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NATIONAL CORRECTIONAL INDUSTRIES ASSOCIATION

NCIA
Correctional Industries
Best Practices

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NCIA Correctional Industries Best Practices
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Component: Incorporate Strategic Planning

Definition

Strategic Planning is the cornerstone of implementing and sustaining the Correctional Industries Best Practices Model. Strategic planning is an organization's process of defining its direction, goals, and strategies, and making decisions on allocating resources pursuant to those strategies. Strategic plans identify what an organization is striving to achieve and map out the necessary steps needed to be successful. Developing a strategic plan is a multi-step process with one step building off of another.

In Correctional Industries (CI), having a strategic plan is vital. A strategic plan should clearly define goals and measurements to assess both the internal and external situations. Formulating a strategic plan, implementing the strategies, evaluating progress and making adjustments as necessary will keep the CI's purpose and direction on the right track.

A strategic plan includes having vision and mission statements that describe what you are doing and where you want to go. The vision and mission of a CI organization should include a focus on training and reentry, as well as the business aspects of the organization.

Rationale/Benefits

Strategic planning is a very important business activity that can be highly effective when incorporated in CI. No matter where your organization is in its development, it is always important to evaluate where it is currently, where you want it to be, and when. Strategic Planning is the process used in setting goals that will help lead the organization to success.

A strategic plan is dynamic, yet practical, and serves as a guide to implementing programs, evaluating how these programs are doing and making adjustments when necessary. A strategic plan reflects the needs of the organization and customers, and will integrate them with the organization's purpose, mission, and vision into a single document. The development of a plan requires much probing, discussion, and examination of the views of the leaders who are responsible for the plan's preparation. It is an excellent process in evaluating an organization and will provide a plan for incorporating best practices into daily processes.

The purpose of strategic planning is to assist CI in establishing priorities that will better serve the needs of incarcerated individuals, employees and stakeholders.

Practices

1. **Determine the current state of your Correctional Industry**

   In order to determine the future direction of the organization, it is necessary to understand its current position and the possible avenues through which it can pursue particular courses of action. This is harder than it looks. Some leaders see their organization how they want it to be, not how it actually appears to others.

   Generally, the strategic planning process starts with at least one of four key questions:
   - What do we do?
   - For whom do we do it?
   - What do we want to look like?
   - How do we excel?

   For an accurate picture of your Correctional Industry, conduct external and internal analysis to get a clear understanding of your organization's competencies. Reviews may include conducting a SWOT (Strengths, Weakness, Opportunities, Threats) analysis, as well as reviewing departmental goals/strategies, legislation, core values, stakeholder and customer feedback, etc. The review should include an analysis of the focus of each industry and its culture.

2. **Identify what's important.**

   Focus on where you want to take your organization over time. This sets the direction of the CI program over the long term and clearly defines the vision and mission of what your future organization should look like. From this analysis, you can determine the priority issues—those issues so significant to the overall well-being of your CI program that they require the full and immediate attention of the entire management team. The strategic plan should focus on three to five key goals. Remember to include safety and security within CI operations, as they are critical to the sustainability of the CI program.

3. **Define what you must achieve**

   Define the expected goals that clearly state what the organization must achieve to address the identified priority issues. Review validated research and proven programs to help define objectives, strategies and performance measures. Define the what, how and when of data collection. Reach out to other agencies, universities and research institutes to determine data availability.

4. **Evaluate long-term sustainability**

   Define the resources and budget necessary to continually fund efforts to achieve the goals. Evaluate revenue, reserve fund balance, future capital investments, and ability to obtain grant funds.

5. **Determine who is accountable**

   This is how to get to where you want to go. The strategies, action plans, and budgets are all steps in the process that effectively communicate how you will allocate time, human capital, and funding to address the priority issues and achieve the defined goals and objectives. It is recommended that each goal is assigned to an individual or group to champion its progression.

6. **Obtain Buy-In**

   Involve staff, incarcerated individuals and stakeholders in the creation, implementation and progress of the strategic plan. Success towards goals will be difficult to achieve without the cooperation of these core groups.

7. **Review. Review. Review.**

   To ensure the plan performs as designed, regularly scheduled formal reviews of performance measures must be completed. Review the process and refine as necessary. Champions should meet regularly, at least quarterly, to report on progress, barriers and successes. Progress should be reported to key stakeholders continually, but not less than annually. Clear and concise reporting can be accomplished through the use of dashboards, providing textual and visual summaries of key indicators.

Measurements

Identify key data sets to track, report and gauge success. Sample measurements include:

- Incarcerated individual jobs available
- Recidivism rate for CI-trained workers at one and three years after release
- Certifications awarded to incarcerated individuals
- Portfolio of accomplishments for incarcerated individuals
- Incarcerated individuals trained in soft-skill training programs
- Incarcerated individuals receiving job readiness training
- Job readiness assessments conducted
- CI worker referrals to business community
- Incarcerated individuals securing employment within 90 days of release.
- Incarcerated individuals retaining employment at 6 months
- Earnings received at 6 months after entry into employment
- Post-release employment services
- Letters of reference issued
- Collection of restitution, room and board, victim's funds, family support, etc.
- Employee satisfaction
- Community and State partnerships
- Customer satisfaction rates
- Customer complaints
- Sales
- On-time deliveries

- Safety violations
- Employee training hours
- CI worker training hours

Resources

(NCIA recognizes some of the resources cited do not align with the person first language updates. However, the resource provides pertinent information utilized in the development of this document)

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Collins, J., Porras, J. (1994). *Built to Last*. New York: HarperCollins Publishers.

David, F. R. (2009) *Strategic Management* (14th Ed.). New York: Macmillan Publishing Company. (Dr. David also maintains a strategic planning web site, Checkmate Plan)

Flaherty, Carol and Zonis Associates. (2007). *Building Culture Strategically: A Team Approach for Corrections*. Available at https://s3.amazonaws.com/static.nicic.gov/Library/021749.pdf

Waal, A. A. (2010). The characteristics of a high performing organization. *Business Strategy Series, 8* (3) 2010. Available at http://www.hpocenter.nl/wp-content/uploads/2013/07/Business-Strategy-Series-2007-HPO.pdf

Washington State Institute for Public Policy. (2006). *Evidence-Based Public Policy Options to Reduce Future Prison Construction, Criminal Justice Costs, and Crime Rates.* Available at http://www.wsipp.wa.gov/ReportFile/952/Wsipp_Evidence-Based-Public-Policy-Options-to-Reduce-Future-Prison-Construction-Criminal-Justice-Costs-and-Crime-Rates_Full-Report.pdf

Workforce Investment Act (WIA) Performance Measures

Websites

http://www.nist.gov/baldrige/
Baldrige Performance Excellence Program website

https://nicic.gov/apex-building-model-and-beginning-journey
Achieving Performance Excellence (APEX)

https://nicic.gov/applying-apex-tools-organizational-assessment
Achieving Performance Excellence (APEX)

https://nicic.gov/achieving-performance-excellence-influence-leadership-organizational-performance
Achieving Performance Excellence (APEX)

http://www.ncja.org/strategic-planning/planning-guide
U.S. Department of Justice Strategic Planning

Tools

http://ctb.ku.edu/en/table-of-contents/assessment/assessing-community-needs-and-resources/swot-analysis/main
SWOT analysis (Strengths, Weaknesses, Opportunities, and Threats) is used to analyze internal strategic factors, strengths and weaknesses attributed to the organization, and external factors beyond control of the organization.

https://www.aca.org/ACA_Member/ACA/ACA_Member/Standards_and_Accreditation/SAC.aspx
ACA Standards, an additional tool used in organizational analysis

http://www.bain.com/publications/articles/management-tools-balanced-scorecard.aspx
Balanced Scorecards create a systematic framework for strategic planning.

http://chandoo.org/wp/excel-dashboards/
Dashboards, or visual web graphics, are tools to display progress towards goals.

Sample Dashboard

http://www.businessballs.com/pestanalysisfreetemplate.htm
PEST analysis (**P**olitical, **E**conomic, **S**ocial, and **T**echnological)

http://asq.org/learn-about-quality/root-cause-analysis/overview/overview.html
Root Cause Analysis (RCA): Used to understand the threats, barriers, and challenges to achieving the end state.

https://sloanreview.mit.edu/article/scenario-planning-a-tool-for-strategic-thinking/
Scenario planning: originally used in the military and recently used by large corporations to analyze future scenarios.

Component: Maintain Financial Sustainability

Definition

Financial sustainability is the generation of sales revenue to cover all costs and financial needs associated with Correctional Industries (CI) operations. The concept of a triple bottom line has emerged in Correctional Industries, which focuses not only on the needs of customers, but also the funding of the social mission and value provided by the organization to incarcerated individuals for successful re-entry.

> **Triple bottom line accounting** expands the traditional reporting framework to take into account social and environmental performance in addition to financial performance. This has also been further referred to as identifying business performance as "full cost accounting" including economic/financial, social/ethical and environmental/ecological.

Financial sustainability is essential to CI's mission of providing vocational and soft skills training and certifications for individuals while incarcerated. These certifications and training, in turn, lead to increased opportunities upon release for employment, thereby reducing recidivism.

Rationale/Benefits

Achieving financial self-sufficiency will result in financial gains and therefore maintenance or growth of adequate operational funds. In order to achieve this, CIs must be customer-driven with a focus on quality, on-time delivery and competitive and profitable pricing. A CI should pursue new business partners/models to bring in new products and services and generate revenue. A CI should seek cost efficiencies to be competitive while operating in a corrections environment.

Adequate operational funds will cover fixed costs as well as allow the timely ability to procure raw materials, maintain inventories, capitalize building and equipment purchases, fund any necessary expansion of operations and provide the ability to complete needed repairs & maintenance. These funds also allow Correctional Industries to meet customers' changing needs and realize benefits of new technology, equipment, materials, and processes. This also creates an ability to increase the number and types of opportunities a CI offers for incarcerated individuals to work, learn and earn greater success in the community.

A CI may include business units that are not financially self-sufficient, but provide valuable work opportunities for incarcerated individuals. Correctional Industries can offset the financial loss of those with profits realized from other business units.

Financially self-sufficient Correctional Industries are recognized as a viable tool to help incarcerated persons prepare themselves to succeed in correctional facilities and when they

return to their families and communities. These CIs operate without cost to a corrections agency and reduce the hours of incarcerated workers' time managed by facility staff, making those resources available to meet other facility needs.

Financial sustainability and associated funding reserves provide the basis for promoting current operational expansion and create opportunities to explore, consider, and implement new operations. This enables a CI to maintain or increase the number of jobs it offers to incarcerated individuals. Financial sustainability creates funding reserves to sustain a CI during an economic downturn and/or lean budget cycles.

Practices
1. **Develop annual business operating plan to support the strategic plan.**
   a) **Budgets (Short and Long-Term)**
      - Historical data should be considered when preparing budgets. Known business changes should be considered when preparing budgets. Examples include the addition and removal of business units or products/services.
      - A CI identifies key market segments, customers, and other stakeholders. That information is used to forecast changes to operational capacity, costs and sales. Those inform a CIs planning for production resources, employees and incarcerated workers, customer support, and overall operations.
      - Include asset planning in the budget development process. The primary goal of asset planning is to maximize the return on investment of existing or additional assets, increasing customers' lifetime value.
      - Determine costs based on sales volume and product mix using Generally Accepted Accounting Principles (GAAP). The following is a list of <u>some</u> common costs which should be included:
         - Cost of sales (raw materials, indirect and direct labor)
         - Administration (including salaries & benefits)
         - Rent
         - Repair & Maintenance
         - Depreciation
         - Utilities
         - Communications (how broad is this if we talk about it?)
         - Freight

   b) **Sales & Marketing**
      A Sales & Marketing plan should be part of the business plan. The Sales and Marketing plan identifies the customer base for particular products/services so efforts can be geared to build awareness, demand, and sales. Increasing sales will allow for greater contributions to funding reserves and contribute to financial sustainability.

c) **Expansion Planning**
Correctional Industry programs must always have a focus on the future. Monitoring market trends and identifying opportunities is essential in understanding when investments should be made in specific current and potential business units.

d) **Financial Statements**
The three primary types of financial statements useful to manage a financially self-sustaining organization are:
- Balance Sheets
- Profit and Loss (P&L) Statements
- Statements of Cash Flow

Monthly P&L statements must adhere to GAAP and need to be generated and tracked by your fiscal department and distributed to executive, operational, and sales management staff for analysis and adjustments in operations/sales. Managers at every level should be able to read and interpret financial results so that trends, threats, and opportunities can be identified and acted upon as quickly as possible. Footnotes should be included as part of these statements to explain current vs. past results and unexpected variances which will assist in proper assessment of future expectations upon which to make decisions.

e) **Maintain positive cash flow**
Revenue streams are the channels through which money flows into an organization. Self-sustaining CIs must rely primarily on sales of products and services.

Sufficient operating funds should be maintained to pay monthly expenditures and purchase raw materials and goods to efficiently run business operations.

One of the biggest factors affecting cash flow is the cash conversion cycle – the period of time beginning with initial outlay of cash for raw materials and ending with receipt of payment for goods or services provided. For many CI's, this can be a longer period than expected (or experienced in the private sector) due to governmental customers' rules and regulations for processing payments, CI's raw material procurement requirements, production capabilities, incarcerated individual staffing, delivery timelines, collection capabilities, etc.

2. Manage Legislative Environment
Review legislative language for potential impact on CI's, as well as for possible market expansion. It is important to understand the legislative landscape and revenue streams available in each state to maximize those revenues and training opportunities for incarcerated individuals. Some legislative considerations may include the following markets:
- PIECP
- Non-Profit Organizations
- State Employees and Retirees
- General Public (in-state)

- Contractors Working on Public Contracts
- Service Operations

3. Implement Enterprise Resource Planning (ERP) software solutions
- Inventory Control
- Real time order processing
- Estimated versus actual costing
- Accurate and timely financial reporting both monthly and annually
- Develop annual budgets with sales and capital forecasting

4. Communicate with Executive Leadership and Industry Boards.
- Collaborate with department leadership on initiatives and challenges
- Establish open communication and regular meetings with executive staff and industry boards.
- Work with institutional leadership to prevent production interruptions.

5. Obtain compliance verification
Compliance may be obtained through the following audits or assessments:
- Fiscal Audits
- Performance Audits
- American Correctional Association Audits
- Risk Management Audits
- Human Resource/Payroll Audits
- Bureau of Justice Assistance (PIECP)

Measurements
- Financial Statements
- Positive net income and fund reserves
- New or Expanded Operations
- Ability to fund CI reentry programs for incarcerated individuals
- Diversified customer base
- Customer Satisfaction Ratings

Resources
(NCIA recognizes some of the resources cited do not align with the person first language updates. However, the resource provides pertinent information utilized in the development of this document)

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Piasecki, D. J., (2003). *Inventory Accuracy: People, Processes, & Technology*. Kenosha, WI: OPS
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www.aicpa.org/
American Institute of Certified Public Accountants, Subject matters: Risk Management and
Internal Controls.

www.gao.gov/
Government Accountability Office, Subject matters: An Audit Quality Control System: Essential
Elements.

www.iso.org/
The International Organization for Standards outlining International Standards for business,
government and society. Subject matters: ISO 31000 Risk Management – Principles and
Guidelines

http://www.nist.gov/baldrige/
The Baldrige Performance Excellence Program website, Subject matters: Baldrige Criteria for
Performance Excellence

www.aca.org
American Correctional Association for ACA Standards and Performance-Based Standards for
Correctional Industries

Tools
Budgets and Strategic Plans, 1 year and 5 year
Enterprise Resource Planning (ERP) systems
Financial statements: monthly, quarterly, and annual
Generally Acceptable Accounting Principles (GAAP)
NCIA Regional and National Conferences that include learning from vendors, training
workshops and networking with other Correctional Industries professionals
NCIA webinars and e-learning opportunities

Component: Recruit, Develop and Retain Staff

Definition

Employing staff as technical experts, work coaches and mentors is critical to the overall success of Correctional Industry (CI) programs. The civilian workforce must be forward-thinking, have the capability to accomplish the expectations of the organization today, the capacity to grow and develop with an organization to meet the challenges of tomorrow, and the desire to do both.

