

ASSESSING JAIL OPERATIONS & ROOT CAUSE ANALYSIS

New Sheriffs School
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ASSESSING JAIL OPERATIONS

Describe the importance, benefits, and steps for implementing an internal jail assessment process.

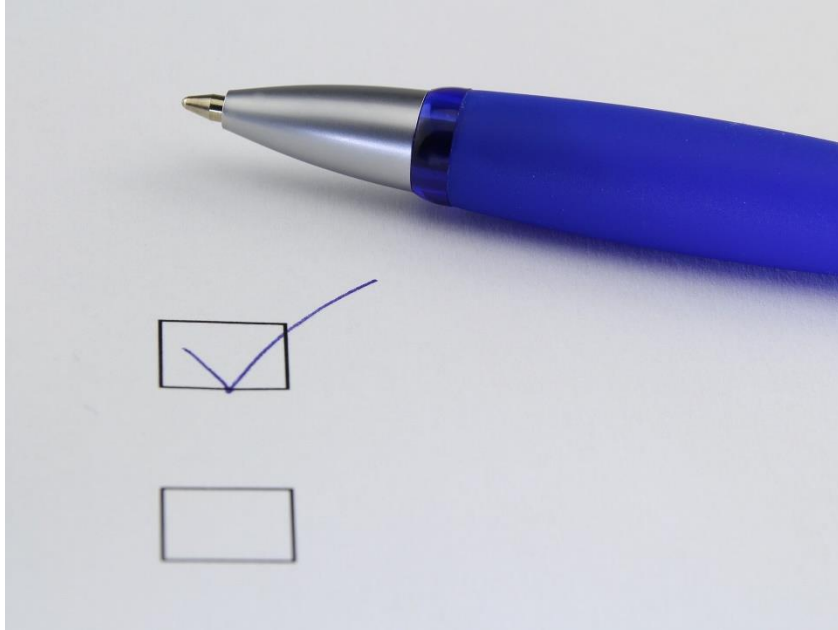
Apply a six-step internal assessment process for a jail function.

INTERNAL ASSESSMENT

- Jail standards
- Risk management
- Policy and procedure
- Staffing
- Inmate behavior management
- Fire, safety, and sanitation



BENEFITS OF AN ONGOING INTERNAL ASSESSMENT PROCESS



- Monitor compliance with standards and legal requirements
- Monitor staff compliance with policy and procedure
- Determine if you are meeting established goals
- Identify areas needing change

ASSIGN SOMEONE TO COORDINATE PROGRAM (COMPLIANCE OFFICER)

- Ensure reviews are completed and corrective action taken when necessary
- Track issues, concerns, and trends
- Provide information on issues requiring immediate attention
- Provide information for strategic or budget planning efforts

SIX STEP INTERNAL ASSESSMENT PROCESS



ASSESS PROCESSES AND OUTCOMES

Assessing Processes:

- Have you established effective practices and are you implementing the practices?

Assessing Outcomes:

- How well are your processes working – are they making a difference?

Step 1: Identify the Practice to be Assessed

**PHYSICAL PLANT
ADMINISTRATION/MANAGEMENT
PERSONNEL
BOOKING AND RELEASE
SECURITY
EMERGENCY RESPONSE
SANITATION PRACTICES
FOOD SERVICES
HEALTH CARE
INMATE SUPERVISION
INMATE BEHAVIOR MANAGEMENT**



SECURITY

- ▶ For each function, identify the specific activities that need to be monitored
 - ▶ Example: Security

What security practices and/or activities should we monitor?

PRACTICES TO BE ASSESSED

“FACILITIES SHALL PROVIDE AN INMATE GRIEVANCE PROCEDURE TO ALL INMATES. THE GRIEVANCE PROCEDURE MUST INCLUDE AT LEAST ONE (1) LEVEL OF APPEAL.” MINIMUM JAIL STANDARD 1400-01.05(12)

What practices should be in place to address this standard?

GRIEVANCE PRACTICES TO BE ASSESSED

“Facilities shall provide an inmate grievance procedure to all inmates. The grievance procedure must include at least one (1) level of appeal.” Minimum Jail Standard 1400-01.05(12)

- If that practice is in place and being adhered to, what would your expected outcome be (what should be occurring as a result of this practice)?

ASSESS GRIEVANCE PRACTICES

“Facilities shall provide an inmate grievance procedure to all inmates. The grievance procedure must include at least one (1) level of appeal.” Minimum Jail Standard 1400-01.05(12)

- What policies and procedures, training, handbooks, inspection checklists, etc., should be in place to meet this practice.

IDENTIFY PRACTICES TO BE ASSESSED

What practice should be in place?

