning tools.
5. **Set the example** – Be a good role model for your staff. They must not only hear what they are expected to do, but also see. Model the behaviour you expect to see from others.
6. **Know your people and look out for their well-being** – Know human nature and the importance of sincerely caring for your workers.
7. **Keep your staff informed** – Know how to communicate with not only them, but also seniors and other key people.
8. **Develop a sense of responsibility in your staff** – Help to develop good character traits that will help them carry out their professional responsibilities.
9. **Ensure that tasks are understood, supervised, and accomplished** – Communication is the key to this responsibility.
10. **Train as a team** – Although many so called leaders call their organisation, department etc. a team; they are not really teams... they are just a group of people doing their jobs.
11. **Use the full capabilities of your organisation** – By developing a team spirit, you will be able to employ your organisation, department, etc. to its fullest capabilities. A good leader always pushes people to do more than is expected of them. By placing trust in an individual or team to accomplish a task then giving them the authority to complete it to the standard agreed the leader helps that individual or group develop competence and expertise.

Attributes of Leadership

If you are a leader who can be trusted, then those around you will grow to respect you. To be such a leader, there is a **Leadership Framework** to guide you:

BE- KNOW- DO

BE a professional. Examples: be loyal to the prison, perform selfless service, take personal responsibility.

BE a professional who possess good character traits. Examples: honesty, competence, candour, commitment, integrity, courage, straightforwardness, imagination.

KNOW the four factors of leadership – follower, leader, communication, situation.

KNOW yourself. Examples: strengths and weakness of your character, knowledge, and skills.

KNOW human nature. Examples: human needs, emotions, and how people respond to stress.

KNOW your job. Examples: be proficient and be able to train others in their tasks.

KNOW your organisation. Examples: where to go for help, its climate and culture, who the unofficial leaders are.

DO provide direction. Examples: goal setting, problem solving, decision-making, planning.

DO implement. Examples: communicating, coordinating, supervising, evaluating.

DO motivate. Examples: develop morale and *esprit de corps* in the organisation, train, coach, counsel.

There are many different models of leadership styles. One of the best-known identified six different leadership styles:

Autocratic Leaders demand immediate obedience. In a single phrase, this style is *'Do what I tell you'*.

These leaders show initiative, self-control, and drive to succeed. There is, of course, a time and a place for such leadership: a battlefield is the classic example, but any crisis will need clear, calm, commanding leadership. This style does not, however, encourage anyone else to take the initiative, and often has a negative effect on how people feel.

Pace-Setting Leaders expect excellence and self-direction. This style can be summed up as '*Do as I do, now*'. The Pace-Setter very much leads by example, but this type of leadership only works with a highly-competent and well-motivated team. It can only be sustained for a while without team members flagging. Like the Coercive Leader, Pace-Setters also show drive to succeed but instead of self-control, these are coupled with conscientiousness.

Authoritative Leaders move people towards a vision. This style is probably best summed up as '*Come with me*'. These leaders are visionary and it's the most useful style when a new vision or clear direction is needed, and is most strongly positive. Authoritative leaders are high in self-confidence and empathy, acting

as a change catalyst by drawing people into the vision and engaging them with the future.

Affiliative Leaders value and create emotional bonds and harmony. Affiliative leaders believe that '*People come first*'. Such leaders demonstrate empathy, and strong communication skills, and are very good at building relationships. This style is most useful when a team has been through a difficult experience and needs to heal rifts, or develop motivation. It is not a very goal-oriented style, so anyone using it will need to make sure others understand that the goal is team harmony, and not specific tasks. It is probably obvious from this that it cannot be used on its own for any length of time if you need to 'get the job done'.

Democratic Leaders build consensus through participation. Democratic leaders are constantly asking '*What do you think?*' Such leaders show high levels of collaboration, team leadership and strong communication skills. This style of leadership works well in developing ownership for a project, but it can make for slow progress towards goals, until a certain amount of momentum has built up. Anyone wishing to use this style will need to make sure that senior managers are signed up to the process, and understand that it may take time to develop the consensus.

Coaching Leaders will develop people. The phrase that sums up this leadership style is '*Try it*'. Coaching leaders allow people to try different approaches to problem solving and achieving a goal in an open way. The coaching leader shows high levels of empathy, self-awareness and skills in developing others. A coaching style is especially useful when an organisation values long-term staff development.

Developing Your Leadership Style

Each one of us has a preferred leadership style, usually the one to which we default in times of stress. One of the easiest ways to work out which is your default is to see what sort of things you say when stressed. Are you the person saying '*What do you think?*' or is it '*Right, we'll do it my way and now!*'? The most effective leaders do not use just one style, but are able to move between styles, choosing the one that best suits the situation. Once you know your preferred style, you can start to develop the others. For example, if you are naturally a democratic or affiliative leader, you may find that it difficult to take command or swift action in a crisis. You will need to find a way to adopt the Commanding or Coercive style in a way that feels true to you. One advantage of looking at several alternative models of leadership is that one or other may give you a clearer idea of how to move between the possible styles.

Six Steps to Developing your Leadership Styles

Step 1 **Identify your Default Leadership Style**

- What is your preferred leadership style?
- How do you behave when under stress?
- Do you find yourself asking others for their opinions or telling everyone what to do and expecting them to do it? Leading from the front, or worrying about where you are all going and whether there is a clear vision? Stopping to think about this next time you find yourself in a stressful situation will give you great insights into your preferred style.

Step 2 **Identify and Develop your Strengths**

Playing to your strengths is important, so make sure that you know what you're good at. This may be your default style, but you also have other leadership skills. Others may feel that these are even more valuable. To develop your strengths still further, you might also make a list each week of three to five things that worked really well that week, then make sure you do them again the next week.

Step 3 **Work on your Weaknesses**

Having identified your strengths, you now need to think about, and develop, the styles that you are less good at. After all, the best leaders can draw on all six of Goleman's Leadership Styles. Some of them won't feel natural, so you need to find a way to use them that feels right to you. Watching and learning from others is a very good way to learn new leadership styles, although you need to remember to try them out too. At first, when you try something that you have watched others do, it will feel like 'copying' and may well feel unnatural, but do persevere. Like an actor, you will need to rehearse your new role until it comes naturally.

Step 4 **Draw on Others**

You may not have all the necessary leadership styles yourself, but as you work on their development, you can draw on others in your team to step up when necessary. Note which of your team has the skills and styles that you find particularly hard, and encourage them to take the lead when their style is more appropriate than yours. Do you have trouble creating bonds and developing team harmony, but have noticed that one of your colleagues can always smooth situations? Use that skill: step back and allow that person to lead whenever the situation calls for affiliative leadership. The best leaders create other leaders, not followers.

Step 5 **Do Something Different**

To help you develop your leadership style away from your preferred style, it is possible to consciously decide to act in a manner which is not usual or comfortable for you in order to feel how an alternative leadership style might work for you. This might be too difficult for team members who are used to your preferred approach, so one approach is to inform them that you wish to take a particular approach. Being able to use a particular leadership style is not necessarily about having a specific set of skills, although each style definitely uses a certain skill set. Think about which style you find hardest to envisage using, (described as a 'stretch style'), and try to develop a one phrase summary of the characteristics of that style which you wish to model. Look for an appropriate opportunity to apply this approach. As with any other leadership activity, the value is in assessing whether a different style significantly adds to your personal effectiveness.

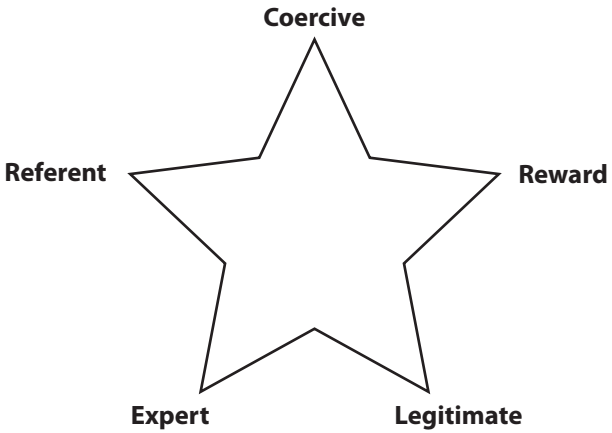
Step 6 **Hold Up A Mirror**

It is really important to seek feedback when you are trying to develop your leadership styles. You should ask what you're already good at, but you can also ask others to give you feedback about how it felt when you behaved in different ways. It may be difficult to hear some of what they say, so don't ask unless you really want to know. And while giving and receiving feedback is a whole other skill, remember not to take it personally. Accept it generously, in the spirit in which it is offered, and decide whether you want to act on it or not. Then move on.

The Five Points of Leadership Power

Almost anyone can use power; it takes skill to use leadership. Leadership power is much more than the use of force. Leadership is influencing others to truly WANT to achieve a goal, while power forces others to achieve a goal. Power refers to a capacity that a person (boss) has to influence the behaviour of another so that he or she acts in accordance with the boss' wishes. This power is a capacity or potential as it implies a potential that need not be actualised to be effective. That is, a power may exist, but does not have to be used to be effective. A person has the potential for influencing **five points of powe**r over another

- **Coercive Powe**r – Power that is based on fear. A person with coercive power can make things difficult for people. These are the persons that you want to avoid getting angry. Staff working under coercive managers are unlikely to be committed, and more likely to resist the manager.



- **Reward Power** – Compliance achieved based on the ability to distribute rewards that others view as valuable. Able to give special benefits or rewards to people. You might find it advantageous to trade favours with him or her.
- **Legitimate Power** – The power a person receives as a result of his or her position in the formal hierarchy of an organisation. The person has the right, considering his or her position and your job responsibilities, to expect you to comply with legitimate requests.
- **Expert Power** – Influence based on special skills or knowledge. This person earns respect by experience and knowledge. Expert power is the most strongly and consistently related to effective employee performance.
- **Referent Power** – Influence based on possession by an individual or desirable resources or personal traits. You like the person and enjoy doing things for him or her.

Reward good behaviour

Although a certificate, letter, or a thank you may seem small and insignificant, they can be powerful motivators. The reward should be specific and prompt. Do not say something general, such as "for doing a good job," rather cite the specific action that made you believe it was indeed a good job. In addition, help those who are good. We all make mistakes or need help on occasion to achieve a particular goal.

Set the example

You must be the role model that you want others to grow into.

Develop morale and esprit de corps

Morale is the mental, emotional, and spiritual state of a person. Almost everything you do will have an impact on your organisation. You should always be aware how your actions and decisions might affect it. Esprit de corps means team spirit – it is defined as the spirit of the organisation or collective body (in French it literally means "spirit of the body"). It is the consciousness of the organisation that allows the people within it to identify with and feel a part of. Is your workplace a place where people cannot wait to get away from; or is it a place that people enjoy spending a part of their lives?

Look Out for Your Team

Although you do not have control over their personal lives, you must show concern for them. Things that seem of no importance to you might be extremely critical to them. You must be able to empathise with them.

Effective Leadership Behaviours include:

Recognise good performance, and where appropriate reward it;

Model the behaviours expected;

Look for opportunities to develop morale both formal and informal;

Look for opportunities for team-building.

Prison Leadership – Putting It All Together

1. Change within prisons needs effective leadership.
2. Effective leaders create objectives which are clear, coherent, measurable, and which can be communicated clearly.
3. It is helpful for good leaders to have the support from national and international bodies in order to carry out their work.
4. Effective leaders are able to delegate responsibility and authority appropriately.
5. Effective leaders are good team builders. They are able to identify leaders among their officers and staff and harness cooperation around certain activities or tasks.

