

44161  
Utah Council on Criminal Justice Administration's  
Project on Criminal Justice  
Standards and Goals

CORRECTIONS

CORRECTIONAL MANAGEMENT

44161  
Approved by  
Utah Corrections Task Force and  
Utah Council on Criminal Justice Administration  
255 South 3rd East  
Salt Lake City, Utah 84111



GALVIN L. RAMPTON  
GOVERNOR

STATE OF UTAH  
OFFICE OF THE GOVERNOR  
SALT LAKE CITY

NCJRS

DEC 13 1977

ACQUISITIONS

Dear Citizens:

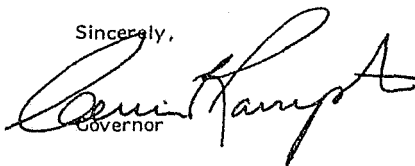
This pamphlet is one of a series of reports of the Utah Council on Criminal Justice Administration. The Council's five Task Forces: Police, Corrections, Judicial Systems, Community Crime Prevention, and Information Systems, were appointed on October 16, 1973 to formulate standards and goals for crime reduction and prevention at the state and local levels. Membership in the Task Forces was drawn from state and local government, industry, citizen groups, and the criminal justice profession.

The recommendations and standards contained in these reports are based largely on the work of the National Advisory Commission on Criminal Justice Standards and Goals established on October 20, 1971 by the Law Enforcement Assistance Administration. The Task Forces have sought to expand their work and build upon it to develop a unique methodology to reduce crime in Utah.

With the completion of the Council's work and the submission of its reports, it is hoped that the standards and recommendations will influence the shape of our state's criminal justice system for many years to come. Although these standards are not mandatory upon anyone, they are recommendations for reshaping the criminal justice system.

I would like to extend sincere gratitude to the Task Force members, staff, and advisors who contributed something unknown before--a comprehensive, inter-related, long-range set of operating standards and recommendations for all aspects of criminal justice in Utah.

Sincerely,

  
Governor

# **CORRECTIONAL MANAGEMENT**

This report was published by the  
Utah Council on Criminal Justice Administration with the  
aid of Law Enforcement Assistance Administration funds.

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## **What is the Utah Council on Criminal Justice Administration (UCCJA)?**

In 1968 the Omnibus Crime Control and Safe Streets Act was passed resulting in the creation of the Law Enforcement Assistance Administration (LEAA) in the U.S. Department of Justice. The act required the establishment of a planning mechanism for block grants for the reduction of crime and delinquency.

This precipitated the establishment of the Utah Law Enforcement Planning Council (ULEPC). The council was created by Executive Order of Governor Calvin Rampton in 1968. On October 1, 1975, the council was expanded in size and redesignated the Utah Council on Criminal Justice Administration (UCCJA).

The principle behind the council is based on the premise that comprehensive planning, focused on state and local evaluation of law-enforcement and criminal-justice problems, can result in preventing and controlling crime, increasing public safety, and effectively using federal and local funds.

The 27-member council directs the planning and funding activities of the LEAA program in Utah. Members are appointed by the governor to represent all interests and geographical areas of the state. The four major duties of the council are:

1. To develop a comprehensive, long-range plan for strengthening and improving law enforcement and the administration of justice . . .
2. To coordinate programs and projects for state and local governments for improvement in law enforcement.
3. To apply for and accept grants from the Law Enforcement Assistance Administration . . . and other government or private agencies, and to approve expenditure . . . of such funds . . . consistent with . . . the statewide comprehensive plan.
4. To establish goals and standards for Utah's criminal-justice system, and to relate these standards to a timetable for implementation.

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## INTRODUCTION

Utah has a large variety of correctional agencies in government and the private sector to provide correctional functions. They range from very small agencies to large agencies. Some of the agencies have several administrative levels (e.g., Division of Corrections), while others have only one level (e.g., private group homes).

This pamphlet contains four standards concerning correctional management. The applicability of the standards to a correctional agency depends on its size, complexity and level of government. Implementation depends upon correctional administrators deciding the standards are worthwhile and adjusting work assignments accordingly.

**Standard 2.1, Professional Correctional Management,** deals with redesigning the correctional organizational structure to meet the exacting demands of and problems with the existing resources. A more rational way to distribute tasks within corrections is suggested.

There are many types of organizational structures and myriad ways to analyze them. Depending upon the assumptions, an organization may be divided on the basis of region, line staff relationships, functions, or missions. These divisions rarely appear in pure form.