**What would your expected outcome be
(what should be occurring) because of
this practice?**

**What policy and procedures, training,
handbooks, inspection checklists, etc.,
must be in place to meet this practice.**

STEP 2: HOW WILL YOU ASSESS PRACTICES?

Review

Audit

Inspect

Observe

Interview

STEP 2: HOW WILL PRACTICES BE ASSESSED?

Review

Audit

Inspect

Observe

Interview

STEP 2: ASSESS PRACTICES THROUGH INSPECTIONS

Review

Audit

Inspect

Observe

Interview

STEP 2: OBSERVING PRACTICES

Review

Audit

Inspect

Observe

Interview

STEP 2: INTERVIEW STAFF TO ASSESS PRACTICES

Review

Audit

Inspect

Observe

Interview

STEP 3 - DETERMINE FREQUENCY OF THE REVIEWS

Daily Weekly Monthly Quarterly Semi-Annually Annually



FREQUENCY MAY BE DETERMINED BY STANDARDS

TCI 1400-1-.07(10)

Facilities shall develop a written policy and procedure to require that firearms, chemical agents, and related security and emergency equipment inventoried and tested at least quarterly to determine the condition and expiration dates. This written policy and procedure shall provide for regular inspection of ABC type fire extinguishers, smoke detectors, and other detection and suppression systems.

STANDARDS MAY DETERMINE FREQUENCY

Annually

- Policies & procedures
- Review a written and graphic evacuation plan

Quarterly

- Fire drills for all staff members on every shift

Weekly

- Inspection of all security facilities
- Facility administrator or designee shall visit the facility's living and activity areas

Daily

- Sanitation and safety inspections
- Inspect all food service areas

STEP 4: ASSIGN RESPONSIBILITY FOR CONDUCTING THE ASSESSMENT

The reviewer may have:

Administrative responsibility

Special qualifications

Staff development

Meal preparation
and diets

Inmate discipline

Classification

Staff training

Emergency plans

Maintenance

Management of
pharmaceuticals

Evacuation plan

Policies and
procedures

STEP 5: ESTABLISH A SCHEDULE FOR THE REVIEWS

Review day-to-day operations

SCHEDULING REVIEWS ALLOWS YOU TO:

- Hold assigned staff accountable for completing the reviews
- Stagger the reviews of the course of the week/month/year

ASSIGNED STAFF ARE RESPONSIBLE FOR:

Getting the reviews completed

Documenting the results of the reviews

Initiating whatever corrective action may be appropriate to the situation

STEP 6: ESTABLISH A PROCESS TO CORRECT IDENTIFIED DEFICIENCIES

Develop a corrective action plan that includes:

- ✓ Description of the deficiency
- ✓ Description of the measures necessary to correct it
- ✓ Persons responsible for completing corrective measures
- ✓ Expected completion date

ONGOING ASSESSMENT OF JAIL OPERATIONS

Develop a system to review jail operations on an ongoing basis to:

- Assess compliance with standards and legal requirements
- Assess the degree to which policies and procedures are being followed
- Detect potential problems before they become major concerns
- Track the jail's progress on key performance indicators

Maintain control over your jail's operation and be able to address issues before they become major problems

ROOT CAUSE ANALYSIS

Why should you engage in it?

What are the processes?

What is needed to govern the process?

How to implement and overcome barriers.

Did it work?

WHAT HAPPENED?



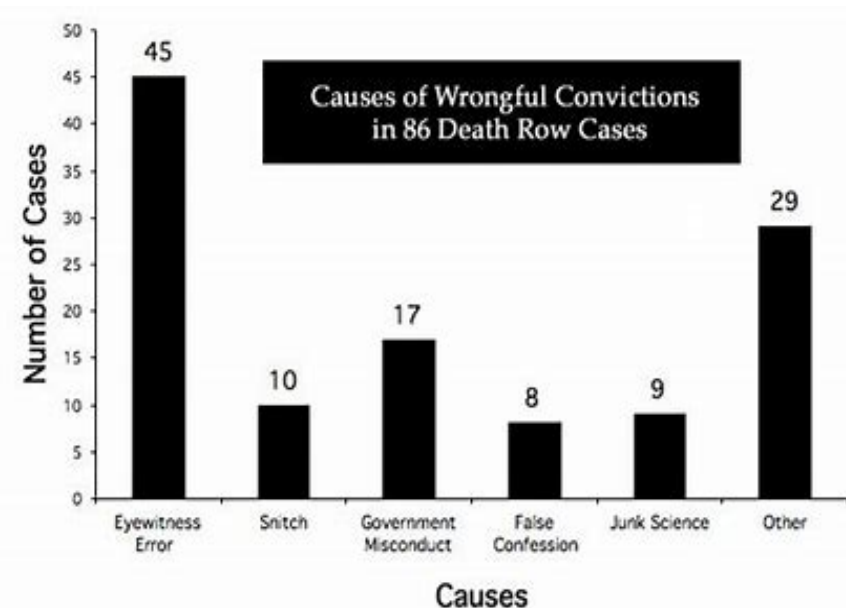
“[B]lame and fault have never answered the big questions, such as ‘How did this [error] happen in the first place?’”