6. Effective leaders must have good communication skills. They identify and use the most effective means of communicating depending on the event or situation. They are aware that communication is two-way and have effective strategies in place to brief, monitor and review plans and actions and a consistent style of consultation understood by all.
7. Effective leaders establish strong and supportive relationships with their staff based on trust and mutual respect and they ensure that their staff understands what is expected of them. They engage and consult with staff, and ensure that their decisions are aligned with their values, human rights standards and the principles of the Rule of Law.
8. Effective leaders hold themselves and others accountable for their actions.
9. Effective leaders must establish and maintain close and constructive relationships with governmental and non-governmental agencies as well as other community groups outside the prison to ensure there is cooperation, coordination and assistance when they are needed. Within the criminal justice system, it is important for prison governors to have a cooperative relationship with other prison governors and law enforcement agencies.

SECTION 5: **SECURITY THEORY**

The enforcement of custodial sentences and the treatment of prisoners necessitate taking account of the requirements of safety, security and discipline while also ensuring prison conditions which do not infringe human dignity and which offer meaningful occupational activities and treatment programmes to inmates, thus preparing them for their reintegration into society (European Prison Rules)

Security considerations should be given high priority

The core business of prisons is keeping prisoners in custody. Security is the foundation on which all efforts to develop positive regimes is based. Security awareness has to be in a primary focus of all those who work in a prison system regardless of the functions and duties they perform.

In general terms, security measures refer to the actions that the prison authorities take to prevent prisoners from escaping or causing harm to others. Safety measures refer to the actions that the prison authorities take to maintain good order and control in prison to prevent prisoners being disruptive and to protect vulnerable prisoners. Safety measures in prisons should be supported by a disciplinary system that is fair, just and transparent.

European Prison Rules – Security

51.1 The security measures applied to individual prisoners shall be the minimum necessary to achieve their secure custody.

51.2 The security which is provided by physical barriers and other technical means shall be complemented by the dynamic security provided by an alert staff who know the prisoners who are under their control.

51.3 As soon as possible after admission, prisoners shall be assessed to determine:

a the risk that they would present to the community if they were to escape;

b the risk that they will try to escape either on their own or with external assistance.

51.4 Each prisoner shall then be held in security conditions appropriate to these levels of risk.

51.5 The level of security necessary shall be reviewed at regular intervals throughout a person's imprisonment.

Special high security or safety measures

53.1 Special high security or safety measures shall only be applied in exceptional circumstances.

53.2 There shall be clear procedures to be followed when such measures are to be applied to any prisoner.

53.3 The nature of any such measures, their duration and the grounds on which they may be applied shall be determined by national law.

53.4 The application of the measures in each case shall be approved by the competent authority for a specified period of time.

53.5 Any decision to extend the approved period of time shall be subject to a new approval by the competent authority.

53.6 Such measures shall be applied to individuals and not to groups of prisoners.

53.7 Any prisoner subjected to such measures shall have a right of complaint in the terms set out in Rule 70.

Security, Control and Justice

To provide a balanced prison system that ensures adequate security and control with an ethos of humanity is a complex task, calling for highly developed professional skills. The importance of achieving and maintaining that balance must be understood by all prison staff. It is incorrect to believe that treating prisoners with humanity and fairness will lead to a reduction in security or con-

trol. On the contrary, the objective of preventing escapes and ensuring control can best be achieved within a well ordered environment which is safe for prisoners and staff – in which all members of the prison community perceive they are being treated with fairness and justice; in which prisoners have the opportunity to participate in constructive activities and to prepare themselves for release. Security is an all-embracing term. There are different levels of security for different categories of prison establishments.

> European Prison Rules (18.10) states that: Accommodation of all prisoners shall be in conditions with the least restrictive security arrangements compatible with the risk of their escaping or harming themselves or others.

Maintaining a secure prison involves: first and foremost well-trained staff. It also includes having the right **physical security** measures; ensuring that effective **procedural security** measures are in place and developing **'dynamic security'**. Prison security must be the central concern of all prison staff.

In order to ensure high standards of security it is necessary to recognise and prevent potential security breaches and maintain an environment for effective dynamic security. No prison can prevent escapes without good external controls and physical barriers, such as security doors and fences. All of these must be checked regularly and in good repair, but physical barriers are only part of a prison's escape protection. What the staff does is equally important. Staff must diligently conduct cell searches and head counts and follow escort and other security procedures easily. Staff should be given the necessary technical training to ensure security competency. They need to be aware of security requirements. This involves learning all about the use of security technology: keys, locks, surveillance equipment. They need to learn how to keep proper records and what sort of reports need to be written. Above all, they need to understand the importance of their direct dealings with prisoners. The security of the lock and the key must be supplemented by the kind of security that comes from knowing who their prisoners are and how they are likely to behave.

The Components of Prison Security

There are three commonly recognised elements of security in prisons

Physical security

Aspects of physical security include the architecture of the prison buildings, the strength of the walls of those buildings, the bars on the windows, the doors of the accommodation units, the specifications of the perimeter wall and fences, watchtowers and so on. They also include the provision of physical aids to security such as locks, cameras, alarm systems, radios etc.

In designing the physical aspects of security, a balance needs to be found between the best way of achieving the required security level and the need to respect the dignity of the individual. For example, it is possible to use architectural designs which meet the need for cell and dormitory windows to be secure while, at the same time, meeting the standards for access to natural light and fresh air. Physical aids to security such as cameras, monitoring and alarm systems by definition intrude on personal privacy. In making decisions about where they have to be placed, there needs to be a balance between legitimate security requirements and the obligation to respect individual privacy. The safety of individual prisoners must also be borne in mind. The design of many prisons leads to the creation of places in which prisoners may congregate unobserved. This may be a source of potential threat both to the security of the prison and to the safety of individual prisoners. Prison administrations should develop procedures for identifying and managing these areas.

Procedural security

This relates to those procedures which have to be followed to prevent escape and to maintain good order. Some of the most important of these are procedures concerned with searching, both of physical spaces and of individuals. In each prison there should be a clearly understood set of procedures which describe in detail the circumstances in which searches should be carried out, the methods to be used and their frequency. These procedures must be designed to prevent escape and also to protect the dignity of prisoners and their visitors. There should be procedures for regularly searching all places where prisoners live, work or congregate. These should include searches of living accommodation, such as cells and dormitories, to make sure that security features, including doors and locks, windows and grilles, have not been tampered with. Depending on the security category of the prisoner, his or her personal property should also be subject to search from time to time.

Staff need to be specially trained to carry out these searches in such a way as to detect and prevent any escape attempt or secretion of contraband while at the same time respecting the dignity of prisoners and respect for their personal possessions. The procedure for such searches should allow the prisoner to be present whilst the search is carried out. There should also be procedures which govern the regularity of checking prisoner numbers and how these checks are carried out.

Dynamic Security

While physical and procedural security arrangements are essential features of prison life, they are not of themselves sufficient. Security also depends on an alert staff who interact with prisoners, who have an awareness of what is going on in the prison and who make sure that prisoners are kept active in a positive way. This is often described as dynamic security. This kind of security is much more qualitative than static security measures. Where there is regular contact with prisoners, an alert staff member will be responsive to situations which are different from the norm and which may present a threat to security. Staff who are engaged with prisoners in these ways will be able to prevent escapes more effectively by being aware of what is happening in the prison community before an incident occurs. The strength of dynamic security is that it is likely to be proactive in a way which recognises a threat to security at a very early stage. It will operate best where there is motivated and well-trained staff and it should not be an excuse for unprofessional behaviour.

Physical Security

Physical security refers to secure buildings, fences around areas within the prison and the wall around the entire prison – the barriers that keep people in and out. Physical security involves the use of multiple layers of interdependent systems which include CCTV surveillance, security guards, protective barriers, locks, access control protocols, and many other techniques. Physical designs of prisons incorporate layers of security, which vary in intensity from the individual cell, to individual units or landings, to recreation and activity areas and ultimately to the perimeter. Security requirements differ at night, when prisoners are locked in cells, from daytime when it is usual that there will be much more activity, prisoners will be more widely distributed around the prison, there will

be more people entering and leaving the prison. Security risks vary at these different times. This is often reflected in staffing levels, which themselves impact both on security and on the ability to respond to unplanned events.

Perimeter Security Systems

The perimeter of a prison provides the ultimate physical barrier to prevent escape. It also serves to prevent access to the prison by individuals or by introducing contraband e.g. weapons, drugs, mobile phones. Perimeter security procedures are required both to ensure that physical security equipment is correctly maintained and to define the arrangements for patrolling the physical perimeter barrier.

Staff should:

- Check the physical integrity of the inner and outer perimeter barriers;
- Give particular attention to locks, doors and gates;
- Test perimeter alarm systems such as CCTV cameras and movement detectors, in conjunction with Control Room staff;
- Patrol the perimeter (either internally or externally dependent on local procedures and threat level);
- Ensure that procedures for the identification and searching of anyone entering or leaving the prison are consistently applied;
- Immediately alert the prison control room about any actual or perceived compromise to the prison perimeter.

Securing the entry and exit points to a prison and minimising their number is the most effective way to prevent breaches of the perimeter. For this reasons most prisons have just one regular access point of entry and exit – the Gate. Effective systems are essential to ensure that the perimeter is not compromised, and that other vital functions play their part in maintaining its security. Particular attention needs to be paid to the interface between the perimeter function and procedures relating to the Main Gate, Control Room and searching policy and procedures. The most obvious weak point in any building, fence or wall is the door or gate through it**, so** concentrate on locks, keys and pass systems.

Prison workshops are part of the regime of most prisons and have the potential to present security risks. The secure management of tools and materials is of high importance. Written procedures should be in place for the issue and return of tools, as should physical measures such as secure stores for tools and materials, shadow boards for tolls in use.

Visits. Clear written procedures for the management of visits which ensure adequate security while being sensitive to the importance of visits in maintaining relationships should be in place. The balance between security and humanity is often a source of tension in the conduct of visits where the need to prevent the introduction of contraband has to be set against having a visit experience which is relaxed and allows for normal human interaction.

Alarms: Staff must know where these are in their area, how to operate them, what they sound like and what the local instructions for responding to alarms are. Alarms can be used as a distraction or, if it is local practice for a "cavalry charge "of staff in response to the alarm, can be used to divert staff from an area which is to be targeted for some illegal activity (sabotage, escape, assault, hostage taking). Local instructions for initial and subsequent response to alarms should be understood by all.

There is always a fear of the possible loss of human contact which may be a result of the development of technology within prisons. Direct supervision is an essential aspect of all prison security management and human contact must not be reduced. Physical security systems are not used to decrease but to supplement direct supervision.

Characteristics of physical security

Metal detectors (walk through and hand held)

X-ray screening system

Identification badges/palm readers

Surveillance cameras

Radios and other communications systems

Alarm buttons

Locked perimeter doors and gates

Procedural Security

While physical barriers and detection equipment are part of ensuring good security, they are not in themselves able to provide complete security. These physical barriers must be complemented by alert staff, trained in their use and by policies and procedures which are understood and applied consistently by all staff. The prison must have a range of policies and procedures, subject to review, designed to ensure safe, secure and humane custody. An effective security response is to develop security instructions and standard operational procedures for staff. Local instructions need to specify clearly what the security

issue is, who is responsible, what they are expected to do and what they should do in the event of a security breach.

Accounting for Prisoners

The purpose of this policy is to identify the procedures necessary to conduct both formal and informal counts of prisoners and the staff responsible for carrying out these procedures. On all occasions, the prison staff who takes charge of any group of prisoners shall count the number of prisoners and confirm to the prison staff from whom he or she receives them.