**Standard 2.2, Planning and Organization,** is designed to promote the development of long-range, intermediate and short-range planning through establishing goals and objectives, to be reviewed by as many employees as possible. The planning process can be thought of as many things depending upon problem identification and how these problems are broken down into manageable dimensions, related to one another, and resolved through available alternatives. However planning is defined, it is always goal oriented. When financial choices are coordinated with the goals and objectives, the budget becomes a plan. Even the best plan is of little value if the organization's climate, structure, and employee resistance obstruct its implementation. Employee access to the decision-making process can reduce these negative influences, even though the chief executive's leadership responsibilities require that subordinates cannot always veto innovations.

**Standard 2.3, Employee-Management Relations,** addresses some of the elements of good employee-offender-management

relationships through:

- a. Training in specific subjects.
- b. Evaluation of employees on their interpersonal relationship skills.
- c. A formal grievance procedure.
- d. The use of an ombudsman.

The last standard in this pamphlet, **Standard 2.4 "Work Stoppages and Job Actions"** suggests that correctional administrators deal with concerted work stoppages or job actions by preparing a formal written policy/plan for dealing with them and offering employee alternatives to such actions.

The following pages give each of the four standards as adopted for the Utah Correctional System. After each standard the current Utah system is briefly described as it relates to the standard with a suggested method to implement the standard.

## **STANDARD 2.1 PROFESSIONAL CORRECTIONAL MANAGEMENT**

Each corrections agency should begin immediately to train a management staff that can provide, at minimum, the following system capabilities:

1. Managerial attitude and administrative procedures permitting each employee to have more say about what he does, including more responsibility for deciding how to proceed for setting goals and producing effective rehabilitation programs.
2. A management philosophy encouraging delegation of work-related authority to the employee level and acceptance of employee decisions, with the recognition that such diffusion of authority does not mean managerial abdication, but rather that decisions can be made by the persons most involved, and thus presumably best qualified.
3. Administrative flexibility to organize employees into teams or groups, recognizing that individuals involved in small working units become concerned with helping their teammates and achieving common goals.

4. Desire and administrative capacity to consciously eliminate as many as possible of the visible distinctions between employee categories, thereby shifting organizational emphasis from an authority or status orientation to a goal orientation.

5. The capability of accomplishing promotion from within the system through a carefully designed and properly implemented career development program.

## UTAH STATUS AND COMMENTS

Information on management styles in Utah correctional agencies is limited. Management styles range from management by objectives and cost accounting to military line staff.

In order to do a comprehensive analysis of the Utah correctional system with respect to this standard, a very detailed study would be required. Because of time limitations, such a study could not be conducted for the purposes of this standard. If such a study is ever to be completed, it should be done by an independent consultant firm. However, this type of a study is not presently felt to be a high enough priority on which to spend time and money, although it could be very valuable.

## METHOD OF IMPLEMENTATION

Administrative policy.

## STANDARD 2.2 PLANNING AND ORGANIZATION

Each correctional agency should begin immediately to develop an operational, integrated process of long, intermediate and short-range planning for administrative and operational functions. This should include:

1. An established procedure open to as many employees as possible for establishing and reviewing organizational goals and objectives, at least annually.

2. A research capability for adequately identifying the key social, economical, and functional influences impinging on that agency and for predicting the future impact of each influence.

3. The capability to monitor, at least annually, progress toward previously specified objectives.

4. An administrative capability for properly assessing the future support services required for effective implementation of formulated plans.

These functions should be combined in one organizational unit responsible to the chief executive officer, but drawing heavily on objectives, plans, and information from each organizational subunit.

Each unit, where feasible, should have an operating cost-accounting system by 1975, which should include the following capabilities:

1. Classification of all offender functions and activities in terms of specific action programs.

2. Allocation of costs to specific action programs.

3. Administrative conduct, through program analysis, of on-going programmatic analyses for management.

## UTAH STATUS AND COMMENTS

### a. Planning

Generally, Utah correctional agencies do not meet this standard. Parts of it are met on an informal basis in some correctional agencies.

State correctional agencies have no formal planning unit, although they do planning as a part of other functions. The Division of Family Services will license any group willing to offer a certain level of services without any thought toward an overall state plan, which addresses the location and types of group homes needed. The foster care and shelter care programs are planned on an informal basis by the Division of Family Services.

Planning for jails is provided by the city or county law enforcement office planning unit, if there is one. Most police departments and sheriff's offices are too small (less than ten officers) to effectively use the planning function. The Salt Lake County Sheriff's Office, largest in the state, has a planning unit which provides planning services for the jail, as requested.