Rationale/Benefits

Strategic workforce planning is the process of defining organizational goals for current and future needs, then planning how to recruit and/or develop a workforce that is capable of implementing and achieving goals.

In order to recruit, retain and develop staff, a well-organized plan that addresses each element should be developed based on the Strategic Plan. In workforce development planning, strategies and goals are clearly defined and the specific functions are outlined. The plan involves defining the work roles needed for each function, including the number of persons needed, and the competencies required.

Correctional Industries are multi-faceted, operating a business model that provides incarcerated individuals with education and training in both technical and soft skills. These skills are essential for a successful transition to the community. CI plays a critical role in the successful reentry of individuals through the context of work.

CI programs operate through a workforce model of civilian staff and incarcerated workers. Working directly with the incarcerated individuals, the civilian workforce is responsible for teaching, coaching and mentoring in an effort to ingrain the newly acquired skills and influence behavioral changes. Successful programs utilize evidence-based training to develop staff skills in problem solving, conflict resolution, active listening, communication and negotiation, which in turn increases workforce engagement, accountability and productivity.

According to research by Audra Bianca, "*What Constitutes the Most Important Part of Employee Development?*" employee development is something that managers and human resource professionals give much attention to because employees are an organization's most critical

asset. When viewing employees as capital, organizations will invest money, time and other resources in their development. The return on investment expected is simple: the better employees perform, the greater their contributions to the organization, resulting in a healthier organization.

Employee development inspires workers to be loyal and produce innovative ideas. When employees are given a chance to sharpen their skills and expand what they know, their fresh, new ideas contribute value to the organization. If employees are not challenged, they have few reasons to be creative, imaginative or invest in their work.

Staff should be developed and recognized as assets. A manager should serve as a leader, coach and mentor in order to connect and develop employees. It is vital to develop employees who can teach the skills necessary in order for others to become more effective on the job.

Practices

1. **Conduct strategic workforce planning**
   a) **Organization Mission/Vision**
   Prior to workforce planning an organization should evaluate its mission and vision to ensure they accurately represent the purpose of their existence and their future direction. The mission and vision will guide the direction of the workforce at all levels within the organization.

   b) **Organization Values**
   The culture of an organization is directly related to its value system. Core values will guide the actions and behaviors that are expected. Once the mission and vision have been reviewed, the values should be evaluated to ensure that they will consistently guide staff to act and make decisions in a manner that supports the organizational culture.

   c) **Classification System**
   A job classification system is a structure for objectively and accurately defining and evaluating the duties, responsibilities, tasks and authority level of a position.

   Each position should include a thorough description of job responsibilities, including the knowledge, skills, experience and education required to succeed. This system should be reviewed on a regular basis to ensure it reflects role clarity, accurate responsibilities and expectations.

2. **Identify workforce competencies**
   CI programs operate as learning organizations, developing staff skill sets to teach both the technical and soft skills to the incarcerated workforce. Training should include identifying and addressing criminogenic risk/needs factors for incarcerated individuals

which are associated with maintaining a gainful attachment to the workforce. Operating a CI organization on the premise "you cannot teach what you do not know" will guide the ongoing development of staff to ensure they are role models for both the civilian and incarcerated individuals working in the program. Identifying and developing competencies in the following areas will promote a best-in-class environment:

a) **Skill Set Assessments**

The competencies of the workforce should be assessed, which may include interests, skills, values and personality. These assessments allow gaps in skill sets to be identified and gauge organizational compatibility. Options for filling the gaps may require reassigning staff to new roles, training, hiring staff with the required competencies and creating new structural opportunities.

b) **Technical Skills**

When recruiting and hiring, identify the technical skills required for each position. In the case of current staff, technical skills can be obtained through formal educational institutions or certifying organizations.

c) **Write inclusive Job Descriptions**

Writing inclusive job descriptions is easier said than done, since it may be difficult to fully comprehend how others may perceive a given job posting. Avoid using gender and racial bias coded words. Job descriptions that are welcoming to all workers should mention reasonable accommodations such as flexible hours or telework policies that would appeal to disabled workers or individuals who are seeking flexible schedules. Periodically reevaluate job descriptions to see if skill sets are still required with the advancements of technology.

3. **Provide professional development to ensure ongoing staff engagement and succession planning**

The objective of professional development is to ensure that well-qualified and motivated employees are prepared to assume critical positions as they become vacant. As leaders, it is necessary to model, coach and support individual development.

CI staff are in a unique position because their role is to help individuals realize that they can change and provide them with the tools necessary to sustain the change. Sustainable change comes through the ability to influence behavior. Ongoing staff development should focus on the following areas:

- Influencing changes in behavior
- Role modeling behavior
- Decision making strategies
- Team Building
- Collaboration

- Empowering others to innovate and lead

a) Cognitive Behavioral Training (CBT)

Competencies such as problem solving, critical thinking, decision making, managing conflict, written and verbal communication, and active listening are required for effective performance in many positions. Strengthening these skills will enhance the effectiveness of the civilian workforce as they teach, demonstrate and reinforce these competencies with the incarcerated workforce.

The National Institute of Corrections' "Thinking for a Change" is one CBT program offered to CI staff. Upon completion, staff are qualified to facilitate this training to the incarcerated population.

b) Vocational Education/Apprenticeships

CI programs are enhancing their services by incorporating or collaborating with educational programming, vocational certifications and apprenticeships which tie directly to business operations. These are available through local educational institutions, the U.S. Department of Labor and other local or nationally recognized certifying organizations. Supervisors obtaining educational credentials will bring credibility to the program and act as role models.

c) NIC Employment Series

Evidenced Based Workforce Training Series
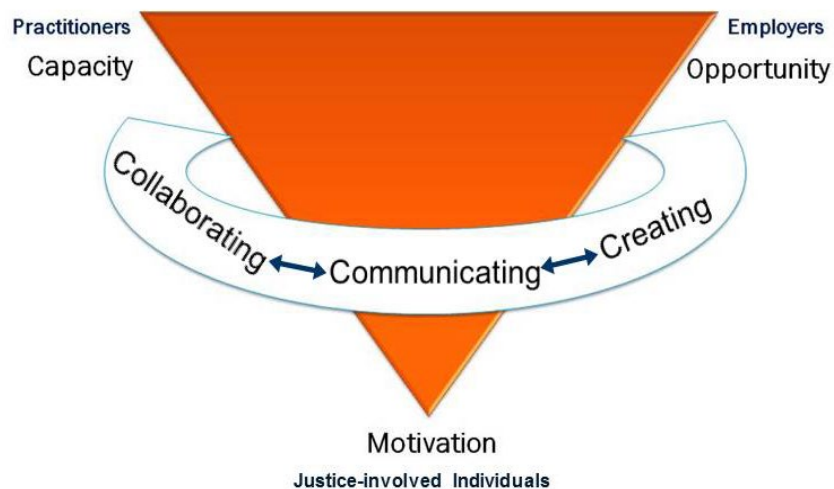
The *Evidenced Based Workforce Training Series* - based on evidence-based practices, combines cognitive behavioral interventions with motivational interviewing techniques to address gainful attachment to the workforce and/or job loss. This 'hand in glove' approach supports the honest exploration of

thoughts, feelings and beliefs affecting employment while addressing quality of life issues. In addition, the series utilizes the Employment Retention Inventory (ERI) - developed as a case management tool, to connect justice-involved adults to appropriate services and support.

This series incorporates a spiral curriculum method where topics and themes repeat in increasing depth to allow mastery of knowledge and skills.

The *Evidenced Based Workforce Training Series* consist of the following training events:

Employment Retention: Principles and Practice (24-hour Regional Training)
- Introduction to motivational interviewing techniques
- Introduction to cognitive behavioral interventions
- Career theory and assessments

E-Learning Modules (4-hour web-based training)
- Employment retention strategies
- Evidence-based concepts
- Motivational interviewing

Employment Retention: Criminal Justice System (40-hour instructor lead)
- Continuum of care model
- Career theory operationalization
- Employment Retention Inventory

Professional Coaching Sessions (2-Hour Quarterly sessions)
- Skill mastery
- Knowledge enhancement

d) **National Institute of Corrections (NIC) – CI Executive Leadership Training**
   The NIC has developed a comprehensive leadership development program geared for the emerging leaders in the CI field. The program covers topics such as:
   - Dynamic Leadership
   - Managing Stakeholder Network
   - Balancing Internal and External Environments
   - Marketing
   - Assuring Customer Satisfaction
   - Developing a Workforce of Incarcerated Individuals
   - Reentry Resources
   - Developing Staff Workforce Competencies
   - Ensuring Financial Self-Sufficiency

- Evaluating Organizational Performance

This leadership development program focuses on bringing awareness to the competencies needed for the CI leaders of the future.

4. **Integrate coaching as a communication and performance management tool.**

Introducing a coaching model into a CI program will enhance the overall communication between CI staff and the incarcerated workforce/population. The premise of ongoing coaching is to gain timely and relevant feedback in order to assist an individual in developing to their full potential. Coaching becomes the model used throughout your CI program and can be used at any level between supervisors and staff members or between staff and incarcerated individuals. Coaching does not supplant a Performance Management System but rather supplements it with informal ongoing communication geared toward identifying both successes and opportunities for improvement. Coaching is a skill set that should be taught and continually reinforced to ensure it is accomplishing the intended result of influencing sustainable change.

5. **Implement a performance management system**

A performance management system should provide employees with:
- A clear understanding of job expectations
- Ongoing feedback about performance
- Advice and steps for improving performance
- Recognition of outstanding performance

The goal of a performance management system is to help improve employee performance and ultimately the productivity of the organization.

Performance management consists of a continuous dialogue between supervisors and their workforce in order to set goals and expectations, monitor progress, provide feedback, develop opportunities for improvement and evaluate progress. Competency-based performance management focuses on assessing and rewarding both how work is done (process) and the goals achieved (outcomes). Staff are aware of the competencies needed to achieve those goals and emphasis is placed on providing ongoing coaching and feedback.

For it to be effective, a performance management system should incorporate the following critical elements:
- updated job descriptions
- performance measures
- workplace standards
- evaluation methods
- reward/recognition system

In the CI work environment both staff and incarcerated individuals should receive ongoing feedback through a formal performance management system.

Measurements

- Average Tenure of Employees
- Days to Fill Open Position
- Employee Engagement Surveys
- Performance Evaluation System
- Staff Turnover Rate
- EEO Opportunity Plan

Resources

(NCIA recognizes some of the resources cited do not align with the person first language updates. However, the resource provides pertinent information utilized in the development of this document)

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https://www.gallup.com/workplace/245786/gallup-reports-share-leaders-2019.aspx
Gallup Reports

http://nicic.gov/apex
National Institute of Corrections – Achieving Performance Excellence (APEX)

https://www.shrm.org/about
Society for Human Resource Management

Tools

Society for Human Resource Management (SHRM) Toolkits for Developing Employees

https://www.shrm.org/resourcesandtools/tools-and-samples/toolkits/pages/developingemployees.aspx

Talent LMS - Top 9 Online Employee Training Tools

https://www.talentlms.com/blog/top-online-employee-training-tools/

ERC 6 Tools to Develop Employees' Careers

https://www.yourerc.com/blog/post/6-tools-to-develop-employees-careers

Relias Using Assessments for Hiring, Retention and Employee Development

https://www.relias.com/blog/using-assessments-for-hiring-retention-employee-development

Psychometrics - Employee Development Assessments

https://www.psychometrics.com/employee-development/

Component: Engage Stakeholders

Definition

Engaging stakeholders through education and communication is vital to successfully implementing and sustaining Correctional Industries (CI) Best Practices.

Correctional Industries operate under three spheres of influence: Government, Business and Societal. It is important to understand the requirements and impact of each sphere, as well as their relationships to each other.

Correctional Industries' stakeholders include internal or external individuals or groups who affect or may be affected by the achievement of the CI's mission. This includes customers, employees, legislators, government officials, departments of corrections, boards and commissions if applicable, incarcerated individuals, private businesses, media, and special interest groups. CI administrators and directors need to identify their stakeholders, understand the nature of their relationships with them, and identify methods to manage and shape those relationships over time.

The creation of long-standing, loyal stakeholder relationships, built on trust and respect, is essential. Characteristics of successful collaborations include: clear and relevant goals, principled leadership, competent team members, a collaborative climate, results-driven structure, unified commitment, external support and recognition, and standards of excellence. Engaging stakeholders greatly enhances the likelihood of the Correctional Industries (CI) program's success.

Rationale/Benefits

In order to be a successful CI operation, it is imperative that the agency educate and communicate with stakeholders to gain support for its programs. Correctional Industries maintain many complex relationships with their stakeholders. The valuable support that stakeholders can provide can be sustained if the relationships are properly managed and nurtured. The underlying value inherent to each individual stakeholder must be identified and reinforced.

 It is crucial that every organization proactively manages its messaging to sustain ongoing support for its program and maintain and improve stakeholder relationships. It is likewise

important that CI practitioners educate potential stakeholders who may have little understanding or knowledge of Correctional Industries.

Ongoing communication with stakeholders will:
- Validate the CI program's proven success
- Inform decision-makers about the positive impact of your program
- Demonstrate how resources are being used responsibly and effectively
- Share best and evidenced-based practices
- Attract new partners for collaboration or strategic alliances

The more stakeholders know about Correctional Industries programs, the more likely they will support them. This can be accomplished by:
- Recording program successes and sharing this information with stakeholders. Stakeholders can become champions for the agency and can serve as advisors and spokespersons in support of the organization's mission and goals.
- Forming strategic alliances to develop new or improve existing collaborations can provide many benefits, including opportunities for program innovation, access to new resources, and increased positive visibility through shared contacts.

Practices
1. Identify stakeholders, both internal and external
Methods to identify stakeholders include:
- Brainstorming
- Reviewing organizational charts
- Surveying
- Using social media to conduct research

Examples of common stakeholders for CI include:

Internal
- Correctional Industries Employees
- Incarcerated individuals (whether or not they work in a CI program)
- Correctional Staff
- Corrections Administrators
- Employee Unions

External
- Customers
- Boards of Directors/Advisory Boards
- Legislators and other Elected Officials
- Government Agencies
- Media

- Special Interest Groups (e.g., victims' organizations, faith-based groups, etc.)
- Suppliers
- Private Sector Businesses
- Community Constituants
- Community Groups (that provide services to formerly incarcerated individuals)
- Criminal Justice System
- Incarcerated individual family members
- Trade Unions
- Competitors

2. Conduct a stakeholder analysis

Once stakeholders have been identified, conduct a stakeholder analysis. This will include categorizing stakeholders according to their level of impact upon your organization, and it will help tailor appropriate messaging in line with relationships. The stakeholder analysis attempts to identify stakeholders who:
- have the greatest influence on the program
- are directly and/or indirectly involved
- require more attention
- need ongoing communication and updates
- need to be monitored

3. Map stakeholders

Place each stakeholder's position on the Stakeholder Map (see Tools section) according to the extent of their influence and interest in your program. If a stakeholder rates a high interest level and may exert a significant degree of influence, fully engage and manage this relationship closely. Conversely, if a stakeholder rates a low interest/impact level and has less influence over your program, monitoring the relationship may be all that is required.