The purpose of counts is to ensure that prisoners are physically accounted for and are in a place where they are authorised to be. All counts should be double counts conducted by two staff. Counts ensure prisoners are following policies and rules as well as allowing staff to identify which prisoners are in locations. **A poor or inaccurate count is worse than no count at all.**

Control of Keys

Keys are carefully controlled and each prison should have an **efficient and rigid** system of the issue and return of keys. The issue of all keys should be controlled from one central point. Keys should be identified by numbers, letters and/or colours and located in a key cabinet which is physically controlled or in an electronically controlled key safe or dispensary. By using this method, any missing keys are easily identified at a glance. A key compromise may be an extreme security compromise and may require an immediate security response a potential escape or other incident. A key loss may mean that a significant part of a prison may require to have locks changed and require additional security response while this happens, impacting on the wider regime.

General Guidelines on key management:

- Staff are personally responsible for key security;
- There must be a consistent system of key issue and return;
- Keys should only be issued on an individual basis;
- There should be an updated inventory of keys held by the manager responsible;
- Keys must be worn securely on a chain and out of sight of prisoners;
- Keys should never be removed from the individual's secure possession unless to return or to transfer the keys to another legitimate person;
- Prisoners should never have access to keys;
- Keys must never be removed from the prison;

- Any actual or suspected key compromise must be reported immediately;
- Keys being transferred from one staff member to another must be passed by hand. The staff member receiving the key shall return the key back to the key room as soon as possible. Under no circumstances shall keys be thrown or slid on floors;
- All staff must examine the keys they have been issued to ensure that they have the correct number of keys and that all keys are serviceable. Prison key rings must be welded to prevent keys from being taken off the bunch;
- When a key breaks in a lock, the lock should not be left unattended. Staff should remain in sight of the lock and call for assistance. If it is possible to secure the area from prisoners, then the staff member is able to leave the area and immediately report the broken key to the key room.

Searches

The purpose of a search is to detect and seize prohibited objects. All searches of the person or possessions of a prisoner must be conducted so as to guard and preserve the integrity and dignity of the prisoner. There will be routine searches of all prisoners on admission, searches may occur before and leaving areas such as living accommodation, work areas, recreational areas, exercise, visits, education. Additionally there will be routine searches of cells and dormitories, of communal areas, workshops etc. Searches may be conducted as a result of intelligence or following incidents. Searches may be conducted in order to intercept contraband or to provide evidence. Searches should be conducted with a minimum of disturbance to the prisoner's possessions and living area, and should be recorded in accordance with local procedures.

European Prison Rules – Searching and controls

54.1 There shall be detailed procedures which staff have to follow when searching:

a all places where prisoners live, work and congregate;

b prisoners;

c visitors and their possessions; and

d staff.

54.2 The situations in which such searches are necessary and their nature shall be defined by national law.

54.3 Staff shall be trained to carry out these searches in such a way as to detect and prevent any attempt to escape or to hide contraband, while at the same time respecting the dignity of those being searched and their personal possessions.

54.4 Persons being searched shall not be humiliated by the searching process.

54.5 Persons shall only be searched by staff of the same gender.

54.6 There shall be no internal physical searches of prisoners' bodies by prison staff.

54.7 An intimate examination related to a search may be conducted by a medical practitioner only.

54.8 Prisoners shall be present when their personal property is being searched unless investigating techniques or the potential threat to staff prohibit this.

54.9 The obligation to protect security and safety shall be balanced against the privacy of visitors.

54.10 Procedures for controlling professional visitors, such as legal representatives, social workers and medical practitioners, etc., shall be the subject of consultation with their professional bodies to ensure a balance between security and safety, and the right of confidential professional access.

Prisoner Escorts

Prisons should set out policies and procedures governing the secure escort of prisoners.

European Prison Rules – Transfer of prisoners

32.1 While prisoners are being moved to or from a prison, or to other places such as court or hospital, they shall be exposed to public view as little as possible and proper safeguards shall be adopted to ensure their anonymity.

32.2 The transport of prisoners in conveyances with inadequate ventilation or light, or which would subject them in any way to unnecessary physical hardship or indignity, shall be prohibited.

32.3 The transport of prisoners shall be carried out at the expense and under the direction of the public authorities.

Prohibited Articles

Prisons should set out policies and procedures to identify procedures for control and storage of all prohibited articles.

Tool Control

Prisons should set out policies and procedures to outline procedures and policies for tool and equipment control.

Use of force

Prisons must set out policies and procedures on the use of force and the application of physical restraint in order to control prisoners, other persons, and situations.

European Prison Rules

65 There shall be detailed procedures about the use of force including stipulations about:

a the various types of force that may be used;

b the circumstances in which each type of force may be used;

c the members of staff who are entitled to use different types of force;

d the level of authority required before any force is used; and

e the reports that must be completed once force has been used.

66 Staff who deal directly with prisoners shall be trained in techniques that enable the minimal use of force in the restraint of prisoners who are aggressive.

The standard assumes that control and discipline can be maintained within the establishment without the use of mechanical restraints, except in emergency situations. Due to the heightened likelihood of escape attempts during transportation, the regular use of handcuffs is permissible.

European Prison Rules – Instruments of restraint

68.1 The use of chains and irons shall be prohibited.

68.2 Handcuffs, restraint jackets and other body restraints shall not be used except:

a if necessary, as a precaution against escape during a transfer, provided that they shall be removed when the prisoner appears before a judicial or administrative authority unless that authority decides otherwise; or

b by order of the director, if other methods of control fail, in order to protect a prisoner from self-injury, injury to others or to prevent serious damage to property, provided that in such instances the director shall immediately inform the medical practitioner and report to the higher prison authority.

68.3 Instruments of restraint shall not be applied for any longer time than is strictly necessary.

68.4 The manner of use of instruments of restraint shall be specified in national law.

Most routines and procedures that will concern staff are at a local level – they are applicable to a particular prison. Many will appear like using 'a sledgehammer to crack an egg' but often have been put in place as a result of lessons learnt from past incidences. It is the duty of all staff to be aware of and follow orders and procedures applicable to where they are working.

Routines and procedures can become corrupted in prison. Staff relax their approach to what are they see as routine procedural issues – searching, landing security etc. Over time prisoners can affect the way the approach of conducting procedural security issues are conducted – this is known as conditioning. **Supervising staff will enhance the security of the establishment by being aware when deviations from what should be happening occur and reporting it.**

Dynamic Security

The term 'dynamic security' can be described as: 'knowing what is going on in a prison, in addition to providing a safe and secure background against which the whole range of activities making up the life of a prisoner takes place'. It is based on the principle that positive relationships between staff and prisoners help security and control by improving the flow of information from prisoners to staff. Safety and security in prisons depend on creating a positive climate which encourages the cooperation of prisoners. External security (preventing escapes) and internal safety (preventing disorder) are best ensured by building positive relationships between prisoners and staff. The concept of dynamic security rests on the notion that engaging with prisoners and getting to know them can enable staff to anticipate and better prepare themselves to respond effectively to any incident that may threaten the security of the prison and the safety of staff and inmates. The principles of dynamic security are more easily applied in institutions where there is an adequate ratio of staff to prisoners. The concept of dynamic security includes:

- Developing positive relationships with prisoners
- Diverting prisoners' energy into constructive work and activity
- Providing a decent and balanced regime with individualized programmes for prisoners.

Good conduct and cooperation on the part of the inmates can also be encouraged with a system of privileges appropriate for the different classification of prisoners. Dynamic security resulting from well-developed staff/prisoner relationships and an active regime is as important as physical security in the maintenance of control. The quality of dynamic security is vital to the positive environment of a prison. The environment should not be intimidating and be conducive to addressing the special needs of prisoners. The development of good work relationships between staff and prisoners is seen as a measure of good management.

6. Prison staff shall endeavour to maintain positive professional relationships with prisoners and members of their families.

Recommendation CM/Rec(2012)5 European Code of Ethics for Prison Staff

The four elements of dynamic security are**:**

- Good relationships between staff and prisoners
- A constructive regime
- A secure environment
- Anything which reduces the inclination or opportunity to escape or abscond.

In short, dynamic security is an approach that relies on the relationship between staff and prisoners to create the security.

Balancing types of security measures

There should be an appropriate balance between the different types of security measures implemented. Security in prisons is ensured by physical means of security, such as walls, bars on windows, locks and doors, alarm systems and so on; by procedural means, which are procedures that must be followed, such as rules relating to prisoners' movement around the prison, the possessions they may keep, searches of prisoners and their accommodation, among others; and dynamic security, which requires an alert staff who interact with prisoners in a positive manner and engage them in constructive activities, allowing staff to anticipate and prevent problems before they arise.

A proper balance should be maintained between the physical, procedural and dynamic security in the case of all prisoners, including high-risk prisoners. The right balance to prevent escape and maintain order will depend on a number of factors such as the condition of the prison facilities, the level of technology available, the number of staff and type of prisoners being held. For example, where physical security is weak (as may be the case in low-resource and post-conflict environments), procedural and dynamic security becomes all the more important.

In some jurisdictions, excessive attention is placed on the physical and procedural aspects of security in the case of high-security prisoners, while the importance of dynamic security is not appreciated. In some prison systems, staff interaction with high-security prisoners is actively discouraged.

In fact, the principles of dynamic security apply particularly to high-security prisoners to ensure that potential escapes, incidents, and threats to safety of others can be prevented and dealt with before they take place.

Good Order and Control

Prison management have a responsibility to ensure the physical safety of prisoners, staff and visitors. This means that prisons should be places where there is good order. Discipline and order needs to be maintained with firmness but with minimum restriction. Experienced prison staff are aware that coercive control is not sufficient to ensure good order. Good order and control is necessary in the interest of not only the administration but of the majority of prisoners who want to do their time quietly. However, breaches of good order are not necessarily breaches of security. Acts of insolence or disobedience, for the most part, breaches of good order, will not usually affect security.

Achieving Order Through Effective Control

> Order can be defined, in a prison setting, to mean the absence of violence, overt conflict or the imminent threat of the chaotic breakdown of social routines

Prison staff are faced with the fundamental problem of how to prevent disorder. Staff should adopt a number of broad strategies to achieve well-ordered prisons. The first broad strategy focuses on 'situational control'. Situational control methods aim to tackle *precipitating factors* that generate control issues and to reduce the *opportunity* for disorder to take place. Situational control can involve removing precipitating factors so that prisoners do not want to cause disorder, for example by: ensuring that treatment is fair and transparent, having effective means of dealing with complaints, ensuring good communications with relatives and friends, creating decent physical surroundings; reducing environmental irritants; provision of good food; division of prisoners into smaller groups; providing a regime which encourages prisoners to engage; and normalising the environment.

It is possible at the same time to enhance security and reduce opportunity for disorder by, for example, better use of CCTV, improved physical security, introduction of walk through metal detectors, improved use of hand held metal detectors, better intelligence gathering, better monitoring of prisoner activities, the control of movements using lockable gates, targeted searching of prisoners and cells; and the management of disruptive prisoners.

The second broad strategy staff should use to maintain order is based on 'social controls'. This approach involves attempts at socialisation and strengthening social relations: having the right balance of prisoners; changing prisoner culture; consultation and participation with prisoners; strengthening relationships; and developing mutual trust.

Order is undermined where prisoners have the *inclination* to misbehave (caused by poor conditions, perceived unfairness or lack of justice, lack of legitimacy, change in regime, variation to the 'normal' relationships between staff and prisoners), and where prisoners have the *ability* to misbehave (administrative breakdown in operation of the prison, lack of effective situational control, weak contingency and incident management arrangements). The Governor is able to have a significant influence both on prisoners' *inclination* and on their *ability* to contravene the 'routine expectancies' of everyday life in prison. In exercising that influence, Governors make a series of choices, because more than one version of sustainable 'order' is possible. Central to the management of prisoners is the need to assess risk and also the need to ensure that different categories of prisoner are managed appropriately.