## **b. Budgeting**

Utah's correctional agencies do not have a cost-accounting system, as described in this standard. Utah State law addresses this issue for state, county, and city agencies. UCA 63-38-2 (4) specifies that the governor can require from the proper state officials a budget at such times and form as he wants. Counties (UCA 17-19-19) and cities (UCA 10-10-32 and 33) specify that they should have a line-item budget. The Optional Plans for County Government Law (UCA 17-23-1 et. seq.) provides a way for counties to use a budgeting plan other than line item by stating in UCA 17-23-13 (2), "The county executive . . . shall . . . (g) serve as and perform the duties of the budget officer of the county, as provided in the uniform municipal fiscal procedures act, which shall be applicable except as otherwise provided in the optional plans, . . ."

The Division of Family Services' bills for group home services in terms of maintenance and social work services is the closest any correctional agency comes to meeting this standard.

State agencies follow a standard format of accounting for present expenditures on specific items, which is not related to a specific action program or offender function.

If management-by-objectives, participatory management cost benefit, and planning-programming-budgeting systems are to be considered as a goal, additional information on the Utah system will be necessary.

## **METHOD OF IMPLEMENTATION**

Administrative policy with enough money to hire appropriate staff (i.e., reallocation of money).

## **STANDARD 2.3 EMPLOYEE-MANAGEMENT RELATIONS**

Each correctional agency should immediately begin to develop the capability of relating to and negotiating with employees and offenders. This labor-offender-management relations capability should consist of at least the following elements:

1. All management levels should receive in-depth management training designed to reduce interpersonal friction and employee-offender alienation. Such training should include

methods of conflict resolution, psychology, group dynamics, human relations, interpersonal communication, motivation of employees, and relations with minority and disadvantaged groups.

2. All non-management personnel in direct, continuing contact with offenders should receive training in psychology, basic counseling, group dynamics, human relations, interpersonal communication, motivation with emphasis on indirect offender rehabilitation, and relations with minority groups and the disadvantaged.

3. All system personnel, including executives and supervisors, should be evaluated, in part, on their interpersonal competence and human sensitivity.

4. All managers should receive training in the strategy and tactics of union organization, managerial strategies, tactical responses to such organizational efforts, labor law and legislation with emphasis on the public sector, and the collective bargaining process.

5. Top management should have carefully developed and detailed procedures for responding immediately and effectively to problems that may develop in the labor-management or inmate-management relations. These should include specific assignment of responsibility and precise delegation of authority for action, sequenced steps for resolving grievances and adverse actions, and an appeal procedure from agency decisions.

6. Each such system should have, where feasible, designated and functioning, a trained, compensated, and organizationally experienced ombudsman. He would hear complaints of employees or inmates who feel aggrieved by the organization or its management, or (in the case of offenders) who feel aggrieved by the employees or the conditions of their incarceration. Such an ombudsman would be roughly analogous to the inspector general in the military, and would require substantially the same degree of authority to stimulate changes, ameliorate problem situations, and render satisfactory responses to legitimate problems. The ombudsman should be located organizationally in the office of the top administrator.

## UTAH STATUS AND COMMENTS

### a. Management Training

Not all management levels receive training like that described in paragraph 1 of this standard. No agency has a formal written policy concerning training for management level personnel. The Division of Corrections, Juvenile Court, and State Industrial School have an informal policy that managers should receive training. They conduct training on that basis.

Most city and county jails do not have formal training policy. The smaller jails are run by peace officers as part of other duties. The larger jails (i.e., Salt Lake and Weber Counties) are managed by a peace officer and run by non-peace officers. All peace officers receive forty hours of in-service training per year, which *might*, although not necessarily, include the types of training suggested in this standard. Salt Lake County is now formalizing their training.

The U.S. Bureau of Prisons' self-study course on jail management was available to any jail manager through the Utah Council on Criminal Justice Administration until recently. As of December 20, 1973, only two people had completed this course, although 18 people had requested and received it.

All correctional employees (managers as well as non-management personnel) have the opportunity to take college courses which address these subjects, although the courses are not directly related to the corrections field.

### b. Non-Management Training

The only Utah correctional agency which has a formal written policy requiring training for non-management personnel is the prison, which requires 80 hours pre-service training for the correctional officers. Some of the subjects addressed in this training are similar to those suggested in the standard. Adult Probation and Parole, Halfway Houses, Juvenile Court, and State Industrial School staff and professional staff at the prison periodically receive this type of training, although it is not a written policy.

Foster care and shelter care parents must be certified to receive children. Some of these parents receive specialized training in these areas to take care of special types of children. Group homes must be licensed by the Division of Family Services, which

requires a certain level of experience of the personnel in the home. For example, a social worker must be certified.