4. Develop a plan to educate and manage stakeholders

After stakeholders have been identified and categorized, a communication plan should be developed to manage your relationships. Be certain to consider what drives each stakeholder and determine how they feel about your organization's mission and strategies. Having a clear understanding of what motivates your stakeholders makes it easier to gain their support.

The following questions can be used to better understand CI stakeholders:
- What interest do they have in your work?
- Do they find value in your work?
- Do they have emotional interest in your program?
- What is their current opinion about your work?
- Is their opinion accurate?

- If their opinion is negative, what can be done to change it? What information do they need from you?
- What is the best way to communicate with them?
- What information do they expect and how often do they expect it?
- Who can best influence the stakeholder?
- How can Correctional Industries benefit the stakeholder?
- How can Correctional Industries benefit from the stakeholder's support?
- If a stakeholder's support cannot be obtained, identify if there is something that can be done to manage or neutralize their sphere of influence?

Determine the best method to educate stakeholders. Methods include:
- Conducting one-on-one meetings or telephone calls
- Conducting surveys or focus groups
- Inviting stakeholders to agency meetings
- Attending stakeholder-initiated meetings
- Inviting stakeholders to serve on advisory committees
- Providing tours/open houses
- Publishing Annual/Biennial reports
- Publishing Newsletters/Program Briefs featuring success stories
- Utilizing Social Media
- Conducting Legislative Events

5. **Create a communication plan to include talking points for stakeholder outreach**

Talking points are brief "sound bites" that persuasively support your organization's messaging or mission. It's best to create a series of them to cover a variety of key topics and issues of importance. These "sound bites" can be used in conjunction with presentations, media involvement, or other situations where immediate, "think on your feet" responses might be required. It is important that each "sound bite" is supported by facts or anecdotal evidence from the organization and modified based on the target audience. For example, Correctional Industries:
- Reduce prison idleness, increase incarcerated individual job skills, and help incarcerated individuals make a successful transition to the community
- Reduce recidivism, thereby increasing public safety and reducing the need for additional general funding due to higher incarceration
- Reduce correctional costs by engaging in self-sustaining initiatives
- Create a better prepared workforce entering the community
- Enable incarcerated individuals to support family members, and compensate crime victims
- Reduce the burden to taxpayers, as the majority of CI programs are self-sustaining
- Support the local, state and federal economy

6. **Neutralize difficult stakeholders**

    You may have stakeholders that will not support your mission or program under any circumstances. In these instances, work with your staff and DOC administration to decide on a strategy to minimize the negative impact they may have on your program.

7. **Build strategic alliances**

    Building strategic alliances will help to advance CI's mission. When building strategic alliances, it is important to establish desired outcomes. Identify key steps that each partner will take to achieve mutually agreeable goals. Strive to create "win-win" solutions. Celebrate and share successes.

8. **Develop and maintain security relationships**

    In any correctional facility, security is essential to protect the safety of incarcerated individuals, staff, and the public. As a major internal stakeholder, it is essential for Correctional Industries to develop and maintain positive working relationships with security personnel for the mutual benefit of the facility's security and to support CI's mission.

9. **Formulate legislative strategy**

    Supportive legislation and legislators are the foundation for creating a sustainable and viable Correctional Industries program. If the laws and regulations governing your operations meet your present and future needs, it may be sufficient to limit your legislative strategies to maintain or increase awareness among legislators and the public about the work of your CI program. If not, a more comprehensive legislative plan may be needed. Depending on agency policies, you may be required to gain approval prior to working directly with legislative bodies. If your agency has a legislative liaison, it is important to first educate the liaison, then work with them for legislative contact.

10. **Utilize media**

    The exchange of information is key to educate, communicate and build stakeholder support. Traditional media outlets have the capacity to broaden our reach to the three spheres of influence. Advances in technology require CIs to strategically utilize both the traditional forms of media while also developing a web presence and social media representation. The key messages could include CI research, products, success stories and defining CI's respective mission. All contact with the media should be coordinated through your agency's press or public information office, if applicable.

11. **Cultivate champions**

    When a stakeholder is identified as a potential champion for your agency, be sure to collaborate on strategies so that ultimately they can be an effective advocate of the organization's mission and objectives.

Measurements

Develop key data sets to gauge success, track and report. Sample measurement criteria include:

- Recidivism reduction
- Post-release employment statistics
- Champions identified
- Skills provided to incarcerated workers/students
- Financial self sufficiency
- Customer satisfaction rate
- Positive economic impact to cities and the State
- Public service hours provided

Resources

(NCIA recognizes some of the resources cited do not align with the person first language updates. However, the resource provides pertinent information utilized in the development of this document)

Publications

Buchholz, S., & Roth, T. (1987). *Creating the High-Performance Team*. New York, NY: John Wiley & Sons, Inc.

Carter, M., et al (2005). *Collaboration: A Training Curriculum to Enhance the Effectiveness of Criminal Justice Teams.* Reston, VA: Criminal Justice Institute.

Covey, S. (1989). *The 7 Habits of Highly Effective People*: *Powerful Lessons in Personal Change*. New York, NY: Free Press.

Foley, J., & Kendrick, J. (2006). *Balanced Brand: How to Balance the Stakeholder Forces That Can Make or Break your Business.* San Francisco, CA: Jossey-Bass.

Freeman, R. E., et al. (2007). *Managing for Stakeholders: Survival, Reputation, and Success.* New Haven, CT: Yale University Press.

Hansen, M. T. (2009). *Collaboration*: How Leaders Avoid the Traps, Create Unity, and Reap Big Results. Boston, MA: Harvard Business Press.

Larson, Carl E., & Frank M.J. LaFasto (1989). *Teamwork: What Must Go Right, What Can Go Wrong.* Newbury Park, CA: Sage Publications.

Lencioni, Patrick. 2002. *The Five Dysfunctions of a Team*: *A Leadership Fable*. San Francisco, CA, Jossey-Bass.

Swets, Paul M. 1983. *The Art of Talking So that People Will Listen*: *Getting through to Family, Friends & Business Associates*. New York, NY: Prentice-Hall, Inc.

Watkins, Michael. 2003. *The First 90 days*. Boston, MA. Harvard Business Press.

Websites
https://www.appa-net.org/eweb/DynamicPage.aspx?WebCode=NationalBranding
This site is maintained by the American Probation and Parole Association as is the home page of their National Branding Initiative. It has links to a turnkey kit, a media training manual, and other valuable information related to branding.

http://lobbyingdisclosure.house.gov/index.html
The Lobby Disclosure Act governs lobbying efforts with the U.S. Senate and the House of Representatives. This site provided guidance regarding the Act.

https://www.ncsl.org/
This site is maintained by the National Conference of State Legislatures and provides links to States' legislative ethics and lobbying laws.

https://www.bop.gov/resources/
This site is maintained by the Federal Bureau of Prisons and provides information on the Post-Release Employment Project (PREP) study report, showing the research findings and statistical significance of the UNICOR program in reducing recidivism and increasing incarcerated individual employment after release.

https://www.unicor.gov/
This site is maintained by UNICOR to provide details about their history, programs offered to incarcerated individuals.

Tools

Stakeholder Mapping

High Power	**KEEP SATISFIED**	**MANAGE CLOSELY**
Low Power	**MONITOR**	**KEEP INFORMED**
	Low Interest	**High Interest**

Brand Identity Tools

Meetings can be used to provide staff with information about your brand, its value to the organization, how it should be communicated to your stakeholders.

Internal e-mails can be used to remind staff of your brand's promise and build support for it. They can also contain tag lines and/or logos that reinforce your brand identity.

Agency newsletters can feature stories highlighting activities that embody your brand's promise.

When utilizing **social media,** such as Facebook or Instagram, consistently using your brand will help to keep the message current.

 A **tagline** is a short and striking memorable phrase that sums up the tone and promise of a brand and reinforces your customer's memory of a product or service. You should use taglines on all your communications.

A **key message** is a brief paragraph that sums up the nature of your work and its impact upon incarcerated individuals and the communities in which they live. Key messages should be backed up by research or other supporting evidence.

Because much of the news in the field of corrections is negative, it is necessary for Correctional Industries directors to **be proactive in their relationships with the media and use outreach efforts to build and enhance their brands**. The media includes national broadcast networks, local radio and television stations, newspapers, wire services, national publications, and trade publications.

A **talking point** is a brief statement that persuasively supports your position or organization's objectives.

When developing a collaborative effort, it can be useful to assess the group's strengths and weaknesses. This **Collaboration Inventory** will allow you to address any deficiencies that might exist and increase the probability of the group's success.

Collaboration Inventory

Yes	No	
		Does the group have clear goals or objectives?
		Are the group's goals reasonable and achievable?
		Is each group member assigned clear roles and responsibilities?
		Has the group defined expectations for open and honest communications?
		Has the group defined mechanisms for making decisions?
		Has the group defined expectations that decisions will be based on facts?
		Has the group defined mechanisms for monitoring its performance?
		Do team members have the competencies needed to achieve the group's objectives?
		Do the team members reflect a fair cross section of stakeholders?
		Is there a team spirit?
		Do team members share the same commitment to achieving the group's goals?
		Are team members willing to compromise in support of the group's objectives?
		Do team members trust each other?
		Are team members honest and open with each other?
		Does the group have standards of excellence that reflect the values of team members?
		Does each member of the team have the support of his or her agency to fully participate in the group's activities?
		Does the group have the resources needed to achieve its objectives?
		Does the group have recognition in the community as a legitimate change agent?
		Does the group have a leader who can inspire, motivate and create change?

Component: Replicate Private Industry Environment

Definition

The replication of private sector industries and environments in Correctional Industries (CI) operations includes work processes, job classifications, procedures, equipment, training, certification, and associated methodologies like lean or continuous improvement.

A CI program should create a work environment that emulates real world work experience and effectively trains and prepares incarcerated individuals for transition to private sector employment upon release.

Rationale/Benefits

There are numerous reasons to replicate private industry within Correctional Industries. The most important reason is for incarcerated individuals to experience a real world environment which closely mirrors private industry within the necessary security procedures of the institution. It is the mission of CI to train and prepare incarcerated individuals with transferable skills and help them transition to community life. By utilizing the same processes, equipment, and procedures as the private sector, incarcerated individuals have the opportunity to learn skills and earn credible certifications which can easily transfer to private sector employment upon release.

These job skills, certifications and experiences are often recognized by private industries when considering employment of incarcerated individuals after release. In some cases, it will actually place the formerly incarcerated individual in a more advantageous position during the hiring process than a non-incarcerated individual who does not have job skills, certifications, and valuable work experience.

Soft skills and real life work experience such as being at work on time every day; working in teams; meeting quality standards and productivity quotas prepare incarcerated individuals for private industry and help them readily adapt. Ideally, a recently released incarcerated individual, who has Correctional Industry work experience which replicates private industry, will find a natural transition to the private sector work force.

Job placement and retention after release are evidence of the importance of replicating private sector work.

Practices

1. **Research and/or partner with private industry**
   - Assess private industry operations prior to development, startup and implementation of new industries and operations to ensure jobs are relevant and operations are successful.
   - Continually review existing operations and compare with the latest technologies and modern processes.
   - Develop relationships with and encourage private industry to establish operations with the Department of Corrections and Correctional Industries either inside or outside the prison.
   - Develop and encourage PIE programs to aid in real-world employment.

2. **Create industry-recognized training opportunities**
   - Develop training that offers transferable skill development and certifications
   - Develop training that mirrors real world industry opportunities
   - Partner with the Department of Labor to create Apprenticeship programs.

3. **Model the structure of CI operations after industry best practices**
   Industry best practices may include:
   - Provide safety training and requiring safety equipment that meets Occupational Safety and Health Administration (OSHA) requirements
   - Create job descriptions for incarcerated individual jobs
   - Mirror job applications and interview processes
   - Mirror a work review process for CI workers
   - Structure plant layout of work stations for ultimate efficiency
   - Implement Lean manufacturing principles
   - Engage in Continuous Improvement methodology
   - Use private industry manufacturing partners/consultants
   - Utilize private industry quality assurance (QA) standards
   - Implement environmental sustainability principles
   - Implement preventative maintenance programs
   - Utilize customer satisfaction surveys

4. **Utilize Enterprise Resource Planning (ERP) applications**
   - Train incarcerated individuals to use an ERP system within approved limits
   - Utilize Materials resource planning (MRP)
   - Utilize Capacity Resource Planning (CRP)

5. **Consider incarcerated individuals for administrative and support positions**
   In addition to traditional shop manufacturing jobs, incarcerated individuals should be involved in administrative positions. This can provide training and work experience in areas such as accounting, ERP, engineering, CAD/CAM, production control, inventory management, warehouse operations and customer service.

6. **Balance the use of technology with maximizing job opportunities for incarcerated individuals**
   - Balance the benefits and need for incarcerated individual jobs versus the utilization of latest technology and automation which replicate private sector industries.
   - Incarcerated individual duties should be balanced between providing the maximum number of jobs and lowering costs through the use of technology.

7. **Implement job and pay progressions for incarcerated individuals.**
   - Develop an incarcerated individual pay progression plan
   - Implement incentive programs where approved which recognize achievements such as attendance, quality standards and productivity goals

8. **Obtain compliance verification**
   Compliance may be obtained through audits or assessments such as:
   - Security Audits
   - Safety Audits
   - Environmental Audits
   - Workforce Development Assessments
   - ACA Audits
   - PIECP Assessments

Measurements
- Competitive cost/pricing, quality, just-in-time and on-time delivery
- Percent of formerly incarcerated individuals working after release compared to those without Correctional Industry Experience
- Reduced recidivism rates for released incarcerated individuals who participated in Correctional Industries while incarcerated

Resources
(NCIA recognizes some of the resources cited do not align with the person first language updates. However, the resource provides

pertinent information utilized in the development of this document)

www.abo-ncle.org
American Board of Opticianry and National Contact Lens Examiners (ABO and NCLE)

http://www.aqinet.org/
American Quality Institute

www.apics.org
Association for Supply Change Management/APICS

www.almnet.org
Association for Linen Management (ALM) (Formerly NALM)

www.iso.org
International Organization of Standards

www.nam.org
National Association of Manufacturers

www.osha.gov
Occupational Safety and Health Administration

Tools

Computer Aided Design (CAD) engineering and design applications/software

Computer-Aided Manufacturing applications/software (CAM)

Enterprise Resource Planning applications/software (ERP)

Just-in-Time Manufacturing (JIT)

Lean Six Sigma, Continuous Improvement

Component: Implement Certificate-Based Soft Skills Training

Definition

Soft Skills is a term often associated with a person's Emotional Intelligence Quotient (EQ), the collection of personality traits, social graces, communication, language, personal habits, friendliness, and optimism that characterize relationships with other people. Soft skills complement technical skills which are the occupational proficiencies required for a specific job or activity. Soft skills are related to feelings, emotions, and insights, and provide an important complement to technical skills.