Active management

Active management is defined as the interaction between staff and prisoners in which every contact is viewed as an opportunity for positive influence. In essence it is a key tool to assist prison staff to effectively manage prisoners and integrate sentence management and safe, secure and humane containment. The four components of active management are:

Knowledge – information of and awareness about the principles of sentence management, prisoners within their sphere of influence and specific sentence plan objectives;

Communication – the active sharing of information, observations and impressions with each other on a regular and ongoing basis;

Responsiveness – a general readiness to respond to a prisoner's emergent issues and difficulties;

Exerting Influence – effectively motivating prisoners to address their offending.

Security and Conditioning

Individual prisoners or groups of prisoners may intend to do things which affect the running of the prison. This may range from minor trafficking to escape. It may include determined efforts to undermine routines and processes in or-

der to achieve these purposes. In order to do this there may be a conscious attempt to condition staff. This can take many forms.

To give a very basic example: If one member of staff in a unit is seen as particularly effective, prisoners may continually make complaints and allegations and cause disruption when that member of staff is on duty. This may be accompanied by deliberately assuring other staff that they are helpful or fair and ensuring that they do not have difficulties on their shifts.

All of this is designed to make staff behave in a particular way, usually to avoid or neglect particular duties or responsibilities in order to reduce threat or tension or to ensure it does not happen to them e.g., to avoid pressure. This is conditioning. If I do my duty I will get a hard time. If I let some things slip I will get an easier time. Senior managers and supervisors need to be alert to this happening and offer support. Staff members need to be encouraged to identify when it is happening and to report it.

Psychological Threats

Prisoners' knowledge of individual staff quickly becomes information with which security can be challenged. We give a certain amount of information away without even knowing it – just by being ourselves. Colleagues give prisoners information directly and indirectly about other members of staff. Comments let 'slip' derogatory remarks or jokes about staff by prisoners that are allowed to go unchallenged. A failure to challenge inappropriate remarks by prisoners will readily be interpreted as collusion. Officers, who become unduly sympathetic to prisoners views, develop friendships with them or set aside professional barriers provide ready-made targets for conditioning and manipulation. Prisoners testing staff by testing boundaries gain other information. Challenges to rules or procedures are rarely major, instead these are often designed to push the boundaries and test the resilience both of the policies and procedures but also of the staff themselves. Loss of authority is equally gradual. If a threat is made it cannot be ignored and needs to be both reported and addressed. Effective security relies largely upon professional awareness, discipline and behaviour of all staff. Working in a security environment entails ensuring that security considerations are always central to what staff do.

SECTION 6:
A HUMAN RIGHTS APPROACH TO PRISON MANAGEMENT

The Principles of Good Prison Management

Framework

Liberty of the person is one of the most precious rights of all human beings. In certain circumstances judicial authorities may decide that it is necessary to deprive some people of that right for a period of time as a consequence of the actions of which they have been convicted or of which they are accused. When this happens the persons concerned are handed over by the judicial authority to the care of the prison administration. They are then described as prisoners. The essence of imprisonment is deprivation of liberty and the task of the prison authorities is to ensure that this is implemented in a manner which is no more restrictive than is necessary. It is not the function of the prison authority to impose additional deprivations on those in its care.

Putting it into practice

Prison management needs to operate within an ethical framework. Without a strong ethical context, the situation where one group of people is given considerable power over another can easily become an abuse of power. The ethical context is not just a matter of the behaviour of individual staff towards prisoners. A sense of the ethical basis of imprisonment needs to pervade the management process from the top down. An emphasis by the prison authorities on correct processes, a demand for operational efficiency, pressure to meet management targets without a prior consideration of ethical imperatives can lead to great inhumanity. A concentration by the prison authorities on technical processes and procedures will lead staff to forget that a prison is not the same as a factory which produces motor cars or washing machines. The management of prisons is primarily about the management of human beings, both staff and prisoners. This means that there are issues which go beyond effectiveness and efficiency. When making decisions about the treatment of human beings there is a fundamental consideration; the first question which must always be asked is "Is what we are doing right?

In democratic societies the law underpins and protects the fundamental values of society. The most important of these is respect for the inherent dignity of all human beings, whatever their personal or social status. One of the greatest tests of this respect for humanity lies in the way in which a society treats those who have broken, or are accused of having broken, the criminal law. These are people who may well have themselves shown a lack of respect for the dignity and rights of others. Prison staff have a special role on behalf of the rest of society in respecting their dignity, despite any crime which they may have committed.

This is the basis for placing prison management, above all else, within an ethical framework. This imperative must never be lost sight of by senior administrators, by prison management or by first line prison staff. Without an ethical context, managerial efficiency in prisons can take a path that leads ultimately to the barbarism of the concentration camp and the gulag.

A clear message to staff

This principle must be kept in mind at all times by those who are responsible for the administration of prisons. Applying it in very difficult circumstances requires commitment. The front-line prison staff will only be able to maintain this commitment if they get a clear and consistent message from those in charge of the system that this is an imperative.

Which rights are forfeited?

There has to be careful consideration of what rights are to be forfeited as a consequence of the deprivation of liberty and what this forfeiture implies.

The following are examples of issues that need to be considered:

- The right of freedom of movement (Universal Declaration of Human Rights, Article 13) is obviously restricted by the nature of imprisonment, as is that of free association (UDHR, Article 20). Even these rights are not completely removed since prisoners are rarely held in total isolation and, if they are, there has to be very good and specific reason.
- The right to family contact (UDHR, Article 12) is not taken away but its exercise may well be restricted. A father, for example, does not have unrestricted access to his children, nor they to him, in a prison setting. The ability to create and to maintain a family (UDHR, Article 16) is another right which is dealt with in different ways in different jurisdictions. In some countries prisoners are not allowed to have any intimate relations with partners or spouses; in some they may have sexual relations under

very limited conditions; in others they are allowed to have virtually normal relations for specific periods of time.

- The rights of mothers and children to family life require special consideration.

Persons who are detained or imprisoned retain all their rights as human beings with the exception of those that have been lost as a specific consequence of deprivation of liberty. The prison authority and prison staff need to have a clear understanding of the implications of this principle. Some issues are very clear. There is, for example, a total prohibition of torture and deliberately inflicted cruel, inhuman or degrading treatment. There has to be an understanding that this prohibition does not merely apply to direct physical or mental abuse. It also applies to the totality of conditions in which prisoners are held.

A common humanity between prisoners and staff

Men, women and children who are in prison are still human beings. Their humanity extends far beyond the fact that they are prisoners. Equally, prison staff are human beings. The extent to which these two groups recognise and observe their common humanity is the most important measurement of a decent and humane prison. Where such recognition is lacking there will be a real danger that human rights will be abused.

The proper behaviour of staff towards prisoners is the key. If staff do not behave in a way which respects the prisoner as a person and which recognises the inherent dignity of the person, then any regard to individual human rights becomes impossible. Staff behaviour and the humane and dignified treatment of prisoners should underpin every operational activity in a prison. This is not merely a question of human rights principles. In operational terms it is also the most effective and efficient way in which to manage a prison. In addition to being an abuse of human rights, a failure to observe this obligation can sometimes have legal consequences for the prison administration.

Work in prison is a public service. Prison authorities should have accountability to an elected legislature and the public should be regularly informed about the state and aspirations of the prisons. Government ministers and senior administrators should make clear that they hold prison staff in high regard for the work they do and the public should frequently be reminded that prison work is an important public service. The role of prison staff is

- to treat prisoners in a manner which is decent, humane and just;
- to ensure that all prisoners are safe;

- to make sure that dangerous prisoners do not escape;
- to make sure that there is good order and control in prisons;
- to provide prisoners with the opportunity to use their time in prison positively so that they will be able to resettle into society when they are released.

Prisons are not democracies. In order to function properly there has to be a clearly recognised chain of command. This is true of most organisations. It is especially true in the prison setting where there has always to be an awareness, even in the best managed prisons, of the possibility of unrest and disorder.

Senior staff training

Senior prison staff need to have a sophisticated form of training. This is true whether they are recruited directly at that level or whether they graduate through the ranks of more junior staff. It cannot be assumed that experience alone equips people for the higher levels of prison management skills. Even staff who have worked in prisons for many years at a junior level need to be helped to develop additional skills before taking on a management role. In some countries, such as Russia and Libya, staff are directly recruited for senior posts and are required to undertake a diploma or degree course lasting several years before they go to work at a management level in a prison. The director of a prison and his or her deputies are key persons in setting the culture and ethos of a prison. They need to be selected with special care for their personal qualities and to be given extensive training.

Training in the use of force

Procedures for the use of force

The first principle is that force may only be used when it is absolutely necessary and then only to the extent that is necessary. This means that there should be a clear set of procedures which lay down the circumstances in which force may be used and the nature of that force. A decision to use any kind of force should only be made by the most senior member of staff on duty in the prison at the time. A record should be made of any use of force and the reason for it.

Minimum use of force

All staff should be trained in legitimate means for physical restrain of violent prisoners, acting either individually or as a group, by use of minimum force. Selected members of staff should be trained to a high level. The form of control

and restraint training used by many European prison services is an example of minimum use of force.

Use of minimum force

All staff who deal directly with prisoners should be trained in techniques which enable them to physically subdue prisoners using minimal force. They should not have to rely on simply overpowering troublesome prisoners by a show of superior physical force. On many occasions this will not be possible. Even when it is possible, the result may well be serious injury to both staff and prisoners. There are a variety of control and restraint techniques in which staff can be trained, which will allow them to gain control without injuring either themselves or the prisoners involved. Management should be aware of what these are and should ensure that all staff are competent in the basic skills and that sufficient staff are trained in advanced techniques.

People who are detained or imprisoned do not cease to be human beings, no matter how serious the crime of which they have been accused or convicted. The court of law or other judicial agency which dealt with their case decreed that they should be deprived of their liberty, not that they should forfeit their humanity. Prison staff should never lose sight of the fact that prisoners are human beings. They must continually resist the temptation to regard the prisoner merely as a number rather than as a whole person. Nor do prison staff have any right to inflict additional punishments on prisoners by treating them as lesser human beings who have forfeited the right to be respected because of what they have done or are accused of having done. **Ill-treatment of prisoners is always legally wrong**. In addition, such behaviour lessens the very humanity of the member of staff who acts in such a way.

No circumstances ever justify torture

European Convention on Human Rights: ARTICLE 3: Prohibition of torture

No one shall be subjected to torture or to inhuman or degrading treatment or punishment.

Treating all prisoners with humanity

A fundamental principle set out in international law and all relevant international standards relating to the treatment of prisoners is that their treatment

should be humane and respect the inherent rights and dignity of the human person. Torture, and inhuman and degrading treatment is prohibited under international law with respect to all prisoners, including those who are considered to be high security. Prison administrations cannot invoke any circumstances whatsoever as a justification to use torture or ill-treatment. Treating prisoners with humanity does not hinder security and order in prisons but, on the contrary, is fundamental to ensuring that prisons are secure and safe. Good practice in prison management has shown that when the human rights and dignity of prisoners are respected and they are treated fairly, they are much less likely to cause disruption and disorder and to more readily accept the authority of prison staff.