Some jailers receive no training at all, while others in the larger jails receive some informal training. The U. S. Bureau of Prisons' Jail Operations training course was available to all jailers through the Utah Council on Criminal Justice Administration until recently. As of December 20, 1973, 19 had completed this course of the 34 who requested it. Most of those who have completed the course are jailers in the Salt Lake County Jail.

All of these people have the opportunity to take college courses which address these subjects.

### **c. Employee Evaluation**

Employees of state agencies are on the State Merit System and are evaluated after six months employment and annually thereafter. One of the items on the standard evaluation form is titled "Personal" and includes "getting along with other employees" and "meeting and handling the public."

Foster care and shelter care are evaluated by the Division of Family Services at least once a year. Group homes are formally licensed annually. One of the areas on which they are evaluated by the Division of Family Services is interpersonal relationships. Evaluation of group home personnel is generally on an informal basis within the group home.

Most jails do not have formal employee evaluation system. If there is one it is the same one used for the peace officers of the city or county running the jail, which may or may not include evaluation of interpersonal relationships. Salt Lake County has an informal, verbal evaluation in their jail which does look at interpersonal relationships.

### **d. Training in Unionization**

Utah does not meet paragraph 4 of this standard. Those who have received this type of training are usually personnel officers directly concerned with personnel problems.

### **e. Grievance Procedure**

The State Department of Personnel has prepared a formal written grievance procedure which all state agencies follow detail-



ing the steps an employee should take to resolve a grievance on an informal and formal basis.

Shelter, foster, and group home care are contracted for by the Division of Family Services with private agencies and individuals, and grievances are worked out on that basis. Since most of the agencies are small, most grievances are worked out on an informal basis.

The Salt Lake County jailers follow the grievance procedure included in the by-laws of the Salt Lake County Deputy Sheriffs' Mutual Aid Association. It gives the steps an employee should take to resolve a grievance. Most of the other jails are run by peace officers who follow a similar mutual aid association guideline.

#### **f. Ombudsman**

Utah does not have an ombudsman for corrections at any level—state or local, juvenile or adult.

Governor Rampton has appointed two ombudsmen to assist with Black and Chicano problems. They are available to assist any person or correctional agency when requested. In some local areas, an ombudsman has been appointed and may be concerned with a problem affecting a local correctional agency.

### **METHOD OF IMPLEMENTATION**

Administrative policy decision will implement all of this standard. Many of Utah's correctional agencies are so small that an ombudsman is not feasible. However, an ombudsman should be available to all correctional agencies.

### **STANDARD 2.4 WORK STOPPAGES AND JOB ACTIONS**

Correctional administrators should immediately make preparation to be able to deal with any concerted work stoppage or job action by correctional employees. Such planning should have the principles outlined in Standard 2.3 "Employee-Management Relations" as its primary components. In addition, further steps may be necessary to insure that the public, other correctional staff, or inmates are not endangered or denied necessary services

because of a work stoppage.

A policy should specify the alternatives available to employees for resolving grievances. It should delineate internal disciplinary actions that may result from participation in concerted work stoppages. Copies of this policy should be disseminated to all employees.

Every correctional agency should develop a plan which will provide for continuing correctional operations in the event of a concerted employee work stoppage.

## UTAH STATUS AND COMMENTS

There is no law in Utah which authorizes or prevents public employees in general or correctional employees specifically from participating in a concerted work stoppage or job action. In the past, there have been laws proposed to allow public employees to organize with a "no-strike" clause, but none have been passed.

The only formal written policy concerning work stoppages by public employees, including correctional staff, is a 1960 Attorney General's opinion<sup>1</sup>, which states: "... the common law rule is that a strike terminates the employment relationship as well as any right to accrued benefits thereunder." Anything short of a "strike" is handled via the currently stated grievance procedure.

No correctional agency in Utah has a formal written plan for continuing correctional operations in the event of a work stoppage. The closest any agency comes to a formal written policy is the prison's policy concerning Emergency Control.<sup>2</sup>

Utah correctional agencies have never had a work stoppage.

## METHOD OF IMPLEMENTATION

An administrative policy decision by the various correctional administrators to prepare a formal document concerning this standard.

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<sup>1</sup>Attorney General's Opinion, dated January 12, 1960, concerning the State of Utah's relationship with state employees with respect to collective bargaining. 60.003

<sup>2</sup>*Emergency Control*, "Utah State Prison Manual of Procedures," p. 43.



**END**