Rationale/Benefits

Soft skills are an important part of an individual's contribution to the success of an organization. Organizations that train their staff to use these skills are generally more successful.
For this reason, soft skills are increasingly sought out by employers in addition to technical skills. In addition to technical skills, employers seek workers who have communication, collaboration, problem solving and critical thinking abilities.

The soft skills taught through Correctional Industries (CI) programs go hand in hand with post-release employability. The Council of State Government's National Reentry Resource Center clearly shows a link between employment and reduction in recidivism. The ability to gain and retain employment is an important factor in reducing recidivism. An unemployed formerly incarcerated individual is far more likely to return to prison than an employed formerly incarcerated individual.

CI programs benefit from incarcerated individuals participating in soft skills programs. As incarcerated individuals learn these soft skills, which are necessary to excel in a post-release work environment, there is also a positive impact realized in their CI work assignment and institutional behavior. Many studies have shown results similar to the BOP study which showed incarcerated individuals who participate in CI have a lower rate of institution misconduct in prison. Additionally, the BOP study shows incarcerated individuals with a lower rate of misconduct in prison have a lower recidivism rate.

There are many soft skills that are valued by employers. These include, but are not limited to:

- Basic writing, grammar and math skills
- Personal integrity
- Courtesy
- Positive work ethic
- Honesty
- Ability to get along well with others
- Reliability
- Willingness to learn
- Team skills
- Common sense
- Eye contact
- Critical thinking skills
- Cooperation
- Punctuality
- Adaptability
- Good personal appearance
- Ability to follow rules
- Self-directed
- Willingness to be accountable

- Positive attitude
- Awareness of how business works
- Dependability
- Staying on the job until it is finished
- Ability to work without close supervision
- Ability to read and follow instructions
- Ability to listen
- Commitment to continued training and learning
- Good attendance
- Energetic
- Work Experience
- Ability to relate to co-workers in a close environment
- Willingness to take instruction and responsibility
- Willingness to go beyond the traditional 8-hour day

> Of all the work skills incarcerated individuals learn, soft skills are the most transferable skills.
> **https://www.dol.gov/agencies/odep/publications/fact-sheets/soft-skills-the-competitive-edge**

Practices

1. **Conduct job readiness assessments**

   Where possible, CIs should utilize job readiness assessments to inform the incarcerated individual, supervisor and the instructors of the individual's areas for growth and improvement. Incarcerated individuals should be involved in career development including career and aptitude assessments, career planning, and understand how to get career information and support. These assessments can help identify what soft skills training is needed.

2. **Collaborate to maximize soft skills training**

   Correctional Industries should work with other DOC departments in a collaborative way to support and reinforce skill attainment. Integrated programs can be developed that address soft skills in certificate-based programs by working with correctional education/vocational training. Topics include professional communication, interviewing skills and resume

writing. Partner with case management, mental health, substance abuse treatment, and other programming. Collaborate wherever possible to maximize resources and outcomes.

3. **Implement a soft skills component**

   A soft skills component should be a required part of a certificate-based program. Components can be tailored to the individual shop or designed for the CI program. These programs and their components can be developed in-house or "off the shelf" such as *Habits of Mind*, *Thinking for a Change or Makin' It Work/Workin' it Out.*

4. **Develop a reinforcement system for completion of soft skills training**

   Reward incarcerated individuals for the completion of soft skills training and develop systems which reinforce the acquired skills. For CIs that have graduated pay or stipend plans, completion of soft skills training and appropriate integration of the skills can be components required for advancement to higher levels.

5. **Develop partnerships**

   Soft skills programs support the development of personal responsibility that is highly valued by employers. CIs should develop partnerships that reinforce the significance of soft skills training. These include potential employers, Chambers of Commerce, community-based and non-profit organizations such as Dress for Success, YWCA, etc.

6. **Provide key elements of soft skills training to all staff**

   All staff should receive soft skills training and model the principles of this training. Training for staff should be relevant, comprehensive and ongoing with structured follow up. CIs can find appropriate programs on various websites such as NIC and NCIA.

7. **Provide professional development for lead staff**

   CIs should ensure identified staff are trained in programs such as NIC's Evidence-Based Workforce Training Series. This series consists of Employment Retention: Principles and Practices as well as Employment Retention: Criminal Justice System. These programs offer a wide perspective on the skills and attitudes an incarcerated individual must have to be successful as they transition to the community and the world of work.

Measurements

- Pre- and Post-testing and coaching
- Staff training
- Conduct and behavioral reports

Resources

Publications

Bradberry, Travis, and Greaves, Jean. *Emotional Intelligence 2.0*

Cissner, Amanda B. and Puffett, Nora K. (2006). *Do Batterer Program Length or Approach Affect Completion Rate or Re-Arrest Rates: A Comparison of Outcomes between Defendants Sentenced to Two Batterer Programs in Brooklyn.* Center for Court Innovation. www.courtinnovation.org/sites/default/files/IDCC%20DCAP%20final%20.pdf

Office of Justice Programs. 2021 Update on Prisoner Recidivism: A 10-Year Follow-up Period (2008-2018). U.S. Bureau of Justice Statistics of the US Department of Justice. https://bjs.ojp.gov/library/publications/recidivism-prisoners-released-24-states-2008-10-year-follow-period-2008-2018

The Conference Board. *Are They Really Ready to Work? Employers' Perspectives on the Basic Knowledge and Applied Skills of New Entrants to the 21st Century U.S. Workforce*. https://files.eric.ed.gov/fulltext/ED519465.pdf

Wisconsin Department of Public Instruction. Wisconsin's Employability Skills Certificate Implementation Guide. https://dpi.wi.gov/sites/default/files/imce/cte/pdf/esimpleguide.pdf

Bureau of Justice Assistance. *Integrated Reentry and Employment Strategies: Reducing Recidivism and Promoting Job Readiness.* https://old.csgjusticecenter.org/wp-content/uploads/2013/09/Final.Reentry-and-Employment.pp_.pdf

Websites

www.nationalcia.org
National Correctional Industries Association

https://nicic.gov/
National Institute of Corrections

https://nationalreentryresourcecenter.org
Bureau of Justice Assistance - National Reentry Resource Center

https://www.ilo.org/sites/default/files/wcmsp5/groups/public/@ed_emp/@emp_ent/docume
nts/publication/wcms_754513.pdf
International Labor Office (ILO) Skills for Employment Policy Brief

Tools

Identify tools currently being used and implement available certificate-based programs that
address soft skills. This can be done by investigating what other states are doing and by
examining National Institute of Corrections' programs such as:

- NIC Evidence-Based Workforce Training Series
- Motivational Interviewing Training
- Thinking for a Change Training
- Career Recourse Centers (CRC)

Cognitive Behavioral Therapy (CBT) Programs

Habits of Mind (HOM), (Costa and Kallick, 2000)

Suggest using integration models, such as including staff performance objectives for facilitating
soft skills development for incarcerated individuals.

https://www.degruyter.com/document/doi/10.1515/eng-2020-0072/html?lang=en

*https://www.researchgate.net/publication/324579805_An_exploration_of_global_employabiliy
skills_a_systematic_research_review*

Component: Provide Certified Technical Skills Training

Definition

Certified Technical Skills that lead to professional or trade certification opportunities. Earned by a person to assure their qualifications in performing a job or task. Certifications are portable, evidence-based credentials that measure essential workplace skills and are a reliable predictor of workplace success.

Many certification programs for incarcerated individuals are created, sponsored, or affiliated with the Department of Labor (DOL), professional associations, trade organizations, or private vendors interested in raising standards.

Certification programs can be relatively quick and simple, such as forklift training or long and complex, such as a DOL Apprenticeship or optical certification. Regardless of complexity, best practice certification programs require the same criteria. They should be:
- Designed to prepare the incarcerated individual for an occupation or occupational area;
- Knowledge-based; however, the credential should contain a performance based component;
- Taught by someone with an industry certification or license, or certain number of years of experience in the field;
- Standardized and graded or monitored independently by a subject matter expert;
- Recognized by industry, trade, or professional associations

Rationale/Benefits

In a Correctional Industries (CI) environment, certification programs prepare incarcerated individuals to work in a specialized trade, both while incarcerated and upon release. Evidence has shown that including certifications on a resume can give formerly incarcerated individuals an advantage over other candidates applying for the same job.

Technical certification programs provide the incarcerated individual with the following:
- Increased post-release employment opportunities
- Validation of the attainment of job skills needed for employability
- Reduction or elimination of employment barriers

Education Programs provide incarcerated individuals with the following:
- Additional Certifications and Degrees

- Assist with job placement and advancement
- Increase post-release employment success

Risk factors are identified as barriers to success when reintegrating into the community. Many incarcerated individuals face employment challenges that result from these risk factors. Certified training provides incarcerated individuals with job skills that align with the labor market and offer the incarcerated individual one less barrier to overcome upon release. Technical certifications have standards that are known industry-wide and employers expect that an incarcerated individual has mastered a specific skill level with the completion of a certified training program.

By offering certified technical programs, CIs provide incarcerated individuals with recognized and measured job skills needed in the job market regardless of the geographic region.

Certified technical programs within CI provide a stable workforce, and maximizes industry operations through a well trained workforce. Most importantly, these programs can be tied to the tracking and documentation of recidivism rates and successes. Correctional Industries can provide data that can be easily understood by interested political, business, and community stakeholders.

Practices

1. Research labor market information

Research laws that prohibit felons from working in certain occupations. Consult with DOL to determine the current and projected skill and employment needs. DOL can provide current and relevant data to assist in deciding where certification programs will have the greatest impact. Conduct independent research with employers to determine the specific technical skills they are seeking. Consult employers in the geographic areas where incarcerated individuals will be released.

2. Research barriers to success

Collaborate with case management and educational services staff to determine barriers to success that should be addressed in certification programs. This collaboration may include topics such as professional communication, interviewing skills, and resume writing. Correctional Industries should utilize job readiness assessments to inform incarcerated individuals and instructors of areas for growth and improvement.

3. Research industry-wide technical training and certifications

There are many manufacturing programs that can be implemented throughout CI, such as quality or safety programs. Certified instructors from OSHA or other nationally recognized organizations can provide certified training courses to incarcerated individuals. Quality programs such as International Organization of Standardization (ISO) and Lean Manufacturing can be implemented.

4. **Identify operations for technical training**

   Identify operations within your current CI that are suitable for technical skills certification. Research available trainings that offer certifications. Factors to consider when identifying training programs are:
   - Labor market needs
   - Correctional Industry needs
   - Staff capabilities

5. **Identify resources**

   Review resources needed, including funding, equipment, space, and staffing. Identify staff that can provide certified skills training and/or provide tracking, monitoring, and documentation.

6. **Pursue partnerships with certification program providers**

   Partnering organizations will often have published skill/technical curriculums, training and certification programs for instructors, and discounts on services. It is important for CIs to evaluate their partnerships with local, state and national program providers to determine the best matches.
   - **U.S. or local DOL, other federal/state agencies such as OSHA, Department of Education.** There are numerous program providers throughout the United States that work with CIs. It is important going into a partnership to be able to clearly articulate what CIs needs are in order for the partner organization to determine if they have relevant training and services.
   - **Universities, community colleges and technical schools.** Schools and universities are an excellent resource for classroom training and will often provide this training within the prison environment.
   - **Trade and technical organizations.** Nationwide, there are many trade organizations willing to partner with CIs. They see the potential of building a trained workforce. Often, those organizations are seeking individuals who have specialized skill sets.
   - **Labor unions.** Seek partnerships with training counsels of both public and private labor unions to provide apprenticeship training. This first level apprenticeship provides incarcerated individuals with the highest priority level for union employment upon release. Partnerships may also include providing tools or discounted union dues upon release.
   - **Vendors for technical equipment training.** Vendors offer training as part of equipment purchasing costs and raw material education. Incarcerated individuals can attend this training and receive certificates. Training webinars offered by vendors are another important resource.
   - **Private industry partners.** The Prison Industry Enhancement Certification Program (PIECP) and service providers offer unique training opportunities for incarcerated individuals and often have certification programs already developed.

7. Obtain compliance verification

Compliance may be obtained through audits or assessments such as:

- Workforce Development Assessments
- PIECP Assessments
- ACA Audits
- Other assessments, i.e. DOL, higher education

> **In-house Certificates** – Many CIs offer certificates of achievement or proficiency. These areas may include stock room clerk, janitor, painter, etc. Document the skills that must be achieved and the number of hours required to create an in-house certificate.

Measurements

- Partnerships created
- Hours of technical training provided
- Incarcerated individuals enrolled in certified technical training
- Certificates awarded
- Certifications earned
- Incarcerated individuals securing employment within 90 days of release

Resources

(NCIA recognizes some of the resources cited do not align with the person first language updates. However, the resource provides pertinent information utilized in the development of this document)

Publications

Liptak, John J., Ed.D. *Barriers to Employment Success Inventory (BESI). 5th Ed.* Jist Publishing.
https://www.clsr.ca/product/barriers-to-employment-success-inventory-5th-edition-besi/

Saylor, W. G., Gaes, G. (1997) *Training Inmates through Industrial Participation and Vocational and Apprenticeship Instruction.*
https://www.bop.gov/resources/research_projects/published_reports/recidivism/oreprprep_cmq.pdf

Websites

https://www.aca.org/ACA_Member/ACA/ACA_Member/Standards_and_Accreditation
ACA Standards

https://www.almnet.org/page/CLLM
Association for Linen Management Certification Programs

https://www.ase.com/
Automotive Service Excellence (ASE) Training and Certification

http://www.rand.org/news/press/2013/08/22.html
Education and Vocational Training in Prisons Reduces Recidivism, Improves Job Outlook

https://www.franklinapprenticeships.com
Franklin Apprenticeships

https://nfb.org/programs-services/braille-certification
National Certification for the Blind – Braille Certification

http://nicic.gov
National Institute of Corrections

https://search.freefind.com/find.html?si=65206543&pid=r&n=0&_charset_=UTF-8&bcd=%C3%B7&query=workforce+development
National Institute of Corrections – Workforce Development

https://www.osha.gov/dte/library/pit/pit_q-a.html
OSHA Training Information

http://www.dol.gov/apprenticeship/
US Department of Labor Apprenticeship Programs

https://www.workforcegps.org/events/2018/03/12/15/04/Free-Resources-for-Apprenticeship-Work-based-Learning
WorkforceGPS – Free Resources for Apprenticeship & Work-based Learning

https://forms.act.org/research/policymakers/pdf/Work-Readiness-Standards-and-Benchmarks.pdf
Work Readiness Standards and Benchmarks

Tools

Choices, Bridges Transition.
A self-paced computer program utilized to educate and aid in choosing between various occupations, jobs, and work potentially available. The Choices program provides the information necessary for the student to make informed decisions about their career and transition planning.

Job Readiness Assessments
The following is a list of available resources; this is not meant to be an endorsement of any one product. All products may be found online.

Job Search Knowledge Scale (JSKS), John J. Liptak, Ed.D*
JSKS helps determine how much an individual knows about looking for work to discover the job search skills they need to develop to find work faster. The JSKS offers guidance on the job search methods that work best and provides journaling space to establish job search goals.

The Job Search Attitude Inventory (JSAI), John J. Liptak, Ed.D.*
A 40-item inventory designed to make job seekers more aware of their self-directed and other-directed attitudes about their search for employment.

*This Triadic Job Search Model utilizes the three assessments to help all individuals understand all of the factors that contribute to job search and success, including attitudes toward the job search and knowledge of job searches.