(Ritter, Testing a Concept and Beyond: Can the Criminal Justice System Adopt a Non-blaming Practice?)

YOU TELL THEM...

Criminal justice practitioners “...rank and file have been taught throughout their careers that silence on the matter [of errors] is usually the safest policy.”

(Doyle. Learning from Error in American Criminal Justice. 2010)



THE OBJECTIVE OF RCA, INCLUDING...

“The organization is:

- Informed about current knowledge of its field;
- Promotes the reporting of errors and near misses;
- Creates an atmosphere of trust in which people are encouraged to report safety-related information;
- Remains flexible in adapting to changing demands (by, for example, shifting from steeply hierarchical modes into “flatter” team-oriented professional structures); and
- Willing and able to learn about and adjust the functioning of its safety system.”

(Reason, 1997)

RISK MANAGEMENT IN JAIL

“... jail risk management comes down to three key objectives:

- (1) Protecting the safety of the community, inmates, jail personnel and visitors;
- (2) Preventing property damage and loss; and,
- (3) Preserving inmate rights.

Ultimately, the challenge is to achieve the first and second objectives without compromising the third.”



Events that may require you to conduct an RCA might include:

In-custody death or serious self-harm.

Escape

Inmate disorder

Trends of uses of force

Significant increases in mental health population and limited housing options

Uses of force increase on mentally ill inmates

Introduction of contraband

Compromised security systems

Increases in mandatory overtime

Physical plant issues

Staff sexual misconduct

WHY CONDUCT ROOT CAUSE ANALYSIS?

Establishes commitment to excellence through objective reviews of serious incidents, examination of emerging issues, and development and implementation of change strategies.

Establishes a culture of “..non-blaming, forward thinking, all stakeholder approach to criminal justice outcomes.” Doyle, 2014.

Role modeling leadership expectations.

Identifies system failures.

BARRIERS AND CHALLENGES

No leadership commitment

Local political environment

No commitment to “self critical” analysis

Culture of “blaming”

Lack of policy

Fear of findings/outcomes

Lack of training to accomplish

Legal resources

Others?



LEADERSHIP COMMITMENT

Fear

Politics and political will

Fundamental change in organization's approach

Transparency and problem-solving rather than blaming

Look for the ROOT, not the symptoms

- Nothing much improved by solving the symptoms

Need for change to internal culture

Devote resources

- The “costs” of not changing
- Action planning paramount

Did it work?



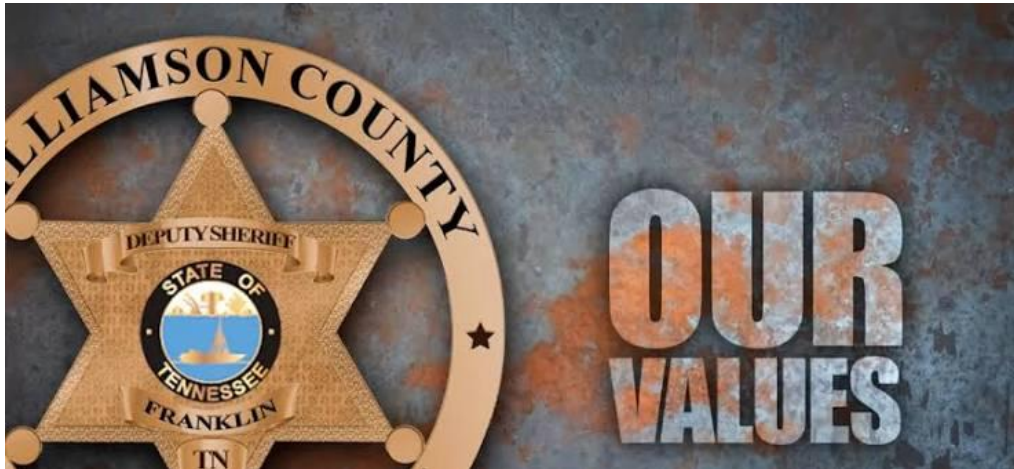
ROOT CAUSE ANALYSIS

Root Cause Analysis – not for the faint-hearted

Not much will change without self-critical analysis AND meaningful corrective action

Overcome the barriers

HOW IS THE CULTURE OF AN ORGANIZATION SHAPED?



Ask yourself:

- Tolerating
- Silence
- Excellence
- Standards

ASSESSING JAIL OPERATIONS, ROOT CAUSE ANALYSIS

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