The international human rights instruments do not leave room for any doubt or uncertainty in respect of torture and ill-treatment. They state clearly that there are absolutely no circumstances in which torture or other cruel, inhuman or degrading treatment or punishment can ever be justified. Torture is defined as any act by which severe pain or suffering, whether physical or mental, is intentionally inflicted on a person, other than that pain or suffering which is inherent in the fact of detention or imprisonment. Many comments on the responsibility of prison management are dealt with in the handbook, including:

Firm but legitimate management essential

The challenge facing a professional prison administration is to ensure that its prisons are secure, safe and well-ordered but are not run in an oppressive or brutal manner. What is required is consistency of approach, neither harsh nor liberal. The vast majority of prisoners will welcome firm and fair management by staff because if the staff are not in control of a prison, the resulting vacuum will be filled by strong-willed prisoners. Alternatively, if there is not firm management from the top, individual members of staff may well resort to delivering their own informal form of control. In either case life will become very unpleasant for the majority of prisoners.

It must be made very clear to staff that the only kind of punishments which may be imposed on prisoners are those which follow from a formal disciplinary hearing. It is not permissible for staff to have a separate informal system of punishments which bypasses the official procedures. Senior management must be especially vigilant in this regard.

There are a variety of ways of measuring whether discrimination is taking place, for example, in the allocation of jobs which are prized by prisoners. These include working in the kitchen or in the prison library where there is one. Prison management should check whether any minority groups are un-

der-represented or even excluded from these prized jobs. The same checks should be applied to access to education. Which prisoners get the best living accommodation should also be kept under review. The frequency of disciplinary action taken against prisoners, broken down by the different groups, is also an important measure.

Prison Inspections

All prisons are places where men and women are detained against their will. The potential for abuse is always present. Therefore they must be institutions which are managed in a way which is fair and just. All institutions which are managed by or on behalf of the state should be subject to public scrutiny. This is especially important in the case of prisons because of their coercive nature. Inspection procedures protect the rights of prisoners and their families. They are meant to ensure that proper procedures exist and that they are observed by staff at all times. Inspections should cover all the aspects of prison life which are dealt with in the handbook. It is equally important to recognise that inspections can also be a safeguard for prison staff. They are a means of dealing with any allegations of mistreatment of prisoners or improper behaviour by staff. Where these occur they should be acknowledged and the staff involved identified. This will also be a way of protecting staff against unjust allegations. However, inspections are not only about failures. It is just as important that they should identify good practice which can be used elsewhere as a model. They can also give credit to staff who are doing their work in a professional manner. In addition to internal inspection procedures there should also be a form of inspection which is entirely independent of the prison system.

SECTION 7:
TEAM BUILDING AND MOTIVATION

A team is a group of people, (two or more), with varied skills and knowledge, who are equally committed to a specific performance need or goal. Team members create a common approach to achieve their goals and objectives. All team members are responsible and accountable for mutually agreed upon goals. Teams are an important workplace structure for accomplishing organisational goals.

Communication

Good communication between all team members is essential in order for people to work together and achieve a common goal. Effective team development depends on the ability of team members to communicate with one another in a clear, open, and honest manner.

Keys to Effective Team Communication

Effective teams are deliberate in respecting basic communication skills. In order for team communication to be successful, it is necessary to:

- Establish an interactive environment where open communication is encouraged;
- Understand the purpose of the message before it is communicated;
- Speak clearly, distinctly and with enthusiasm so the receiver is able and willing to accept the message;
- Listen actively by asking questions to clarify the message, using active body language and providing feedback;
- Don't let preconceptions, biases or emotional states get in the way of communication.

Benefits of Successful Communication

If members of a team are communicating well, they will be more likely to create positive relationships that effect teamwork. Key relationship elements operating within teams are:

- ***Honesty:*** Having integrity without lies and exaggerations.
- ***Openness:*** Having a willingness to share and being receptive to information.
- ***Consistency:*** Exhibiting predictable behaviour and responses.
- ***Respect:*** Treating people with dignity and fairness.

Stages of Team Growth

Teams typically evolve through predictable phases. Phases most often mentioned include orientation, conflict, and cohesion. An understanding of the stages can help leaders recognise current circumstances and predict future situations within the team. Effectively managing team growth stages can help groups reach productivity with more insight into their process.

One well-known theory that is widely referred to is Tuckman's Theory. This states that groups go through four distinct stages as they evolve into a cohesive team and begin to operate. These stages are forming, storming, norming, and performing.

FORMING: When a team is forming, members go through an orientation phase where they familiarise themselves with how the team will function. In this stage, members discover the teams:

Purpose and goals;

Organisational structure;

Restrictive boundaries;

Leadership style;

Culture;

Governing rules.

The forming stage marks a period of time where members need to feel a sense of purpose and inclusion. Their behaviour is driven by a desire to be accepted by others. Therefore, this stage involves little conflict. Since there is so much

going on to distract members' attention at the beginning, it is perfectly normal that the team does not accomplish much in terms of overall goals.

In this stage, most team members are positive and polite. Some are anxious, as they haven't fully understood what work the team will do. Others are simply excited about the task ahead.

The team leader plays a dominant role at this stage, because team members' roles and responsibilities aren't clear. This stage can last for some time, as people start to work together, and as they make an effort to get to know their new colleagues.

STORMING: The storming stage marks a time when conflicts begin to emerge. Conflicts may surface from personal relationships or through the realisation that the task is different or more difficult than imagined. At this point, members need structural clarity and rules to learn how to handle and prevent conflicts. Conflicts may be frustrating and take time, but this stage is necessary in order for team members to understand each other, agree on common goals and establish norms. At this stage people start to push against the boundaries established in the forming stage.

This is the stage where many teams fail. Storming often starts where there is a conflict between team members' natural working styles. People may work in different ways for all sorts of reasons, but if differing working styles cause unforeseen problems, they may become frustrated. Storming can also happen in other situations. For example, team members may challenge the team leader's authority, or jockey for position as their roles are clarified. Or, if the team leader hasn't defined clearly how the team will work, people may feel overwhelmed by their workload, or they could be uncomfortable with the approach being used. Some may question the worth of the team's goal, and they may resist taking on tasks. Team members who stick with the task at hand may experience stress, particularly as they don't have the support of established processes, or strong relationships with their colleagues.

NORMING: In the norming stage, the group has evolved to develop a clear definition of its responsibilities, understand how group members work together, and appreciate each other's skills and experience. Ideally, individuals listen to each other, support each other, and learn to work cooperatively. This is when people start to resolve their differences, appreciate colleagues' strengths, and respect the authority of the leader. Now that the team members know one another better, they may socialise together and they are able to ask each other for help and provide constructive feedback. People develop a stronger commitment to the team goal, and there is a start of good progress towards it.

There is often a prolonged overlap between storming and norming, because, as new tasks come up, the team may lapse back into behaviour from the storming stage.

PERFORMING: When a team is in the performing stage, members recognise each other's strengths and weaknesses; they diagnose and solve problems, implement changes, have clearly defined roles and achieve synergy while working together. In this stage, group identity, loyalty and morale are all high. The team can now function as an effective, cohesive unit. The team reaches the performing stage when hard work leads, without friction, to the achievement of the team's goal. The structures and processes that the team leader has set up support this well. The leader can delegate much of the work and can concentrate on developing team members. It feels easy to be part of the team at this stage, and people who join or leave won't disrupt performance.

It is important to understand that groups are often forming and changing and each time that happens, they can move to a different stage. A team might be happily norming or performing, but a new member or a different task might force them back into storming. Experienced leaders will be ready for this, and will help the group get back to performing as quickly as possible. These stages describe the normal pattern for maturing groups.

Motivating Others

Motivation: Motivation is an internal drive that stimulates a person to try hard to achieve goals. People are motivated by different things. It is easiest to start by thinking of this in non-work related terms. The most common descriptions for this are **"Intrinsic"** and **"Extrinsic"** motivation.

Intrinsic Motivation involves engaging in behaviour because it is personally rewarding; essentially, performing an activity for its own sake rather than the desire for some external reward.

Examples of actions that are the result of intrinsic motivation include:

- Participating in a sport because you find the activity enjoyable;
- Solving a word puzzle because you find the challenge fun and exciting;
- Playing a game because you find it exciting.

In each of these instances, the person's behaviour is motivated by an internal desire to participate in an activity for its own sake.

Extrinsic Motivation occurs when we are motivated to perform a behaviour or engage in an activity to earn a reward or avoid punishment.

Examples of behaviours that are the result of extrinsic motivation include:

- Studying because you want to get a good grade;
- Cleaning your room to avoid being reprimanded by your parents;
- Participating in a sport to win awards;
- Competing in a contest to win a scholarship.

In each of these examples, the behaviour is motivated by a desire to gain a reward or avoid an adverse outcome.

Extrinsic vs. Intrinsic Motivation

The primary difference between the two types of motivation is that extrinsic motivation arises from outside of the individual while intrinsic motivation arises from within.

Many governors believe that staff should be motivated by their pay checks. Effective governors understand that each staff member is an individual who may require a different form of motivation.

Some governors and supervisors cannot understand why everyone does not share their own enthusiasm about the work and assume that those who do not must have a poor work ethic. This may be the case in some circumstances; more often, however, it is simply that **different people are motivated by different things**.

Most people would prefer to have fulfilling and meaningful work and feel they could make greeter contribution at work. What often holds people back is not lack of skill or desire. By failing to understand what motivates a staff member and to offer challenging work opportunities, governors and supervisors create the conditions for discontent, often unknowingly.

What Motivates?

It is important to understand what motivates people. Although we respond differently to various motivational techniques, we are all alike in fundamental ways. To understand how people are alike requires a basic understanding of universal human drives and needs.

Security Factors and Motivating Factors

In the well-known hierarchy of human needs, Maslow described two sets of fundamental needs that must be met for optimal functioning. The first set of needs stems from our animal nature and includes the drive to avoid pain and meet our biological needs. These needs can be thought of as security factors. We do not want to go hungry, so we work to pay for food.

The second set of needs is unique to human beings: our drive to achieve and, through this, to experience growth. We address this set of needs by taking on a new task and mastering it. These needs can be thought of as motivating factors.

This is essentially what we mean by Intrinsic and Extrinsic Motivation

Understanding how these drives relate to motivating others at work requires recognising that security factors are found in the work environment, whereas motivating factors are found in the work itself and in experiences related to doing the work successfully. Security needs are met through policy and administration, supervision, interpersonal relationships (with supervisor, peers, and subordinates), work conditions, salary, personal life, status, and job security. Motivating needs – how individuals experience psychological growth – are met through achievement, recognition of achievement, the work itself, responsibility, and growth or advancement.

Clearly, if only security needs are met, little job satisfaction is attained. Security factors are necessary but not sufficient for job satisfaction.

Maslow's Hierarchy of Needs

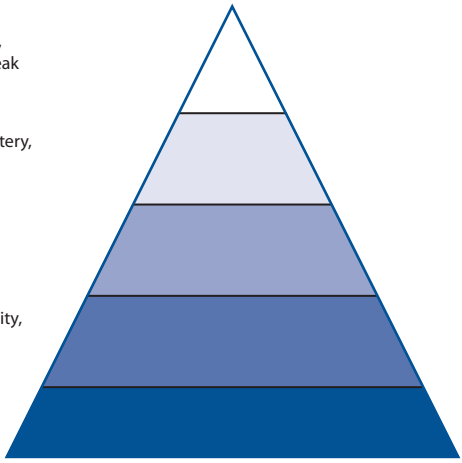
Self actualisation: realising personal potential, self-fulfilment, seeking personal growth and peak experiences.

Esteem Needs: self-esteem, achievement, mastery, independence, status, dominance, prestige, managerial responsibility, etc.

Social Needs: work group, family, affection, relationships, etc.

Safety Needs: protection from elements, security, order, limits, stability, etc.

Physiological Needs: air, food, drink, shelter, warmth, sex, sleep, etc.