Harrington-O'Shea Career Decision Maker System Revised (CDM-R), Arthur J. O'Shea, PhD, Rich Feller, PhD. Assesses occupational interests, values and abilities and matches these dimensions to career options.

Mechanism for Tracking Process/Progress
The DOL can be a partner in tracking the process and progress of the successful employment of incarcerated individuals, once they return to the community. If given the names and identification numbers of individuals, the DOL is able to track and report employment history once incarcerated individuals re-enter the job market.

Work Keys is a job skills assessment system that helps employers select, hire, train, develop, and retain a high-performance workforce. This series of tests measures foundational and soft skills and offers specialized assessments to target institutional needs.

Component: Maximize Job Opportunities for Incarcerated Individuals

Definition

Correctional Industry (CI) programs offer a system that promotes the learning, development of skills, values, behaviors and motivation for incarcerated individuals to make changes in their lives that assist them in a successful transition into the community. CI programs accomplish this through the context of work.

In an effort to take full advantage of the impact of industry programming, the maximization of job opportunities for incarcerated individuals is critical in assisting a correctional organization with its reentry initiatives. This is accomplished using a systems approach that includes the strategic evaluation of resources and programming resulting in a comprehensive plan.

A key to sustainable growth is maximizing job opportunities for incarcerated individuals. The process of achieving sustainable growth includes the evaluation of current and future operations, the identification of long term goals, and the strategies to reach those goals.

Rationale/Benefits

Criminogenic risk factors encompass personal, interpersonal and environmental issues that have the potential to contribute to criminal and antisocial behavior. Addressing criminogenic risk factors correlates to a reduction in recidivism. As discussed in the Integrated Reentry and Employment Strategies Whitepaper, by the Council of State Governments Justice Center, criminogenic risk factors such as antisocial attitudes, beliefs, peers, and personality patterns clearly affect how someone might perform in the workplace. The inability to gain and maintain employment is considered a criminogenic risk factor.

Incarcerated individuals seeking to enter the job market upon release must be prepared with both technical and soft skills. Ideally, technical skills should be transferable to the current job market. Soft skills are also critical to gain and retain employment as they are behavioral in nature and include factors such as attitude, work ethic, and communication skills. Maximizing job opportunities for incarcerated individuals ensures a larger number of incarcerated individuals are provided opportunities to learn technical and soft skills and gain experience working, thereby increasing the percent of released incarcerated individuals prepared for work.

Studies show that incarcerated individuals involved in CI programming have a lower rate of recidivism than those who do not participate. The overall impact of maximizing job opportunities for incarcerated individuals will be a decrease in the overall recidivism rate.

Research conducted by the Council of State Government's Reentry Policy Council reports that reduced idleness leads to reduced violence within correctional facilities. Participation in CI programming gives incarcerated individuals an incentive for good behavior, remain free of infractions and actively engage in other programming opportunities.
Research by the Council also states that participants in work programs are more likely to be employed following release and to have higher earnings than non-participants. Incarcerated individuals working for CI have a better chance to find meaningful real-world employment and are less likely to commit new crimes after release than those without CI experience. Ultimately this makes our communities safer.

Maximizing job opportunities in Correctional Industries programs offers benefits which may include:
- Assisting with overall prison management through supervision and program participation that requires higher standards of conduct and saves programming costs.
- Lowering recidivism through CI program participation increases public safety, reduces future victimization and saves the citizens tax dollars. Cost Benefit Research conducted by the Washington State Institute for Public Policy concluded that CI programs lower recidivism, reduce criminal justice costs, and saves tax dollars.
- Increasing economic activities through administrative and operational expenditures and increased purchases from local suppliers. A Study of the Economic Impact of the California Prison Industry Authority demonstrated that Correctional Industries has a positive economic impact on state economies.
- Incarcerated individual earnings allow for payments of legal obligations such as victims' compensation, mandatory savings, cost of incarceration, child support, court-ordered fines and fees, and other debts.

Practices

1. Evaluate the current system and the future potential
a) Business Analysis
In an effort to maximize job opportunities for incarcerated individuals, it is necessary to evaluate the capacities and capabilities of the correctional system as it relates to programming. The following are recommended components of an analysis per location:
- Space capacity and capability
- Available and eligible incarcerated workforce
- Hours/days of access to the worksite(s) –civilians and incarcerated individuals
- Capability to work multiple shifts – civilians and incarcerated individuals
- Availability to operate split shifts – Number of available and eligible incarcerated

individuals
  i. Allowing for Education or other programing to occur while the incarcerated individual continues to work in Correctional Industries.
- Security considerations and concerns with increasing job opportunities
- Logistical considerations and concerns with increasing job opportunities
- Are there opportunities for capital expansion?
- Where possible, encourage private partners to invest in equipment and infrastructure to create additional industries space.

The level of CI worker positions is often in direct correlation to the amount of current business. To increase the number of incarcerated individuals involved in a CI program, it may be necessary to increase business, sales, contracts and partnerships. An analysis of your current business should include:
- Key performance indicators such as revenue, net income, CI worker positions, skill sets, etc.
- Trends in current business
- Trends in potential future business
- Assessment of business by segment (government, PIECP, Service, etc.)

b) **Labor Market Analysis**
Ongoing labor market analyses is critical to CI long term planning as it provides information for both the evaluation of current and future skill development. The analysis will clearly identify the needed skills for employability after release and potential new business development opportunities.

Technical and soft skill development should remain relevant to the needs of the customer and current job market. Given the rapidly changing nature of the job market, it is imperative that leaders understand, evaluate, and make existing and new business program decisions based upon labor market information and customer needs.

Identifying and evaluating labor market demands may also be a source of new business development opportunities for a CI program. The Department of Labor (DOL) provides information on current data that identifies labor needs. This includes global information such as careers in demand or specific information such as the individual skills that employers are seeking to fill specific positions. National and local labor data and contact information is readily available on the U.S. Department of Labor website. Other sources include manufacturers associations and universities.

Reviewing this information on an annual basis can assist management with long- and short-term planning.

c) **Eligibility Criteria for CI Incarcerated Workers**
CI programs have varying eligibility criteria for placement into CI worker positions.

When assessing the ability to expand the CI workforce, it is necessary to evaluate the current eligibility criteria to determine whether the expansion can be supported and sustained.

2. Establish short and long term goals.

Create goals using the data and information collected. Develop a plan to:
- Continue to build on and expands the soft and technical skill sets
- Expand programming opportunities by maximizing available resources
- Expand current Joint Venture Partners
- Recruit and retain new business opportunities which focus on the skill sets identified in the labor market information as areas of future growth
- Expand current sales, generating increased volume resulting in additional positions
- Identify business opportunities that will assist with financial sustainability

3. Develop strategies to increase work opportunities

There are numerous strategies to increase work opportunities. The following strategies can be used as an integrated approach to maximizing the positions available:

a) Expand current markets and develop new markets to increase the number of job opportunities for incarcerated individuals.
- Private sector partnerships – PIECP or Service Industries
  - Encourage current partners to expand
  - Actively seek new partners
    - Network with current partners
    - Network with community leaders and organizations
    - Communicate with businesses. Many times CI can help local business meet their production needs.
- Expand current product sales and product offerings
- Balance business unit portfolio to train the greatest number of incarcerated individuals while remaining financially sustainable (Refer to the Financial Sustainability Best Practice)
- Seek grant opportunities

b) Provide educational programming to expand service levels. This will allow a CI program to expand the number served through offering split schedules, i.e. half-day production, half-day classroom. Target the development of skill sets relevant to current market needs through:
- Certifications, Technical and Soft Skills
- Apprenticeships
- Trades Programs
- Higher Education

c) Additional Opportunities for Increased Numbers of CI Incarcerated Worker Positions:
- Job Sharing (two incarcerated individuals working part time in one position)
- Limit time an incarcerated individual works in the program through the adoption of a "graduate" performance completion mastery system. Skills should be developed as close as possible to release to maximize their relevance to potential employers in the community.

Measurements
- Eligible incarcerated population served
- CI incarcerated worker positions
- Program completion
- Recidivism rate

Resources
(NCIA recognizes some of the resources cited do not align with the person first language updates. However, the resource provides pertinent information utilized in the development of this document)

Publications
Arizona Correctional Industries Indirect Impact Study (FY 2019)
https://aci.az.gov/AnnualReports/ACI_AR_2019.pdf

California Prison Industry Authority's Economic Impact on California Fiscal Year 2012-2013
https://www.calpia.ca.gov/news/reports-and-publications/economic-impact-report-2012-13/

The Conference Board. *Are They Really Ready to Work? Employers' Perspectives on the Basic Knowledge and Applied Skills of New Entrants to the 21st Century U.S. Workforce.*
https://files.eric.ed.gov/fulltext/ED519465.pdf

Council of State Government's Justice Center (2005). *Report of the Re-Entry Policy Council: Charting the Safe and Successful Return of Prisoners to the Community.*
https://csgjusticecenter.org/publications/report-of-the-re-entry-policy-council-charting-the-safe-and-successful-return-of-prisoners-to-the-community-3/

Council of State Government's Justice Center (2013). *Integrated Reentry and Employment Strategies.*
https://csgjusticecenter.org/reentry/the-reentry-and-employment-project/integrated-reentry-and-employment/

Duran, L., Plotkin, M., Potter, P., Rosen, H. (2013). *Integrated Reentry and Employment Strategies: Reducing Recidivism and Promoting Job Readiness*.
https://bja.ojp.gov/sites/g/files/xyckuh186/files/Publications/CSG-Reentry-and-Employment.pdf

Smith, C. J., Bechtel, J., Patrick, A., Smith, R. R., Wilson-Gentry, L. (2006). *Correctional Industries Preparing Inmates for Re-entry: Recidivism & Post-Release Employment*. https://www.ojp.gov/pdffiles1/nij/grants/214608.pdf

U.S. Department of Justice. (2010). *Career Resource Centers: An Emerging Strategy of Improving Offender Employment Outcomes.* https://ojp.gov/ncjrs/virtual-library/abstracts/career-resource-centers-emerging-strategy-improving-offender

Washington State Institute for Public Policy. (2012) *Return on Investment: Evidence-based Options to Improve Statewide Outcomes*. http://www.wsipp.wa.gov/ReportFile/1102/Wsipp_Return-on-Investment-Evidence-Based-Options-to-Improve-Statewide-Outcomes-April-2012-Update_Full-Report.pdf

Websites

https://www.aca.org/ACA_Member/ACA/ACA_Member/Standards_and_Accreditation/SAC.aspx
ACA Standards

https://www.careeronestop.org/
CareerOneStop

https://cwdb.ca.gov/partnerships/workforce-corrections-partnership
Corrections – Workforce Partnership & Prison to Employment

https://www.nam.org
National Manufacturers Association

http://nicic.gov/apex
National Institute of Corrections - Achieving Performance Excellence (APEX)

https://www.nationalcia.org/ci-videos-studies
State Recidivism Studies located on NCIA Website

Tools

National and State-Specific LMI - The Labor Market Information Institute
http://www.lmiontheweb.org/

Labor Market Information Worksheet

This document is a guide for evaluating labor market supply and demand factors for a particular occupational title in your state and local region. It can be used by the probation, correction, correctional industry, parole, community based and faith-based agencies to explore the feasibility of implementing a prison-based training program or a post-release training and job placement initiative. Links to state labor market information websites needed to complete the form may be found at: https://www.bls.gov/home.htm

The form can be found at:
https://nicic.gov/labor-market-information-worksheet

Component: Create a Culture of Employment Readiness and Retention for Incarcerated Individuals

Definition

Employment readiness encompasses several areas including soft skills, cognitive skills and industry-recognized training and the certifications employers expect from qualified applicants. In addition, an effective employment readiness and retention culture for incarcerated individuals should address the criminogenic issues, such as impulsivity and anti-social thinking, leading to detachment from the workforce. Employment readiness/employability pertains to the incarcerated individual's ability to both obtain and retain gainful attachment to the workforce. Correctional Industries (CI) programs should focus on both. **The ability to gain employment and the ability to retain employment are two very different skill sets the incarcerated individual must acquire to be successful in the workplace.**

CI work assignments should mirror the community workplace, including job applications, interviews, orientation (to include workforce expectations and worker engagement), ongoing training and regular work evaluations. Creating a culture of employment readiness and retention for incarcerated individuals includes work readiness assessments conducted at entry, and at periodic points during and at the end of involvement with CI. In addition, every position in CI should be identified by its Standard Occupational Classification (SOC) code found at the Department of Labor's "O*Net" website https://www.bls.gov/soc/. This is essential in linking CI work with jobs in the community, and it is the first step in developing a workforce development culture within CI. In addition, The Occupational Outlook Handbook https://www.bls.gov/ooh/ provides valuable career development information.

Rationale/Benefits

An extensive body of research has established that a felony conviction or time in prison is a significant barrier to employment after release. It is not simply that individuals who commit crimes are less likely to work in the first place, but rather that felony convictions or time in prison act independently to lower the employment prospects of formerly incarcerated individuals. (Ex-offenders and the Labor Market John Schmitt and Kris Warner November 2010.)

Employment can make a strong contribution to recidivism reduction efforts because it refocuses individuals' time and efforts on pro-social activities, making them less likely to engage in risky behaviors and associate with people who do. Having a job also enables individuals to

contribute income to their families, which can generate more personal support, stronger positive relationships, enhanced self-esteem, and improved mental health. For these reasons, employment is often seen as a gateway to becoming and remaining a law-abiding and contributing member of a community. Employment also has important societal benefits, including reduced strain on social service resources, contributions to the tax base, and safer, more stable communities (Integrated Re-entry and Employment, The Council of State Governments Justice Center, Reducing Recidivism and Promoting Job Readiness, 2013). Emerging research suggests a connection to employment retention and reduced recidivism. Corrections professionals have a critical mission that includes the goal of ensuring that incarcerated individuals who leave corrections supervision do not commit new crimes or return to incarceration. Research confirms that employment is a critical component of successful reentry; creating a culture of success through employment readiness for incarcerated individuals is essential. Not only do released incarcerated individuals need the ability to gain employment, they need to retain employment.

Today's successful employment programs are those that are employer-driven and focused on the incarcerated individual. These programs are supported by, and built on, labor market information. They offer industry-standard training and certifications that meet employers' expectations.

Employers face global competition in their drive to operate successful businesses in today's marketplace. If the correctional system is to be successful in placing formerly incarcerated individuals in meaningful employment that meets employers' expectations, CIs must create a culture that prepares incarcerated individuals for gainful attachment to the workforce.

The Council of State Government's National Reentry Resource Center studies clearly show a link between employment and reduction in recidivism. The formerly incarcerated individual's ability to gain and retain employment is an important factor in reducing recidivism. A significant percentage of formerly incarcerated individuals are unemployed at time of re-arrest. An unemployed formerly incarcerated individual is far more likely to return to prison than an employed one. Employment provides a platform for success after release.

Creating a culture of success for incarcerated individuals through employment readiness goes hand in hand with employability and job retention. Additionally, CI will benefit by incarcerated individuals who have developed a culture of success through employment readiness, creating a competitive environment that emulates good operations practices. The Federal Bureau of Prisons (FBOP) studies show incarcerated individuals who have participated in CI have a lower rate of institutional misconduct in prison, and those incarcerated individuals with a lower rate of misconduct in prison have a lower recidivism rate. Recidivism studies show reduced recidivism for incarcerated individuals who participate in correctional industries.

Practices

1. **Ensure building lives versus building products is the focus of the CI organization**

   There must be a change in the focus of the CI organization from making products to building lives. CI's mission, vision and values must support a culture of success for incarcerated individuals through employment readiness.

2. **Support a culture of success for incarcerated individuals through employment readiness**

   Career-focused reentry can prepare incarcerated individuals for employment and job retention, with an emphasis on soft skills and industry-standard training and certifications that will meet employers' expectations for qualified applicants. Additionally, criminogenic risks need to be identified and addressed for the released incarcerated individual to be employment ready and employable.

3. **Incorporate cognitive behavioral principles with motivational interviewing techniques in CI operations**

   These can be an important component in impacting employment readiness and retention. Programs and best practices for Cognitive Behavioral Training (CBT) and Motivational Interviewing (MI) can be implemented or reinforced in CI operations and involve staff at all levels.

4. **Use the Standard Occupational Classification (SOC) code to identify each position used in CI**

   The 2018 SOC system is used to classify workers into occupational categories for the purpose of collecting, calculating, or disseminating data. All workers are classified into one of 867 detailed occupations according to their occupational definition. To facilitate classification, detailed occupations are combined to form 459 broad occupations, 98 minor groups, and 23 major groups. Detailed occupations in the SOC with similar job duties, and in some cases skills, education, and/or training, are grouped together. The SOC code can be found at: http://www.onetonline.org/.

   The O*Net program is the nation's primary source of occupational information. Central to the project is the O*Net database which contains information on hundreds of standardized and occupation specific descriptors. SOC codes and O*Net are the primary system and language used by Workforce Development Professionals both locally and nationwide. It provides the ability to clearly understand what an incarcerated individual did while assigned to CI.

5. **Provide ongoing professional development to CI Staff**

   CI needs to become a "Learning Organization" focusing on talent management and development. A learning organization makes it a priority to engage its entire workforce on

continuing education paths that support both personal and professional development. There is a focus on self-awareness so individuals can identify their areas of strengths and opportunities for improvement with their supervisors. This should also be supported by a performance management system that is relevant, timely and supports the culture that is necessary to meet the goal of employment readiness for the incarcerated individuals served in the program. CI Staff need to be trained to be leaders, mentors, teachers, coaches and role models. CI staff should be trained to offer, utilize and model critical thinking skills when interacting with CI workers. CIs should implement evidence-based training and ongoing professional coaching for staff to enable them to be effective in their roles.

6. Provide meaningful job training by emulating the private sector workplace in work assignments

CI should set clear metrics for work goals that are specific, measurable, achievable, relevant and timely (SMART). These should be accompanied by a system of rewards and recognition for accomplishment. Employment opportunities and workspaces should mirror the community workplace. CI should teach and reinforce work ethic principles, including daily attendance, punctuality, quality, productivity, teamwork, communication skills, the ability to take direction from a supervisor and adherence to health and safety guidelines. Incarcerated individuals need to understand that safety and security are important to businesses they will work for after release. (For more information, refer to the Replicate Private Industry Environment best practice.)

7. Develop time management skills

Time management skills are essential for incarcerated individuals who transition from an institutional environment where most decisions were made for them, into a world where they immediately become the decision-makers. Development of these skills must begin well before time of release. Time management training helps incarcerated individuals plan for a productive and balanced use of personal time, which supports success on the job after release.

8. Utilize journey workers as on-the-job trainers

A journey worker is someone who is advanced beyond being an apprentice. The use of CI journey workers as on-the-job trainers saves costs and provides excellent skill-building opportunities for the journey worker and other incarcerated individuals. The use of journey workers helps multiply and enhance the training CI staff can provide to incarcerated individuals.

9. Assist incarcerated individuals with networking and modern employment application processes

Networking for employment leads is often a new concept for many incarcerated individuals who need coaching on how to best utilize their social contacts for job leads. According to the U.S. Bureau of Labor Statistics, the majority of all jobs are found through networking. Incarcerated individuals need to learn to keep in touch, and tell everyone they are looking

for a job. Incarcerated individuals need to explore ways such as mock job interviews and transition resource fairs to teach networking skills while incarcerated. Additionally, more employers are requiring job seekers to apply for jobs online or using electronic applications. CIs should develop a training program or partner with education providers to teach incarcerated individuals how to use these electronic application systems.
Federal Bureau of Prisons Mock Job Fairs
http://www.bop.gov/inmates/custody_and_care/reentry.jsp

10. Partner with workforce development agencies

Partner with Workforce Development and One-Stop Career Centers as a potential source of job readiness training, pre-release job readiness programming and ongoing support services for incarcerated individuals post release. Additionally, community organizations, small businesses and nonprofit organizations have programs or networking to provide formerly incarcerated individuals leads and job opportunities. (For more information, refer to Provide Post-Release Employment Services best practice.)

11. Provide credentials to demonstrate employability

Provide credentials to validate CI work history including Department of Labor (DOL) Apprenticeships, trade association certifications, industry standard certifications such as Association for Linen Management, American Board of Opticianary, American Welding Society, and Occupational Safety and Health Administration (OSHA). (For more information, refer to the "Provide Certified Technical Skills" best practice.)

When external credentials are not available, CI should develop an internal certificate of participation or proficiency. Documentation should include the number of hours worked in a specific SOC code and include written criteria for areas like performance, attitude, safety and teamwork. Absent of external certifications this may be the only record of an incarcerated individual's participation in CI while incarcerated.

12. Develop Career Resource Centers

Career Resource Centers can be facilitated by staff or by incarcerated individuals working as clerks, to support career exploration to improve employment outcomes for incarcerated individuals. These centers help transform the incarcerated individual's thinking to a career mindset. A Career Resource Center emerging strategy is to provide internet accessibility, allowing incarcerated individuals to begin the job search process prior to release. Resources are available through NIC at no cost.

13. Assign and develop staff to build business relationships

CI should assign and train staff to develop business connections with employers. Developing working relationships with Chambers of Commerce, business executives, company CEOs and HR professionals creates a favorable environment for employing incarcerated individuals in the future. Invite employers to tour your operations and conduct mock interviews.

14. Develop training programs based on Labor Market Information (LMI)

Develop training programs based on employers' needs using LMI through the State Department of Labor. CIs should stay abreast of occupational trends, ensuring the training CIs offer meets the needs of the local business. Whenever possible, collaborate with corrections education/vocational training, technology schools and state manufacturing organizations for training programs that fit the needs of Correctional Industries and the occupational trends.

15. Invite employers to serve on advisory boards and committees

Employers know the traits and factors that support job readiness. Agencies that invite employers to serve on advisory boards and committees often report closer working relationships with the business community. Employers bring real work perspectives to the discussion and to the decisions made by advisory boards and committees.

16. Obtain compliance verification

Compliance may be obtained through audits or assessments such as:
- Workforce Development Assessments
- Security Audits
- Safety and Environmental Audits
- PIECP Assessments
- ACA Audits
- Other assessments, i.e. DOL, education, ISO

Measurements
- Incarcerated Individual Engagement Surveys
- Employee Engagement Surveys
- Organizational Culture Inventory
- Pre/post training assessments (transfer of knowledge)

Resources
(NCIA recognizes some of the resources cited do not align with the person first language updates. However, the resource provides pertinent information utilized in the development of this document)

Publications

Plotkin, M., Duran, L., Potter, P., Rosen, H. (2013). *Integrated Re-entry and Employment Strategies: Reducing Recidivism and Promoting Job Readiness*. https://www.bja.gov/publications/csg-reentry-and-employment.pdf

Richmond, K. (2014). Why Work While Incarcerated? Inmate Perceptions on Prison Industries Employment. *Journal of Offender Rehabilitation*, *53* (4), 231-252. http://dx.doi.org/10.1080/10509674.2014.902005

Oglesby-Neal, A, Yahner, J., Reimal, E., Semuels, J. (2019). Replication Validation of the Employment Retention Inventory: An Assessment Tool of the National Institute of Corrections. https://nicic.gov/replication-validation-employment-retention-inventory-assessment-tool-national-institute-corrections

Schmitt, J, & Warner, K. (2010). *Ex-offenders and the Labor Market.* https://bjs.ojp.gov/content/pub/pdf/eprfp10.pdf

Smith, C. J., Bechtel, J., Patrick, A., Smith, R. R., Wilson-Gentry, L. (2006). *Correctional Industries Preparing Inmates for Re-entry: Recidivism & Post-Release Employment*. https://4c99dc08-46a7-4bd9-b990-48103d668bb3.filesusr.com/ugd/df1d6e_f4d4621d5bd244e8b3896fa9b096365c.pdf

Websites
National Correctional Industries Association
www.nationalcia.org

National Institute of Corrections
https://nicic.gov/

Human Synergistics International
www.humansynergistics.com

FBOP Mock Job Fairs
http://www.bop.gov/inmates/custody_and_care/reentry.jsp

https://www.bop.gov/resources/pdfs/ipaabout.pdf

Tools

National Institute of Corrections' programs such as The Employer-Driven Model and Toolkit, Evidence-based Workforce Training Series/Employment Retention Principles and Practices Regional Training, Motivational Interviewing Training, and Career Recourse Centers (CRC)
www.nicic.gov

Organizational Culture Inventory - Measuring Organizational Culture
http://www.humansynergistics.com/Products/OrganizationDevelopment/OrganizationalCultureInventory

Component: Provide Post-Release Employment Services

Definition

Post-release employment services connect incarcerated individuals who were trained in Correctional Industries (CI) to long-term employment. While working with CI, incarcerated individuals have the opportunity to be engaged in activities in order to promote retention, help with re-employment in the event of job loss, and assist with advancement opportunities after release.

The goal of post-release employment services is ultimately to reduce recidivism. The approach is as follows:

- To increase employment opportunities available to CI-trained individuals who are trying to successfully reintegrate and remain crime-free by gaining and retaining employment
- To encourage employers to make individualized determinations about a person's specific qualifications, including the relevance of a criminal record, rather than having restrictions or bans against hiring people with criminal records

Rationale/Benefits

Research has shown that previously incarcerated individuals have a high risk of unemployment and that an association exists between adult incarceration, unemployment, and recidivism (Andrews 1995; Bouffard, et al, 2000). Additionally, incarcerated individuals themselves consider that securing employment is important to maintaining a crime free existence upon release (Visher et al. 2006).

People with criminal records are often considered a subgroup of the hard-to-employ population because felony convictions can create significant barriers to employment. Statutory limitations on accessing particular professions, employer reluctance to hire individuals with criminal records, and logistical issues resulting from the terms of an individual's release or supervision are often circumstances these individuals face when looking for career choices and employment.

According to a survey of practitioners conducted by the National Institute of Correction's Office of Correctional Job Training and Placement, the most significant job retention factors consist of:

matching jobs with the individuals' skills and interests, level of social and problem solving skills, and the job seeker having realistic work expectations (2001).

Correctional Industries are exceptionally well positioned to address risk factors due to the culture of the population coming through their door. CI provides an authentic work and pro-social environment that counters negative peer influences and the amount of time individuals spend engaged in antisocial activities while incarcerated. Addressing risk-related attitudes and behaviors help reduce violence in prison, keep individuals from participating in potentially unproductive prison behavior, reduce individuals returning to prisons and jails, and make program participants more employable. These mutually reinforcing benefits underscore the value of developing an approach for working with individuals with criminal histories that integrate best practices from the workforce development and corrections fields.

Post release employment can make a strong contribution to recidivism reduction efforts because it refocuses individuals' time and efforts on pro-social activities, making them less likely to engage in risky behaviors or associating with people who do. Having a job enables individuals to contribute income to their families which can generate more personal support, stronger positive relationships, enhanced self-esteem, and improved mental health. For these reasons, employment is often seen as a gateway to becoming and remaining a law-abiding and a valuable member of a community. Employment also has important societal benefits including reduced strain on social service resources, greater contributions to the economy and tax base, and safer, more stable communities.

Practices

1. **Brand your job placement program**

   Creating a brand will help market your program and objectives. Your brand should focus on dispelling negative stereotypes of previously incarcerated individuals with language, images and information that are positive and reassuring.

   a) Create marketing material to include brochures, videos, business cards, website, etc. Seek testimonials from satisfied businesses, employers, and supportive community leaders.

   b) Educate local media so they can share CI job training and programs, released individual success stories, and valued employer partnerships.

   c) Present the CI program to governmental agencies, civic organizations, Better Business Bureaus, churches, local community organizations, Society for Human Resource Management (SHRM), and not-for-profits involved with Reentry.

   d) Enlist the support of community, successful program participants, support services agencies and faith-based organizations in developing campaigns to promote employment opportunities for formerly incarcerated individuals.

2. **Market employment opportunities for previously incarcerated individuals trained through Correctional Industries**

Determine which industries and employers are willing to hire people with criminal records and encourage job development and placement in those sectors. Broaden opportunities based on individual career goals by expanding the knowledge and understanding for specific employers not limited to known "Fair Chance" employers.

- Reach out to employers and educate them on financial incentives, (Federal Bonding Program, Work Opportunity Tax Credit, and Welfare to Work), technical and soft skills provided by CI, and social and financial benefits to the state of reducing recidivism through employment opportunities.

- Promote flexible employer decisions about hiring previously incarcerated individuals
- Ask employers to pilot the hiring of a limited number of previously incarcerated individuals trained by CI.
- Promote collaboration with work-release programs as a transition between work inside the prison and work in the community.
- Promote post-release hiring with Prison Industry Enhancement Certification Program (PIECP) and non-PIECP partners
- Promote participation in job fairs

3. **Create meaningful partnerships**
- Work with Community Corrections to encourage the employment and retention of previously incarcerated individuals. Address any internal Department of Corrections policies that may discourage companies employing incarcerated individuals, such as frequency of workplace visits or the visibility of firearms and search procedures when supervising officers visit the workplace.
- Align with post release transitional work programs to include, non-profit, volunteer and community service organizations where participants can gain additional training and work experience.
- Collaborate with local WorkSource Centers, community colleges, Division of Vocational Rehabilitation, Division of Social Services, Social Security Administration, and/or Workforce Investment Boards for employment-related services.
- Engage volunteers from the community to act as intermediaries between CI Job training programs, employers, and previously incarcerated individuals.
- Develop volunteers as mentors who help prepare individuals in developing a resume, searching for appropriate jobs, completing the application process, and conducting mock interviews. There are many non-profit organizations involved in incarcerated individual reentry that can provide these valuable services.
- Involve the business community in the CI program. This gives the employers more information about a trained workforce and how to access it. This can be accomplished through:

- o Inviting employers to speak to staff, incarcerated and formerly incarcerated individuals, and board members
- o Participating in employer forums, workgroups, meetings, mock interviews, job fairs, and employment events.
- o Inviting employers to tour CI facilities and observe operations to see the training first-hand.

An example of a partner with mutually beneficial collaboration is the Workforce Development Partnership Training Program (WDPTP). In this program, multidisciplinary teams are provided with competency-based training and each team is committed to completing a workforce development project of benefit to their community. Several WDPTP teams were initiated by Correctional Industries programs and the training was credited with strengthening ties between correctional agencies, community partners and local businesses, both large and small.