Which Factors Should Governors and Supervisors Focus On?

Staff typically do not find job satisfaction even if all of their security needs are met. Job satisfaction occurs only when the motivating needs are met. Having the clearest policy and procedure, excellent interpersonal relationships, great working conditions, and rock-solid job security will not guarantee highly motivated staff. Each of these factors contributes to job satisfaction in a small way. Motivation is found in meaningful and challenging work, which allows the staff to demonstrate responsibility, experience growth and achievements. The bottom line is that money and work help prevent job dissatisfaction but do not motivate. To have a motivated workforce requires finding ways of ensuring that staff have challenging and meaningful work that allows them to be responsible and to achieve .

What Is the Governor's or Supervisor's Role in Motivating Staffs?

Motivating factors are not something a governor or supervisor can "do for" staff. A governor or supervisor can create the circumstances for achievement by providing meaningful and challenging work. If the staff then experience achievement and growth, that staff will be internally motivated.

The good news is that this means the governor have to spend time coaxing and cajoling staff with extrinsic rewards. To motivate, governors and supervisors must know each staff well enough to understand what that person cares about and how he or she learns best. This is done by asking and observing the staff. People usually can say whether they learn best through visual, oral, or experiential methods. By asking about and watching what types of tasks a staff member enjoys, a Governor or supervisor can determine what matters most to that person. Once a governor or supervisor understands what staffs care about and how they learn best, then the task is to create the circumstances in which each staff can demonstrate his or her ability through the work.

Is Time Spent on Motivation Worth It?

Motivating factors are believed to have a much longer term effect on staffs' attitudes than security factors. This means the time devoted to helping staff find meaning in their work is time well spent.

Behaviours That Motivate

How the Work Gets Done

In any organisation, people are ultimately responsible for the work that is done. In prisons, where the use of machinery and technology is limited, people

do the vast majority of the work. Consequently, the one thing governors and supervisors should know the most about is human behaviour.

Consequences Motivate Behaviour

When governors and supervisors wonder why someone does something, they think about what happened before the event to motivate the person to act a certain way. The more important question is what happens after the behaviour. The cause of the behaviour lies not in what occurs before the behaviour, but in its consequences. If the consequences are good, the behaviour is repeated. If the consequences are negative, the behaviour probably will not be repeated.

Although this concept of behaviour may seem obvious, the way that prisons and most other organisations function suggests it is not well understood. In most organisations, the performance of staff is managed by telling them what to do. If, after a governor or supervisor tells a staff member several times what to do, the staff member still does not do it, the governor or supervisor tells the staff louder and often in a harsher and/or more threatening way. Eventually, the governor or supervisor might take disciplinary action. Governors and supervisors spend most of their day either telling people what to do or considering what to do when people do not do what they are told.

Telling someone what to do will typically cause a behaviour to occur once, but it does not result in repeated behaviour. Unless "telling" is combined with a meaningful consequence that makes the staff want to repeat the behaviour, he or she is unlikely to do it again. Telling is effective to get someone started but it will not motivate anyone to continue. Unless something positively reinforces the behaviour, it may not be repeated.

Reward What You Want Done

"Reward what you want done." Not as simple as it sounds, but some guidelines will help. Governors and supervisors can arrange tasks in a way that will positively reinforce the behaviours they want and eliminate unproductive behaviours.

1. **Focus on change, not blame.** Most people behave in a way that is consistent with the way they were treated in the past. Those who were rewarded for being innovative will innovate. Those who were punished for doing anything without permission will likely do only what they are told. Rather than passing judgment on why people do what they do, governors should instead focus on changing the behaviour.

2. **The more immediate, the better.** The impact of any consequence is limited. The more immediate the consequence, the greater its impact on behavioural change.
3. **Don't focus only on the poor performers.** A mistake we all make is to focus most of our energy on those who do not perform. Staff who does a good job soon lose the reinforcement they need to stay motivated.
4. **Try to understand individual motivation.** Most people reinforce others in the way they themselves would like to be rewarded. This would work if everyone was the same, but that is not the case. Find out what individual staff consider a reward and offer that if possible.
5. **Doing nothing can hurt performance.** If staff take the initiative to go above and beyond their job requirements, but no one ever acknowledges them and shows appreciation for their efforts, eventually they will stop. Failing to acknowledge a job well done kills motivation and a good work ethic.

Governors and supervisors have to observe what they are or are not doing. They have to honestly assess what behaviours they are positively reinforcing and when they are relying on negative reinforcement, punishment, and penalties. And they have to be willing to learn how to analyse and change behaviour.

SECTION 8:
UNDERSTANDING DECISION-MAKING

Decision-making Theory

Making sound and timely decisions is a key objective of incident or crisis control in prisons. All decisions must be made in the face of uncertainty. Theoretically, we can reduce uncertainty by gaining more information, but any such decrease in uncertainty occurs at the expense of time, often, it is not so much the amount of information that matters, but the right elements of information available at the right time and place. Several general principles of decision-making apply in crisis management situations.

First, because crisis in prisons often involve actions by prisoners, decisions are not made in isolation. Actual and possible actions by prisoners have to be considered in developing our responses. However there may be other variables to be managed simultaneously.

Second, whoever can make and implement sound decisions quickly may have a tactical advantage.

Third, a crisis intervention decision is much more than a mathematical computation -- it requires intuition and analysis to recognise the essence of the problem and creativity to devise a practical solution. Such ability is the product of experience, education, intelligence, and perception.

Fourth, because all decisions must be made in the face of uncertainty and each situation is unique, there is no perfect solution to any problem in crisis management. Instead, it may be advantageous to adopt a promising course of action with an acceptable degree of risk, and execute it before the situation deteriorates further.

Finally -- in general -- the lower the echelon of command, the faster and more direct decision-making can be. A supervisor can normally base decisions on factors that he/she observes first-hand. Governors are normally further removed from events by time and distance. As a consequence, with well-trained prison staff, **particularly where they have specifically been trained in inci-**

dent management, the lower we can push the decision-making threshold, the swifter the decision and action cycle will become. However it must be emphasised that instinctive or responsive decisions may not be the best decisions. The experience and judgement of the person making the decision is critical.

The defining features of any prison crisis problem – uncertainty and time – exert a significant influence on decision-making. As knowledge about a situation increases, our ability to make an appropriate decision also increases. As time progresses the quantity of new information may decrease and decisions may not be greatly improved by the information which is available. But in managing risk and in particular in considering safety of life and in managing the recovery phase, those commanding a critical incident should not confuse lack of volume of information with value of information. While it is often frustrating to those involved in managing critical events who have less experience, and who are often keen to act, a prudent Commander does not allow such pressure to influence decisions where significant information is still incomplete. Therefore it is not the quantity of information that matters; it is the right information made available to the decision maker at the right time.

One theory of decision-making sees it as an analytical process. The basic idea is that comparing multiple options concurrently will produce the optimal solution. The decision maker generates several options, then identifies criteria for evaluating these options, assigns values to the evaluation criteria, and rates each option according to these criteria. The basic idea is to compare multiple options concurrently to arrive at an optimal solution. Analytical decision-making tends to be thorough, but time-consuming.

A second approach to decision-making is based on intuition. This approach relies on an experienced decision maker's ability to recognise the key elements of a particular problem and arrive at an acceptable decision. Intuitive decision-making thus replaces methodical analysis with pattern-recognition based on experience and judgment. The intuitive approach focuses on situation assessment instead of on the comparison of multiple options. Intuitive decision-making aims at finding the first solution which will satisfactorily solve the problem, rather than on optimising, as the analytical approach attempts to do.

The approach relies on the knowledgable and experienced decision-maker's ability to recognise the key elements of a problem, rapidly integrate them, and make a proper decision. Intuitive decision-making thus replaces analysis with experience and judgment. Intuitive decision-making strives to find the first solution that solves the problem, rather than waiting for the "best" solution.

The speedy intuitive model is consistent with the view that dealing with crisis is ultimately a skill rather than a science.

Key to this is the experienced person's repertoire of experience. Although s/he may not have faced exactly the same situation before, s/he has dealt with something similar. What the experienced person is doing is actually internalising the process of comparing options on the basis of what has worked before, often described as intuition or expertise. However the use of two terms can suggest that it is only with long experience that such expertise is developed. It is important to emphasise that such a repertoire of experience can be built up in three ways:

- By actually having operational experience;
- By having simulated operational experience by training in the possible scenarios which have or might occur;
- By accumulating experience of doing something similar that involves managing decisions and resources in the contexts of time and information constraints.

People do not have to have experienced the actual situation before in order to develop "expertise", this repertoire of experience can be consciously developed. What is crucial, is that with training, all of those expected to manage an incident, irrespective of role, are more likely to act in a manner which the critical incident commander can predict when making decisions.

Each model of decision-making has its strengths and weaknesses; which is better depends on the nature of the situation, particularly on the time and information available. Typically, the analytical approach is more appropriate for deliberate planning prior to any action, when time is not a critical factor, and extensive information can be gathered and processed. In this situation, modelling, simulation and exercises may be useful in allowing the decision maker to evaluate the potential courses of action. The intuitive approach is clearly more appropriate for the fluid, rapidly changing environment of dealing with a sudden crisis, when time and uncertainty are critical factors. In practice, the decision maker usually will incorporate certain analytical methods and decision aids into an essentially intuitive process whenever the situation warrants and time permits.

The analytical approach is appropriate for contingency planning when time is not a factor and extensive information can be gathered. However, the intuitive approach is more appropriate for the vast majority of typical tactical or operational decisions – decisions made in the fluid, rapidly changing conditions of

crisis when time and uncertainty are critical factors and creativity is a desirable trait.

We frequently associate intuitive decision-making with rapid/time-sensitive planning and analytical decision-making with deliberate planning.

Naturalistic Decision-making

Naturalistic Decision-Making (NDM) is the term used by psychologists who study decision-making in settings characterised by ill-structured, uncertain, dynamic risky environments; shifting, ill-defined or competing goals; accompanied by time constraints. In these domains, decisions are usually made by knowledgeable and experienced professionals. Decisions are also embedded in larger dynamic tasks. A short-hand definition of NDM is `the way people use their experience to make decisions in field settings'.

Within the NDM framework, new decision theories have emerged, such as the decision-process model, the cognitive control model and a model of recognition-primed decision-making.

Recognition-Primed Decision-making

The Recognition-Primed Decision-Making model (RPD) was developed through research into decision-making by fire ground commanders and the military. RPD model describes the cognitive processes employed by experienced decision makers who may need to make quick decisions in complex, dynamic and hazardous situations, with limited time and information. Decisions may then be based on previous knowledge and expertise, which allows experienced decision makers to recognise a situation as typical and recall the appropriate response to deal with it. The emphasis is on assessing and classifying the situation rather than generating options. With experience, decision makers can usually read the situation so that the selection of a course of action is obvious. On the basis of the RPD model, research has shown that effective decision-making in real-world situations can be improved through the build-up of expertise. Intuitive decision-making, based on pattern matching and recognition of familiar and typical cases, can be trained by increasing the decision-maker's experience base. Another method is to develop training programmes incorporating exercises and realistic scenarios so that the decision maker has the opportunity to expand their repertoire of patterns.

The mnemonic `**CRISIS**' was developed to serve as the memory aid for tactical principles. Six easily remembered tactical principles are clarified. This provided a flexible framework within which decisions could be made using a common, shared and understood response language. The mnemonic works as follows:

`**C' for Containment** – where do I isolate and secure the incident scene (evacuate, lock-up, cordons). The outcome of containing the incident is that it restricts incident movement by controlling SPACE thereby preventing escalation. Containment requires:

`R' for Resources – who do I deploy (concentration vs. economy)? As a result, resources are used effectively to sustain response (e.g., rioters/hostage takers cannot rotate and refresh). Resource management allows:

`I' for Intelligence – what is the motivation? What are the strengths, weaknesses, opportunities or threats? The result is enhanced freedom of action. The whole response requires:

'S' for Security – What about staff, keys, radios, prisoners etc. Is everything accounted for? Are plans, equipment, communications protected? Are risk assessments done? Are instructions clear on evidence protection? Security allows:

`I' for Initiative – which is appropriate: intervention, negotiation or nothing? The result is that the incident begins reacting to the commander's intent. Power perceptions are altered as order replaces disorder. Once Initiative is taken, the situation requires monitoring of:

'S' for Stress – How is stress being monitored in the team? Outcome: team performance is maintained.

Understanding and applying set of principles helps responders adapt and respond quickly to any incident rather than searching for the contingency plan checklist. Importantly, the use of principles developed the pattern recognition approach by mentally simulating incidents.

SECTION 9:
CONTINGENCY PLANNING AND RISK MANAGEMENT

Objective of contingency planning

The objective of contingency planning is to ensure that incidents are resolved with the minimum risk of harm to staff, prisoners and the public. The principles which should underpin contingency planning are:

- Preserve life and prevent injury
- Maintain safety of the public
- Prevent escapes and protect the security of the perimeter
- Maintain the security of and minimise damage to property
- Restore a normal regime as soon as possible
- Provide care and support during an incident and post care in the aftermath, for those affected by the incident
- To preserve evidence

Risks are minimised by:

- Giving staff the confidence to manage incidents safely and within pre-prepared, tested and approved procedures;
- Ensuring that incidents are reported in accordance with national instructions so that resources and support can be activated without delay where required;
- Ensuring that the duty of care to staff, prisoners and the public is fulfilled by supporting all those involved directly and indirectly with an incident both during and after serious incidents including the provision of post-incident care;

- Developing a contingency plan for each key risk. The plan should be one that can be quickly activated, without any confusion on how to proceed. Contingency planning must include a clear understanding of the use of force in responding to each scenario.

Key aspects of contingency planning include:

- Identifying roles, responsibilities and chain of command for key prison staff and external support;
- Having clear protocols in place for working with other agencies (police, fire services, medical services, etc.);
- Holding joint training and simulation exercises are conducted with police and other external agencies;
- Ensuring detailed processes are outlined to effectively respond to a particular incident;
- Ensuring communications linkages between the prison and external support are provided for, before, during and after the incident.

In many prison services, the capacity to respond to serious incidents is limited and relies heavily on external security forces. Therefore, it is critical to establish relevant partnerships to help maintain the safety of the prison. The proximity of external security forces to the prison and response times are extremely important because, in many prisons, staffing levels and available security equipment may not allow incidents to be isolated or contained for lengthy periods. It should be noted, however, that the police are unlikely to have extensive knowledge of a particular prison environment.

A first step in developing contingency plans would be to discuss previous incidents with the management team and how they were resolved. From this, training exercises (such as Tactical Decision exercises, table top exercises and incident simulations) can be developed to build experience and expertise.

All Contingency Plans should take account of and incorporate principles of European Prison Rules on Use of force.

Use of Force: European Prison Rules

64.1 Prison staff shall not use force against prisoners except in self-defence or in cases of attempted escape or active or passive physical resistance to a lawful order and always as a last resort.

64.2 The amount of force used shall be the minimum necessary and shall be imposed for the shortest necessary time.

65. There shall be detailed procedures about the use of force including stipulations about:

a. the various types of force that may be used;

b. the circumstances in which each type of force may be used;

c. the members of staff who are entitled to use different types of force;

d. the level of authority required before any force is used; and

e. the reports that must be completed once force has been used.

66. Staff who deal directly with prisoners shall be trained in techniques that enable the minimal use of force in the restraint of prisoners who are aggressive.

67.1 Staff of other law enforcement agencies shall only be involved in dealing with prisoners inside prisons in exceptional circumstances.

67.2 There shall be a formal agreement between the prison authorities and any such other law enforcement agencies unless the relationship is already regulated by domestic law.

67.3 Such agreement shall stipulate:

a. the circumstances in which members of other law enforcement agencies may enter a prison to deal with any conflict;

b. the extent of the authority which such other law enforcement agencies shall have while they are in the prison and their relationship with the director of the prison;

c. the various types of force that members of such agencies may use;

d. the circumstances in which each type of force may be used;

e. the level of authority required before any force is used; and

f. the reports that must be completed once force has been used.

Suggested Contingency Plans

The following contingency plans will provide for effective and co-ordinated response in the event of an incident:

a. Bomb Threat/Found
b. Evacuation
c. External Threat
d. Fire
e. Hostage
f. Medical Emergency
g. Natural Disaster
h. Officer Requires Assistance
i. Riot or Major Disturbance
j. Vehicle Access to a Prison
k. Threat from aircraft overflying or helicopter assisted event
l. Industrial action – withdrawal of staff labour/staff unable to access prison

Each prison must develop a local procedure based on the above contingencies. These local procedures should be approved by the relevant local authority at the direction of the responsible Assistant Minister of Justice/Prisons should have hard copy of their local procedures in the event of a critical failure of information technology infrastructure.

CONTINGENCY PLANNING: RESPONSE

It is difficult to create detailed contingency plans for every situation which might occur in a prison. Contingency Plans are generally a good starting point when a critical incident occurs, since they increase the likelihood of responders acting predictably. The key to contingency planning is to have a good set of principles which are easily understood and which can allow a flexible response. Key to managing an incident is to know what the incident is. This is often referred to a "Naming the Incident". Consider the following.

It is reported that a group of prisoners have barricaded themselves into a dormitory. What is the incident? Possible options might be:

- High spirits which have got out of hand
- A peaceful demonstration because of a grievance
- Seizing an area with the intent of destroying property

- A planned demonstration to gain publicity
- A diversion for an event elsewhere
- One of a planned series of incidents in the prison for some stated purpose
- An opportunity to detain and/or injure another prisoners or prisoners
- An opportunity to detain and/or injure a member of staff/members of staff
- A hostage taking with demands

Each of the above will require some common actions and also some specific actions.

Contingency plans should be based on sound principles. With any incident the immediate priorities are:

Clarify what the incident is;

Isolate the incident so that the smallest numbers of people are involved and that the incident is kept to the smallest area possible;

Contain the incident prevent it spreading, moving or having others join in;

Respond to the incident, by putting an appropriate command system in place, deploying trained personnel, identifying and deploying additional resources, both internal and external.

These principles would be as relevant to a fire as they would to a major disturbance.

It is important to emphasise that all these activities will be happening **simultaneously** at the start of an incident and that it is of the highest importance that a command structure is put in place and that the incident commander is in the command room or other designated location where resources and information can be directed. Because of this likely confusion it is essential that an **Incident Log** of events is maintained throughout the incident in the command room, noting key actions, who is responsible for carrying out the action and why it has been taken.

SECTION 10:
DEVELOPING COMPETENCY IN PRISON MANAGEMENT

Competent prisons require competent staff. This is the most fundamental equation in the profession. Therefore, it is necessary to understand the principles of competence and consistently apply these principles. Competence is the ability of an individual to do a job properly.

A competency framework defines the knowledge, skills, and attributes needed for staff roles within the prison. Each individual role has its own set of competencies needed to perform the job effectively. To develop this framework, an in-depth understanding of the roles within the prison is needed. The steps required to create a competency model include:

1. Gathering information about job roles;
2. Interviewing subject matter experts to discover current critical competencies and how they envision their roles changing in the future;
3. Identifying high-performer behaviours;
4. Creating, reviewing and delivering the competency model.

The simplest and most flexible frameworks are those that concentrate on behaviour i.e. 'if and how' things are done rather than on the specific skill and knowledge i.e., 'what' is done. Descriptions of 'how' something should be done will concentrate on the specifics of what can be observed and it can be identified when an individual is demonstrating excellence within the behaviour. It therefore becomes easy to assess individuals or projects simply by comparing actual observation with the framework benchmarks.

DEVELOPING COMPETENCY IN PRISON MANAGEMENT:

Managing Through Measured Performance

The following principles are essential when designing a competency-based management plan:

1. **Involve the people doing the work** – The plan should not be developed solely by the Governor, who may not always know what each job actually involves. To understand a role fully, you have to go to the source – the person doing the job – as well as getting a variety of other inputs into what makes someone successful in that job.
2. **Use relevant competencies** – Ensure that the competencies you include apply to all roles covered by the plan. If you include irrelevant competencies, staff will probably have a hard time relating to the framework in general.

The principle which can be considered essential elements of good prison management: "*The key element of good prison management is to be found in a prison where there is a culture of decency and respect and where everyone is treated with humanity*". A well-managed prison is one in which there is a clear understanding of its objectives, its mission, and where prison management clearly articulates the standards expected from their staff.

Fundamental Competencies of Prison Officer

Interpersonal Skills

- Treats others with courtesy, sensitivity, and respect.
- Considers and responds appropriately to the needs and feelings of different people in different situations.
- Is consistently open and approachable when resolving highly sensitive and complex issues.
- Treats individuals from all levels of the agency with courtesy and sensitivity.
- Meets with staff and listens to their perspective on organisational policies and procedures.

Oral Communication

- Makes clear and convincing oral presentations.
- Listens effectively.
- Clarifies information as needed.
- Conducts presentations and briefings for high-level officials.
- Presents, explains, and defends prisons positions and proposals to staff and all stakeholders.

- Conveys information clearly and concisely to ensure staff or team members remain focused on agenda items.
- Explains benefits to stakeholders to gain acceptance of programmatic change.
- Presents information, analyses, and recommendations to officials and stakeholders.

Integrity/Honesty

- Behaves in an honest, fair, and ethical manner.
- Shows consistency in words and actions.
- Models high standards of ethics.
- Promotes a climate of openness and honesty and does not penalise responsible dissent.
- Does not acquiesce to inappropriate personal requests for favours, political pressure, or promise of gain.
- Displays fortitude to support ethical actions that may negatively impact self or stakeholders.
- Instils a climate of trust by admitting own mistakes and taking responsibility for one's actions.
- Discusses potential ethical problems and wrong-doing with staff and responds appropriately.
- Communicates honestly with staff regarding potential changes affecting the prison to ensure staff are treated fairly.
- Investigates issues and takes corrective action, as appropriate.

Written Communication

- Writes in a clear, concise, organised and convincing manner for the intended audience.
- Writes complex reports using clear terminology and a concise format for use by high-level decision makers.
- Reviews reports, edits materials, and provides suggestions to improve clarity while ensuring documents are targeted to the intended audience.
- Develops documents outlining the prisons mission and goals.

Continual Learning

- Assesses and recognises own strengths and weaknesses; pursues self-development.

- Engages in systematic, self-directed training and development activities aligned with the strategic needs of the prison.
- Applies what is learned in training to produce a major positive impact for the prison.
- Completes leadership development program including any training, coaching, and mentoring opportunities and applies key learning.

Public Service Motivation

- Shows a commitment to public service.
- Ensures that actions meet public service needs; aligns prison objectives and practices with public interests.
- Cultivates relationships with all stakeholders to validate usefulness of service.
- Approves funding documentation in accordance with procedures to ensure public resources are utilised appropriately.
- Improves processes used to monitor contractors and procurement for supplies, services, and/or equipment to ensure funds are expended appropriately.