4. Provide post-release transition planning

To create an individualized release plan, the following steps should be considered:

- Review risk/needs assessments
- Review job placement opportunities for incarcerated individuals including special populations
- Develop an employment-based transition plan
- Review internal DOC policies and work with individuals and transitional partners to facilitate job searches
- Encourage employers to meet with prospective employees through visits, mock interview fairs, via phone calls, or multi-media conferences before the individual is released
- Prior to release, provide the individual with a portfolio documenting their skills and experience. Portfolio should also contain all necessary documentation to obtain employment (e.g. copy of identification card/driver's license, social security card, birth certificates, resume, reference letter(s), copies of certificates/diplomas earned while incarcerated, performance evaluations where applicable, etc.)
- Provide releasing CI worker with open letters of introduction or work verification that include specifics on job skills, equipment used, safety and other job related training received.
- Provide individual with written information about prospective employers or employment service providers upon release from prison.
- Provide appropriate community resource information

5. Review employment laws

- Research employment laws in your state. There are usually a number of laws that govern the employment of people with criminal records.
- Research occupational licensure and certificate requirements

6.   Obtain compliance verification.

Compliance may be obtained through audits or assessments such as:

- Workforce Development Assessments
- Security Audits
- Safety and Environmental Audits
- PIECP Assessments
- ACA Audits
- Other assessments, i.e. DOL, education, ISO

Measurements

- Earnings rates
- Entered employment (number of released CI workers who are employed in the first quarter post-release)
- Time to employment (number of days)
- Employment retention (Number of CI workers who are still employed in the second and third quarters after release)
- Increased earnings
- Job placement rates
- Job retention rates
- Employment partnerships created and sustained
- Recidivism rate

Resources

(NCIA recognizes some of the resources cited do not align with the person first language updates. However, the resource provides pertinent information utilized in the development of this document)

Publications

Andrews, D. *The Psychology of Criminal Conduct and Effective Treatment.* What Works: Reducing Recidivism, 1995.

Angel, D., Harney, E. (1997). *No One is Unemployable: Creative Solutions for Overcoming Barriers for Employment.* Pasadena, CA: Worknet Training Services.

Blakely, L. (2010, Oct. 6). Why I Hire Former Convicts and Gang Members*. CBSNews.com.* http://www.cbsnews.com/news/why-i-hire-former-convicts-and-gang-members/

Bushway, Shawn, and Apel, Robert**.** *"A Signaling Perspective on Employment-Based Reentry Programming,"* 2012 American Society of Criminology, Criminology & Public Policy, Volume 11, Issue 1.

Bushway, S., and P. Reuter**. "**Labor Markets and Crime Risk Factors**"** Chapter 6 in L.S. Sherman, D. Gottfredson, D. MacKenzie, J. Eck, P. Reuter, and S. Bushway, *Preventing Crime: What Works, What Doesn't, What's Promising* (Washington, D.C.: U.S. Department of Justice, Office of Justice Programs, 1997), pp. 6–17.

Council of State Government's Justice Center. (2013). *Integrated Reentry and Employment Strategies: Reducing Recidivism and Promoting Job Readiness* http://csgjusticecenter.org/reentry/the-reentry-and-employment-project/integrated-reentry-and-employment/

Houston, M., '*A Report from the Office of Correctional Job Training and Placement,* National Institute of Corrections, 2001. https://info.nicic.gov/correctional-industries/resources/articles-and-reports

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Rollo, N. (1988) *Ninety-Nine Days and a Wake Up: A Post Release* (2nd Ed.)*.* Garland, TX: Open, Inc.

Taylor, P. Elizabeth (2010). Employment Retention: A Question of Public Safety. Corrections Today. American Correctional Association.

U.S. Department of Justice. 2010. *Career Resource Centers: An Emerging Strategy of Improving Offender Employment Outcomes.* Washington, DC: National Institute of Corrections.

U.S. Department of Justice. 2010. *How to Build Partnerships with Employers and Market Offender Workforce Development Initiatives.* Washington, DC: National Institute of Corrections.

U.S. Department of Labor. *Veterans Incarcerated Workbook.* Washington, DC: Veterans' Employment and Training Service/Incarcerated Veterans Transition Program.

Websites

The Conference Board. *Are They Really Ready to Work? Employers' Perspectives on the Basic Knowledge and Applied Skills of New Entrants to the 21st Century U.S. Workforce.* https://files.eric.ed.gov/fulltext/ED519465.pdf

Funded by the Second Chance Act of 2008, and launched by the Council of State Governments Justice Center in 2009, the National Reentry Resource Center provides education, training, and technical assistance to states, tribes, territories, local governments, service providers, non-profit organizations, and corrections institutions. http://csgjusticecenter.org/nrrc/

https://csgjusticecenter.org/wp-content/uploads/2021/02/REENTRY_MYTHBUSTERS.pdf
Re-entry Myth Busters

https://www.ojp.gov/ncjrs/virtual-library/abstracts/after-prison-roadblocks-reentry-report-state-legal-barriers-facing
After Prison: Roadblocks to Reentry

http://www.exoffenderreentry.com/
Excellent website to purchase books and pamphlets directed at reentry

https://www.lac.org/major-project/national-hire-network
National H.I.R.E. Network

www.jist.com
Jist Publishing has a selection of books and videos on career and job search topics.

Tools

Federal Bonding Program
http://bonds4jobs.com/program-background.html

Labor Market Information
Given the rapidly changing nature of the job market, correctional industry directors must have an understanding of labor market information, and know how to access and use Labor Market (LMI) resources in support of their program's objectives. LMI is essential for identifying industries in demand and developing relationships with employers. While LMI is very useful, it is extremely perishable. What was true yesterday may not be true today. Labor Market Information Worksheet developed by the National Institute of Correction website provides step-by-step guidance with links to relevant websites.

One Stop Career Centers
One-Stop Career Centers provide a variety of no-cost services to job-seekers which are intended to prepare them for the world of work; find suitable job openings; increase

occupational skills; increase earnings; and promote job retention. The centers provide core services which are intended to help persons become employed as quickly as possible. These include job search and placement assistance and labor market information. For those who are unable to find a job through core services or need additional help to become self-sustaining, the centers provide intensive services such as counseling and career planning, comprehensive assessments, and development of individual employment plans. Centers also provide support services such as transportation, childcare, house and needs related payments. Call toll-free 1-877-US2-JOBS (1-877-872-5627) www.servicelocator.org

National and State Specific Labor Market Information
https://www.bls.gov/

Work Opportunity Tax Credit
http://www.doleta.gov/business/incentives/opptax/

Component: Maintain Highest Level of Security Practices

Definition

Sound security policies provide standardized procedures for a variety of security systems that, when properly utilized, are designed to minimize vulnerabilities in the workplace. Maintaining the highest level of these practices in a Correctional Industries (CI) setting helps to create an environment that safeguards the life, health, and personal safety of staff, incarcerated Individuals and the public while at the same time providing the necessary education, work, and rehabilitative opportunities that enable an incarcerated Individual to be productive while incarcerated and prepare for successful reentry to the community.

Security practices in a CI encompass policies and procedures that are in alignment with the institution's policies and procedures. A collaborative environment with open communication between CI and the institution is integral to implementing security and personal safety procedures. CIs with the strongest security practices create a culture that understands and prioritizes the importance of security and programming to run an effective, safe, secure and productive correctional industry program within an institution.

Rationale/Benefits

The CI workplace differs from the typical workplace in that the operation exists in a correctional environment and the workforce is made up of civilian staff and offenders. It is imperative that the overall security operations have open channels of communication and a continuity between CI and the institution, creating a well-balanced 'security and personal safety mindset' for staff and incarcerated individuals. In a CI environment, security and personal safety remain a top priority, while ensuring production requirements and quality standards are met.

It is essential that CI's have a robust safety program to protect civilian staff and incarcerated individuals from workplace accidents and injuries.

Practices

Please note that the following best practices may need to be modified by each CI based on departmental regulations, institutional policies and contingent upon other factors including, but not limited, physical plant design, level of security, location of plant, level of programs, cost of implementation and state/local statutes. The following best practices have been shown by research and/or experience to produce optimal results for CI programs, however, it is recognized that not all-practices cited can be implemented throughout all CI operations.

1. **Follow Sound Security Control Policies**

    Policies and procedures are necessary to ensure strict security practices. In addition to standard operating procedures, CI safety and security policies must follow the institution's policies and departmental procedures. Operation-specific policies should be developed in cooperation with the institutional security staff, as applicable. If a policy or procedure is restricted, staff must ensure that it is not distributed to the public or incarcerated individuals. Unrestricted policies should be distributed to staff and incarcerated individuals to ensure that they are understood and followed. Policies should be reviewed annually.

    a) **Tool Control Policies**

    Should ensure proper classification, control and accountability for all tools. Tools are typically classified in groups that identify their potential to cause major bodily harm, effect an escape or facilitate a security risk. These classifications utilize a scoring system, such as A, B or C or I, II or III. These classifications also identify which custody level, incarcerated individual, or program can use which tools with or without direct supervision.

    A tool control officer or other staff should be assigned to the program with responsibility for:

    - Maintaining a master inventory and sub inventories of individual tool boards, boxes, cabinets, vehicle tool kits, etc.

    - Receipt of new tools and disposal of worn-out/broken/excess tools, ensuring there are safeguards to prevent delivery of tools throughout the institution.

    Tools maintained within the operation should be limited to those used on a weekly basis. Seldom-used tools should be inventoried and kept in a secure location.

    At a minimum, supervising staff should inventory tools at the beginning and end of all shifts. Security staff should conduct a full audit and comprehensive review of the tool room not less than every six months.

    All contractors and temporary staff working inside the operation should receive written instructions outlining their responsibilities regarding tool control. In addition, their tools should be inventoried at the beginning and end of each work day, or as required by institutional policy.

    b) **Key Control Policies**

    Should provide control and accountability for all keys and locking systems and establish key control and inventory procedures that restrict distribution. Policy should also include procedures for loss, breakage and failure to return keys. Keys to

all areas within the CI should be readily available by custody in the event of an emergency.

A key control officer or other staff should be assigned to the program with responsibility for:

- Maintaining a key inventory

- Issuing keys to staff depending on their area of responsibility

- Controlling and maintaining locking devices

Daily operational keys should be issued from a secure control system (staffed or mechanical) and be required to be turned in daily. Security keys should never leave the institution and all keys should be accounted for at the beginning and end of each shift. Security keys should never be handled by incarcerated individuals.

NIC recommends staff not carry personal keys in their possession and that a procedure for the storage of personal staff keys be developed. CIs should participate in an institutional policy review regarding the storage of personal keys to see if these recommendations can be implemented.

c) **Chemical Control Policies**
Should ensure that all hazardous and/or caustic materials are kept in a separate storage area and locked at all times. A perpetual inventory should be maintained and materials should be issued only by designated staff.

Chemicals should only be issued to incarcerated individuals in the quantity required to accomplish the immediate task. Unused chemicals should not be allowed in work areas at the end of the workday and should be inventoried and secured before incarcerated individuals leave the work area. Label all hazardous material containers/dispensers to identify contents. Safety Data Sheets (SDS) should be maintained and available for all hazardous materials.

d) **Contraband Control**
CI's should be trained in and follow institutional policies on identification, search and disposal of contraband. Policies regarding allowable items for incarcerated individuals to have in the operation should be understood by CI staff. Custody and CI staff should be diligent in performing constant checks for contraband, particularly in industries with high rates of availability to receive and distribute contraband. CI staff should be accountable for approved personal items brought on site and maintain control of those items.

- All contractors working inside the CI operation should receive written instructions outlining their responsibilities regarding contraband control.

- Incarcerated workers should not have access to staff uniforms or personal clothing at any time. Officer uniforms should be issued from a location outside of the CI operation. Where uniforms are manufactured in a CI operation, incarcerated individuals should never have access to a completed uniform. CI supervisors and staff should wear clothing that distinguishes them from incarcerated workers.

2. Define Policy for Incarcerated Individual Assignment and Behavior

Most incarcerated Individuals who work in CI have access to tools, manufacturing equipment and/or warehousing/trucking equipment. Proper incarcerated Individual assignment to CI is an important security factor. Work with the institution to define policies for identifying and screening incarcerated Individuals for CI programs through classification, institutional behavior, group compliance, educational completion, etc.

a) Written Procedures
Institutional assignment procedures should define who is eligible to work in CI based on institutional policy and set minimum standards. Standards ensure incarcerated Individuals have maintained acceptable behavior over a set period of time, as well as a commitment to bettering themselves.

b) Screening
Institutional risk reviews should be conducted prior to program assignment. The screening process should include criminal history, victimology, history of violence, infraction behavior, medical/mental health concerns, documented behavior observations and gang affiliation.

c) Incarcerated Individual Behavior Agreement/Contract
Incarcerated Individuals working or training in CI should sign an Incarcerated Individual Behavior Agreement. This provides incarcerated Individuals with clear expectations and standards of behavior necessary to retain their job.

d) Allowable items
CI operations should clearly define allowable items for incarcerated Individuals. The list should be reviewed and updated annually by the institution. This sets expectations for a professional and uncluttered work environment, promotes effective searches and helps reduce contraband.

3. Promote Staff and Incarcerated Individual Personal Safety
Continuing education, training, coaching and modeling ensure staff are exposed to the knowledge and tools necessary to provide the highest level of personal safety and security in the CI setting. The American Correctional Association (ACA) recommends 120 hours of pre-service training and an additional 80 hours of job specific training. Safety and security training should be ongoing and frequent.

a) **Safety programs**
Are developed to ensure safe and healthful working conditions for all staff and incarcerated Individuals. The program should provide detailed information on the following:

- Protecting staff and incarcerated Individuals from job-related injuries and health impairment

- Preventing accidents and fires

- Planning for emergencies and emergency medical procedures

- Identifying and controlling physical, chemical, and biological hazards in the workplace

- Communicating potential hazards to staff and incarcerated Individuals

- Assuring adequate housekeeping and sanitation

b) **In addition to the policies, procedures and practices identified above, CI staff should be trained in:**

- Incarcerated Individual manipulation, staff complacency and overfamiliarity with incarcerated Individuals.

- Situational Awareness

    - Remaining alert and aware of the environment around them

    - Identifying what constitutes irregular behavior and warning signs of incarcerated Individual disturbances

- Effective communication with incarcerated Individuals such as utilizing motivational interviewing techniques.

c) **Staff Equipment**
Provide staff with necessary safety equipment to supervise incarcerated Individuals. This will be institution or state specific and may include radios, panic buttons, pepper spray, and others.

- CI Staff should have radios programmed with a personal safety feature and tied into the institution's personal alarm notification system.

- Plants should have a public address system for mass communications, as applicable.

- CI staff should be issued a personal alarm.

d) **Incarcerated Individual Training**

Ensure that incarcerated Individuals receive basic safety training prior to being allowed to work on the operation floor. Training should include hazardous workplace identification and reporting and mandatory training modules (i.e. personal protective equipment (PPE), fire extinguisher, blood borne pathogens, etc.). Safety training on specific equipment should occur prior to operation. Safety awareness training should be conducted frequently.

e) **Personal Protective Equipment (PPE)**
Staff and incarcerated Individuals should be provided the necessary safety equipment for all assignments.

f) **Safety Inspections**
Staff should conduct comprehensive, documented safety inspections. An inspector (non-operation staff) should perform a safety audit. Violations posing an imminent threat should be corrected immediately. A plan should be developed to mitigate other documented deficiencies within 30 days.

g) **Staff Accountability**
Maintain compliance with institutional staff accountability procedures.

h) **Implement Sound Occupational Health and Safety Programs**
It is mandatory that CI's have a robust safety program to protect staff and incarcerated Individuals. CI's are responsible for providing a safe and healthful workplace and must comply with all applicable safety standards.