High professional and personal standards

There should be no distinction between personal and professional misconduct. The same disciplinary procedures should apply to all grades of staff. Prison Management must always act in the best interests of the prison, staff and prisoners and maintain high standards of personal conduct; keep professional knowledge and skills up to date; act within the limits of their knowledge, skills and experience and, if necessary, refer on to another professional; maintain proper and effective communications with staff and prisoners; effectively supervise tasks they have asked others to carry out; keep accurate records; and make sure that their behaviour does not damage the reputation of the prison or the profession.

Observance of rules

Prisons need to operate within a set of rules and regulations that are perceived to be fair and just. Such regulations need to be designed to ensure the safety of each individual, both staff and prisoner, and each group has a responsibility to observe these rules and regulations. Prisoners should receive reward for good behaviour as well as punishment for bad behaviour. Staff need to know

that they are also expected to observe the rules at all times. A prison community will have a clearly defined system of hearings, discipline and sanctions for those who deviate from the agreed rules, such hearing will be conducted in a just and impartial manner.

Managing relationships – staff & prisoners

- Sharing information both vertically and horizontally.
- Promotion of collaboration among managers.
- Persuasion being the preferred tactic to gain support for initiatives.
- Negotiating shared outcomes.
- Adapting communications to suit audience and context.
- Communicating regularly and openly with staff, prisoners and other stakeholders.
- Demonstrating understanding of and respect for all stakeholders' views.
- Following through on commitments.
- Soliciting input from and listening to staff and other stakeholders.
- Communicating vision and prison plans with clarity and commitment.
- Establishing regular and comprehensive exchanges of ideas with management team.
- Promoting team-building.

Examples of Competency Frameworks

Shift Leader (Supervisor): Profile

The shift leader is responsible for the effective delivery of services in the prison and/or of staff. The supervisor is expected to:

- Ensure that prisons policies, procedures, standards, and contracts are implemented and support the ***vision and mission.***
- Implement ***procedures*** to ensure the alignment of the unit or program with prison policy and best practices.
- Build an ***organisational culture*** within the unit/program that supports the attainment of desired outcomes.
- Ensure that ***resources*** are expended wisely and as prescribed by policy and procedures.

- Interact with the ***external environment.***
- Ensure that unit/program staff understand and support the prisons ***public policy*** agenda.
- Provide ***supervision*** to direct reports and model best supervision practices.

SECTION 11:
WHAT CONSTITUTES GOOD PRISON MANAGEMENT?

The Principles

We have now reached the stage at which we can consider the essential elements of good prison management. We can begin by stating the obvious and reminding ourselves that when people are sent to prison they retain all of their basic rights as human beings. In spite of his imprisonment, a convicted prisoner retains all civil rights which are not taken away expressly or by necessary implication. These rights can be summarised under the following headings:

- Maintenance of human dignity: the rights to freedom from torture and inhuman, cruel or degrading treatment, to proper accommodation, hygiene facilities, clothing and bedding, to sufficient food and water, to sufficient exercise and fresh air.
- Proper healthcare.
- Personal safety: the level of security should be sufficient to ensure the safety of the public but should not be oppressive; no one in prison should be at risk of physical, sexual or mental abuse; internal procedures for discipline and punishment should observe the tenets of natural justice.
- Contacts with families, friends and the outside world should be of a quantity and quality that allows the maintenance and development of proper relationships.
- Access to a range of activities: work, education, cultural activities, physical exercise, observance of religion.
- Access to necessary legal representation for those who are awaiting trial, sentence or appeal and also for those who have legitimate complaints about their treatment.
- Respecting the needs of special categories of prisoners, such as women, juveniles and other minority groups.

A well-managed prison is one in which all of the above rights are delivered.

Decency and Humanity

Inhumanity in a prison is often the result of a combination of factors.

It should be recognised that it is possible to have humanity in an environment with very poor physical conditions. In a number of European countries physical conditions in prisons are generally satisfactory. The prisons are in a good state of repair and are clean and tidy. Each prisoner has his or her own cell and is reasonably well fed and clothed. Yet they are at best soulless institutions where there is little or no human interaction and at worst places of inhumanity where prisoners are not treated as human beings.

This underlines the key element that good prison management is to be found in a prison where there is a culture of decency and respect and where everyone is treated with humanity. There are a number of simple features which can be used as markers when assessing the extent to which such a culture exists or not in a prison. They are by and large the same indicators that one might use in any other human context. One which will be immediately obvious to the seasoned observer of prisons is the form of address used, particularly by staff towards prisoners. Terminology is very important in the prison setting and the general use of language is often a good measure of humanity. For example, when staff are escorting prisoners from one place to another one may well hear them referring to their charges as "bodies" or numbers to be passed from one point to the next rather than as people. All of this is indicative of a culture which regards prisoners as 'a sub-species' of humanity.

Good Communications

An important feature of a well-managed prison is that it will have a good system for communications between everyone. In many hierarchical prison systems the only communication thought necessary is the passing of orders and instructions from the top of the organisation to the bottom. There is no upwards feedback and there is very little information passed across the organisation from one department to the other. This is not the mark of a well-managed prison. The prison governor and senior management are responsible for overall management of the prison. The way they carry out their roles will be the main influence on the ethos within the prison. Their task is to provide a clear set of parameters within which the daily routine of the prison is to be exercised. They should then provide the support which encourages staff at other levels to carry out their daily tasks within these parameters. This should all be done in an

atmosphere in which there is trust between everyone involved. This will only happen if there is a good system of communications. In the first place, there has to be two way vertical communication. This means that there must be a process which permits senior management to have real dialogue with junior staff. This will include the ability of management to issue instructions when necessary in a manner which is understood by all staff. It will go further than that, since it will also enable management to seek the advice and opinion of staff, not only about issues of detail but also about more general matters of policy. This means that there must be a set of procedures which encourages junior staff to convey their views and opinions to senior management in a way which is transparent and which will not lay them open to criticism.

There must also be a good system of horizontal communication across the various departments in the prison. In a more traditional style, each department reports to the head of the prison and he or she then relays messages or instructions back down to other departments. In such a model, the different departments have no formal means of communicating with each other. This is likely to build in an unnecessary slowness and to increase the possibility of misunderstanding. There should be a forum which allows staff in the security department, the regimes and programmes department, the personnel department and the finance department to explain their different priorities to each other and to discover how their work can be complementary rather than in competition with that of other groups. There should also be good channels of communication between prisoners and staff. There is no reason why prisoners should not be given the opportunity to express opinions about various aspects of prison life as it affects them. Obviously, some aspects of security and discipline may have to be excluded from such discussion, but there are many features of the prison which do not come into these categories. It is important to recognise that a multi-layered communication system will not undermine the discipline of the prison. On the contrary, it will make it more likely that staff at all levels will be more committed to their work and will have a better understanding of the change process. Similarly, prisoners will have an increased sense of security in their daily lives.

Treatment of Visitors

Another important indicator of whether a prison is well managed is the manner in which visitors are treated, especially those who come to visit prisoners. There is a frequent temptation for prison officials to treat the family and friends of prisoners as if they too had broken the law and were liable to be subjected to supercilious treatment. The most obvious example of this is likely to occur when families come to visit the member who is in prison. More often than not

the visitor will be female, a wife or a mother, who has travelled a considerable distance, perhaps with small children. Staff may keep them waiting for a long period before asking who they are or whom they have come to see. There may then be another interminable delay while the prisoner who is to be visited is located and brought to the visiting room. If the prison is a high security one the visitors, including small infants, may be subjected to intimate searching. In some cases this may be justified and indeed necessary on security grounds, but the manner in which it is carried out can be sensitive or insensitive depending on the approach taken by the member of staff. When the visit eventually begins the staff presence can be either discreet or overbearing. Depending on which of these two manners the staff adopt, the stress of the visit for both the prisoner and the visitors will be increased or decreased. None of this is to do with better or more lax security. It is solely a matter of the attitude of staff and the extent to which they regard visitors, let alone prisoners, as people who are to be shown the courtesies of normal human interaction. This human face of the prison can be experienced even prior to arrival, if one has to make a telephone call to a prison. In some cases the telephone rings and rings until one is forced to give up in frustration. This is annoying enough if one is simply seeking general information. It is more serious if one is a legal adviser trying to make an appointment to visit a client. It is quite bewildering if one is a partner calling from a public telephone box to ask when one can visit the family member who is in prison.

Response in Times of Stress and Crisis

Human relationships in a prison are, of course, multi-dimensional. It is not simply a question of how staff deal with prisoners and with visitors. Staff also are entitled to be treated with courtesy in return. However, in terms of relationships it is staff who undoubtedly hold the position of power and in that respect are able to set the tone of the prison, to which the prisoners can only respond.

This is particularly true in circumstances when tension is high between prisoners and staff, for example, in the wake of a serious incident such as a riot or in a prison with a tradition of poor interaction between staff and prisoners. In such prisons both groups are likely to have retreated to the safety of their respective traditions. Staff will hide behind formal rules and regulations and will avoid the informal contact with prisoners which is part and parcel of normal life in a prison. Similarly, in these situations prisoners will be reluctant to be seen talking to staff since this may be interpreted by other prisoners as disloyalty or, even worse, as passing on information to the enemy.

Serious incidents such as riots thankfully are not frequent occurrences in most prisons. In a well-managed prison, where staff move among prisoners as a matter of course and have positive dealings with them, the causes which may give rise to a riot will usually be avoided. If trouble is brewing, it can usually be sensed in advance and steps can be taken to prevent it. However, even in the best managed prisons major incidents may occur occasionally. If this happens, it will be important to return to a semblance of normality as soon as possible after the incident is resolved. The initiative for taking the first step towards normality will almost invariably lie with staff. **The only way forward is to convince staff that they had to adopt a professional approach which combined proper security measures with a willingness to treat the prisoners in a humane way.** This is the challenge which regularly faces staff who work in many high security prisons.

SUMMARY

In brief, a well-managed prison is one in which the environment is decent and humane. In practical terms, these features can be measured by the quality of the human relationships between the prisoners who live there, the staff who work there and anyone who comes to visit for any reason. The principle is a very simple one. Its application is one of the most complex tasks in the field of good prison management.

The best managed prison systems are likely to be those which have a clear understanding of their objectives, mission and values. Crucial to all of this is a good communication system, which goes up and down and across the organisation. Staff at all levels have to be aware of, and subscribe to, the mission and values of the organisation. They have to understand policy decisions, whether they emanate from national headquarters or from local management. They must also feel that they can be heard and will be listened to when they wish to contribute to the thinking and development of the organisation.

Finally, it has to be recognised that good prison management is dynamic. It is a continuous process rather than something which can be achieved once and for all and, very importantly, that it is a means to an end rather than an end in itself. To express this in different terms, it is a journey which never ends. If it ever does come to an end, it is simply an indication that the culture of the prison has ceased to be dynamic and changing, and instead has become fossilised, no longer alive. This journey can without doubt be a dangerous one at times. It implies a degree of uncertainty, a recognition of the need to change. Prisons as organisations do not like uncertainty; they see it as destabilising and threatening. That is why they need to be set in the context of an agreed set of ethical values linked to clear leadership. If that is the case, the change process will lead to better managed prisons, which are more secure, safer and more effective; in which there is a respect for decency and humanity.

Working together: from a punitive to rehabilitative approach

http://partnership-governance-eu.coe.int

This booklet is primarily intended for staff in the prison system in Ukraine: It will provide practical and theoretical guidance in managing prisons. It aims to improve the skills of prison staff both to use existing resources and to apply appropriate management techniques to achieve better results in the field of enforcement of criminal sanctions. The purpose of the booklet is to:

- provide practical advice to those working in prisons
- reference this advice to relevant International and Regional instruments
- provide some theoretical models of management which can be applied in prisons
- offer guidance from practitioners on good practice in prison management.

ENG

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