All staff are responsible to conduct their work in a safe manner, make recommendations to improve safety and health, notify supervisors of any accident involving injury, illness or near-miss. Participate in safety awareness training weekly and formal safety refresher training semi-annually.

i) **Safe Staffing Models**
The process for determining adequate staffing for a CI operation should consider physical plant design, level of security, location of plant, level of programs and activities, equipment/tools used, and state and local standards and statutes to recommend a specific officer and CI staff-to-incarcerated Individual ratio.

4. Set Standards for Incarcerated Individual Counts and Controlled Movement

a) **Counts**
Incarcerated Individuals should be accounted for at all times. Per institutional policies and procedures, official and unofficial counts are required at set intervals during the day. In addition, situational (unofficial) counts are taken as circumstances dictate. Report and document unaccounted-for incarcerated Individuals immediately.

b) Additional Counts

CI programs may institute additional counts based on staff to incarcerated Individual ratio, custody level and the nature of the work or training. Many CIs have outside work crews. The general location of all outside work crews should be known by the supervisor and institution's control center at all times. Official and unofficial count times may still apply. Staff supervising outside work crews should have a current picture ID of each incarcerated Individual, assigned to their supervision, with them whenever they are out of the institution.

c) Defined Areas/Controlled Movement

Develop procedures to define all access areas for incarcerated Individuals, as well as prohibited access. Post clear signage limiting access to restricted areas. For larger operations, clearly state defined areas in procedures and incarcerated Individual job descriptions. Document and report incarcerated Individuals outside of assigned areas.

d) Staff Escorts

Develop procedures for incarcerated Individuals leaving the CI operation location outside of normal movement. Ensure that incarcerated Individuals are formally turned over to the appropriate staff prior to leaving the operation or when they arrive at the unit/pod, depending on institutional policy, and that the incarcerated Individual location is updated upon arrival and departure.

5. Develop Incarcerated Individual Entry/Exit Procedures

a) Check-in/out Procedures

Incarcerated Individuals arriving at or leaving a work location should be checked in/out with a photo ID, work roster verification or electronic scanning.

b) Searches

CI staff should be trained in the proper method to perform routine searches of incarcerated Individuals whenever entering or departing their work area in compliance with Institutional policy and Prison Rape Elimination Act (PREA) guidelines. Written policy should clearly state the frequency of these searches and define gender-specific search procedures.

c) Metal Detectors

Metal detectors should be used in operations where feasible.

6. Develop Loading Dock Procedures

Delivery trucks pose a high risk for escape and receipt of contraband. Staff should check all incoming trucks and materials for contraband and order accuracy. Custody and/or CI staff should thoroughly search all outbound trucks. Use of technology such as heartbeat monitors is recommended for high traffic operations.

a) **Supervision**
Incarcerated Individuals should be under direct supervision at all times during the loading / unloading process.

b) **Material Search**
Staff should conduct a search of all materials upon receipt. The use of an x-ray machine or other technology is recommended for material receipt, where feasible, with the potential for hidden contraband.

c) **Truck Driver Entry/Exit Procedures**
All delivery trucks should be subject to search upon entering and exiting the premises or facilities.

7. **Conduct Security Checks and Implement Vulnerability Assessments**

a) **Conduct Routine Security Checks**
In addition to CI policies and procedures regarding key, tool and movement control, routine security checks of all areas by CI staff are essential to providing security within the CI operation.

- CI supervisors should perform routine checks to ensure that all policies are being enforced. Custody staff should also observe the operation and routinely conduct security checks.

- CI staff should regularly conduct thorough reviews/searches of all areas of the operation.

- Develop written procedures for outside work crews. Custody staff and CI management should randomly spot check outside work crews, documenting each contact.

- Conduct K-9 searches, if available, at each CI operation periodically.

b) **Implement Security/Vulnerability Assessments**
Security audits are tools that identify and isolate possible security risks. CI programs should be included in the DOC's security and performance audits. In addition, a thorough security review of the CI should be conducted in conjunction with the DOC at least annually to review adherence to policies, procedures, standards and best practices. It is imperative that all security deficiencies are corrected timely and refresher training on policy is provided if needed. An audit should identify any weaknesses, deficiencies and areas of vulnerability.

- Train selected CI staff as security auditors and include them on DOC security auditing team if possible. Utilize them to conduct internal security audits of operations.

- Create a security inspection instrument for operations in conjunction with the institution.

- Conduct unannounced security inspections routinely.

8. Practice Emergency Drills

In conjunction with custody staff, CI's should actively participate in all drills associated with emergency procedures. Practicing drills is important for staff and incarcerated Individual safety in an emergency. Drills are a means of pointing out deficiencies in the plan, testing staff knowledge and equipment, practicing response, and building confidence with staff and incarcerated Individuals. All staff should be trained, prepared and know their responsibilities in the event of a crisis. Types of drills include but may not be limited to Fire, Man-down, Fight/Riot and Natural Disasters.

9. Review Physical and Working Design of Plant

The layout, design, location within the institution, age and level of maintenance of CI operations have a direct impact on the level of security.

a) Cameras, Alarms and Mirrors

Where possible, cameras and door alarms should be installed throughout all CI operations and monitored. Doors leading to the outside of the plant should have an audible door alarm that notifies CI and institutional staff when a door is opened without staff approval. Evaluate camera systems and coverage often to ensure blind spot coverage. Convex mirrors should be used to provide additional coverage for corners and hallways.

b) Blind Spots/Line of Sight

- **Equipment Placement** - Care should be taken in the initial layout of the operation to ensure clear line of sight whenever possible. Line of sight should be taken into consideration when designing/ordering new equipment.

- **Material Storage** - It is easy to create a blind spot with moveable boxes. Boxes/pallets should be stacked so they do not interfere with the line of sight whenever possible. Install cameras and mirrors where shelving interferes with line of sight.

- **Clutter** - CI's should limit the supply of material, equipment and tools in the operation to the minimum amount needed. Store excess material, equipment and tools in a secure location outside of the operation. Keep operation clean and aisles clear at all times.

c) Incarcerated Individual Boundaries

- **Signage** - Should be used to clearly delineate boundary areas for incarcerated Individuals. Do not allow incarcerated Individuals to

freely walk the operation or enter the tool room or office areas without a staff member present.

- **Incarcerated Individual Stations** - Do not allow incarcerated Individuals to lock desks or cabinets. Incarcerated Individuals should not be allowed to create "comfort stations" with personal possessions, photos, magazines and/or food.

- **Telephones** - If incarcerated Individuals have access to telephones as part of their regular job duties, where appropriate, lock the telephones with a passcode or require the incarcerated Individual to go through a main switch board. Telephone printouts should be closely monitored for unauthorized use by incarcerated Individual workers. Such telephones are preferably equipped with monitoring and recording capability.

- **Computers** - Develop written policy/procedures that allow incarcerated Individual use of computers and computer technology as part of their work assignment. Policy should define incarcerated Individual internet access, if applicable. Keep all computers or equipment with external access (fax, copier and modem) in secured areas. An audit of computers should be conducted regularly by knowledgeable staff to prevent abuse or unauthorized use of systems.

10. Evaluate Waste Removal Procedures - A perpetual inventory of all hazardous materials in each operation should be maintained at the point of storage.

a) **Scrap Metal**
For CI programs located inside facilities and depending on custody level, all waste product that can be made into a weapon must be collected, secured and disposed of in secure waste bins at the end of every shift. Make sure all scrap metal is accounted for and secured prior to incarcerated Individuals leaving metal plants. Secure waste bins may only be emptied in areas not accessible by incarcerated Individuals. Incarcerated Individual involvement in this activity should be supervised.

b) **Sharps Containers**
Strategically place locked sharps containers in areas for disposal. Inventory and dispose of sharps frequently. Incarcerated Individual involvement in this activity should be supervised.

c) **Waste Clutter**
Work areas should remain clean and clear of all waste and debris.

d) **Trash Storage and Removal**
Waste bins should be located throughout the work areas and emptied daily. Dispose of any waste that could be made into a weapon in a secure waste bin.

e) **Hazardous Waste**
Disposal of hazardous waste should be consistent with OSHA codes. All hazardous materials issued to incarcerated Individuals or drawn by staff from a point of supply and put in containers should be labeled to identify contents.

11. Develop and Maintain Institution/CI Partnership

Developing a cooperative partnership with the institution centered on respect, collaboration and proactive communication is imperative to ensuring security of the incarcerated Individuals and safety of all staff. The CI and the institutional staff must work together and respect each other to accomplish all objectives.

a) **Institutional Leadership**
The CI operation manager(s) and the institution's head and custody managers are the leaders in setting the tone of cooperation and respect. The CI operation manager should attend appropriate security and safety related institutional meetings led by the warden/superintendent or designated staff.

b) **Building Relationships through Communication**
Communication is the key to building a strong relationship between the institution and CI staff.

c) **Training**
CI staff should attend orientation and required DOC training with department staff.

12. Obtain compliance verification in conjunction with the DOC or through external sources.

a) PREA Audits

b) Security Audits

c) Safety and Environmental Audits

d) ACA Audits

Measurements

- Employee Turnover
- Loss Time Worked

- Employee Accidents - OSHA 300 Log
- Assaults on Staff
- Security Audit Incidents
- Safety Audit Incidents

Resources

Websites

https://www.aca.org/ACA_Member/ACA/ACA_Member/Standards_and_Accreditation/
ACA Standards

https://www.osha.gov/dcsp/compliance_assistance/sampleprograms.html
OSHA Safety Program Samples

https://www.osha.gov/sites/default/files/2018-12/fy15_sh-27666-sh5_SituationalAwareness.pptx
OSHA - What is Situational Awareness?

https://www.corrections1.com/officer-safety/articles/how-active-reactions-improve-situational-awareness-in-corrections-SQlpQhdcR07oLlVB/
Corrections1 Situational Awareness

TOOLS

NIC Staffing Analysis Clearing House – Includes NIC's 9-Step Staffing Analysis flow chart - http://correction.org/staffing-analysis-clearinghouse/

Prison Staffing Analysis: A Training Manual with Staffing Considerations for Special Populations - https://nicic.gov/prison-staffing-analysis-training-manual-staffing-considerations-special-populations

ACA Accreditation Policy and Procedure Manual

https://aca.org/common/Uploaded%20files/Standards/Accreditation%20Manual%20-%20Aug%202020%20Final.pdf

Sample Behavior Agreement on next page

CORRECTIONAL INDUSTRIES
WORKER BEHAVIOR AGREEMENT
<mark>SDD/CDC-TUMWATER WAREHOUSE</mark>

WORKER NAME/DOC#:	
DATE OF HIRE:	

GENERAL

CIVILITY & HARASSMENT FREE WORKPLACE

Courtesy and respect are the hallmarks of any successful endeavor. Every worker, staff member, visitor and/or person(s) that come into contact with a Correctional Industries program is deserving of courteous interaction(s) and a harassment free environment. Negative behavior or harassment whether verbal, physical, by gesture or by lack of an action is categorically unacceptable and subject to the appropriate sanctions. **Sanctions could range from suspension, demotion, reduction in pay and/or include termination from employment with Correctional Industries.**

DRESS STANDARDS

All CI workers are expected to report to their work assignment presentable and reasonably well groomed. Clothing worn will be clean and in good repair. All workers will report to work dressed in DOC state issued clothing. Personal clothing is not authorized in Correctional Industries program areas.

JOB ASSIGNMENTS & EXPECTATIONS

CI workers will be hired/assigned for a specific job, but are expected to perform duties as needed in any area of Correctional Industries. Available schedules, transfers and other factors make it necessary to temporarily place workers into a different department from time to time. Assignments will only be given by CI/DOC supervisors. **Workers are expected to follow all lawful directives given from any CI supervisor or DOC staff member.**

COMPENSATION

All new CI workers will be assigned a minimum (30) day probation and start at the base level compensation rate. After satisfactorily completing the initial probation period, workers will become eligible for pay increases per DOC Policy (710.400).

PROBATION & PLACEMENT

At the end of the (30) day probation period, workers will be reviewed for either permanent placement, extended probation or termination. **Good attitude, the ability**

to follow directions and complete assignments is key for successful employment with CI. Unsatisfactory performance or violation of any DOC/CI Policy or Rule is grounds for disciplinary action(s) up to and including termination.

RULES/GUIDELINES

1. I will be in my assigned work area at all times.
2. I will wear my ID tag at all times, unless otherwise authorized by my supervisor.
3. I will not engage in horseplay at any time.
4. I will wear all safety/protective equipment as required.
5. I will follow lawful directives/instructions from all CI/DOC staff.
6. I will not take personal property to or from work, including clothes/shoes, radios, headphones, newspapers, pictures, magazines, personal letters, or any other personal items that are not listed on the CI workplace Allowable Items List (AIL).
7. I will turn in any money found, including change or currency to my supervisor(s).
8. I will not touch or handle any firearm, explosives/devices and if found will report it to my supervisor(s) immediately.
9. I will not hold conversations with non-DOC personnel unless it is work related and necessary to complete assigned duties.
10. I will not smoke/chew or possess tobacco products or related paraphernalia at anytime.
11. I understand that I will be returned to the institution immediately and subject to disciplinary action(s) for any verbal or physical altercation(s) occurring while working for CI (Offsite).
12. I will not use telephones or any other electronic communication devices unless authorized and/or required by job assignment.
13. I understand that obscene gestures or language will not be tolerated and I will not engage in any type of sexual activity with anyone.
14. I will not misuse, deface or destroy state property, machinery, tools, materials or finished goods.
15. I will not be under the influence of any substance that is not prescribed by the appropriate medical authority while working for CI.
16. I understand that I am not authorized to use computers unless it is job related and part of my assigned duties.
17. I will only use designated/authorized restrooms.
18. I will not enter any restricted area unless directed to do so by an authorized CI/DOC staff member.
19. I will not enter into a vehicle cab or boat unless directed by a CI/DOC staff member.
20. I will report all safety violations and/or hazards to my supervisor(s) immediately.
21. I will report all personal injuries that occur while working for CI to my supervisor immediately.

22. I will report to my supervisor if I am unable to continue to work due to illness.
23. I will team up with another crewmember when I have to move or lift any large/heavy items or equipment.
24. I will notify my supervisor immediately any damage that I do to property will working for CI.
25. I will only use the proper Material Handling Equipment (MHE) for each particular job.
26. I will only use tools and equipment that I have been trained on and authorized to operate.
27. I will return all work related equipment and tools to my supervisor prior to return to the institution.
28. I will not take, remove or relocate any item/property for any reason, unless necessary to complete my assigned tasks.
29. I will not engage in any activities other than work (i.e., playing cards, reading books or magazines or work on personal projects, etc…) while working for CI.
30. I will consume food/beverages in designated areas only.
31. I will not violate any DOC/CI Policy while working for CI.

CI BUS TRANSPORT RULES

- Workers are to board the bus in an orderly fashion.
- When boarding the bus, workers will sit in the designated crew seating area and leave the last seat row open for staff.
- Communication on the bus will be done in a quiet conversational tone.
- Workers will not interact or communicate with anyone outside the bus.
- Workers will remain seated while the bus is in operation.
- Workers will follow all directives given by CI/DOC staff during transport.
- Upon arrival at the CI Warehouse/CCCC, workers will remain seated until directed by staff to unload.
- Workers will unload from the bus in an orderly fashion.

I hereby acknowledge that I have read and understand all the rules and guidelines that have been outlined in this CI Worker Agreement.
WORKER NAME/DOC#(PRINT):   DATE:
WORKER SIGNATURE: DATE:
SUPERVISOR SIGNATURE: DATE: