MIAMI-DADE COUNTY

Six Sigma DMAIC Improvement Story

Green Belt **Project Objective:**

To Reduce Incidents Requiring Response to Resistance

Last Updated: 5/13/15

Team: **FORCE BUSTERS**

Richard Marquez (Co-Team Leader) Marlene Blanco (Co-Team Leader)

Cassandra Jones   Saloma Dudley   Stephen Faure

Paulette Acevedo

Marydell Guevara (Sponsor)

FORCE BUSTERS

Active Strategy

Lean Six Sigma Problem Solving Process

The team utilized the 5-Step DMAIC problem solving process.

DMAIC Performance Improvement Process

Process Step		Description of Team Activities
Number	**Name**	
1	DEFINE	• Select Problem • Identify Project Charter • Develop Project Timeline • Establish Method to Monitor Team Progress • Construct Process Flowchart • Develop Data Collection Plan • Display Indicator Performance "Gap"
2	MEASURE	• Stratify Problem (i.e."Gap") • Identify Problem Statement
3	ANALYZE	• Identify Potential Root Cause(s) • Verify Root Cause(s)
4	IMPROVE	• Identify and Select Improvement(s) • Identify Barriers and Aids • Develop and Implement Improvement Plan • Confirm Improvement Results
5	CONTROL	• Standardize Improvements within Operations • Implement Process Control System (PCS) • Document Lessons Learned • Identify Future Plans

Define > Measure > Analyze > Improve > Control

MIAMI-DADE COUNTY

Identify Project Charter

The team developed a team Project Charter.

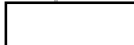| Project Charter			
Business Case	*Project Name:*	To Reduce Incidents Requiring Force (to increase aternative methods in lieu of using force)	
	Problem/Impact:	Incidents requiring Force create many problems including… 1) Increased Medical Costs 2) Increased Personnel Costs 3) Property Damage 4) Liability and workers comp 5) DOJ , Federal Investigations/ outside reviews and audits 6) Community Mistrust 7) Negative media attention	
	Expected Benefits:	Reduce Violence; Lower medical costs; Better Compliance, better inmate moral, reduce staff levels, reduce liability and reduce legal costs	
Objectives	*Outcome Indicator(s)*	Q1 - # of Incidents Requiring Force	
	Proposed Target(s)	Target=33 Response to Force (RTR) per month	
	Time Frame:	Dec 2014 through On-going	
	Strategic Alignment:	Supports the County's Fiscal Responsibility and scorecard	
Scope	*In Scope:*	Incidents requiring Force	
	Out-of-Scope:	Other incidents	
	Authorized by:	Marydell Guevara	
Team	*Sponsor:*	Marydell Guevara	
	Team Leader:	Richard Marquez, Marlene Blanco	
	Team Members:	Cassandra Jones, Saloma Dudley,Stephen Faure, Paulette Acevedo	
	Process Owner(s):	Facility Supervsior	
	Mgmt Review Team:	Marydell Guevara	
Schedule	*Completion Date:*	To be determined	
	Review Dates:	Monthly and Final Review in July 2016	
	Key Milestone Dates:	See Action Plan	

2. ☑
1. ☑

Define > Measure > Analyze > Improve > Control

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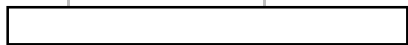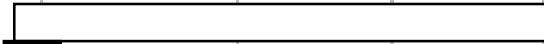
Develop Project Timeline Plan

The team developed a timeline plan for the Project.   4. ✔

Legend:	
■	= Actual
☐	= Proposed

WHAT: Complete DMAIC Story Project by March 31, 2015

DMAIC Story Process Step	WHEN					
	2015					
	Dec	**Jan**	**Feb**	**Mar**	**Apr**	**May**
1. Define	☐ ■ Completed 1-9-15					
2. Measure		☐ ■ Completed 1/9/15				
3. Analyze		☐ ■ Completed 1/30/15				
4. Improve			☐ ■			
5. Control			☐ ■			

Define ⟩ Measure ⟩ Analyze ⟩ Improve ⟩ Control
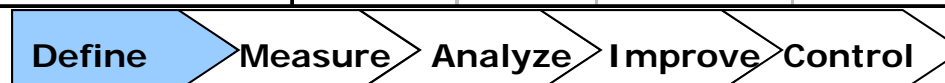
Monitor Team Progress

The Team and Management used a Checklist to monitor team progress.

DMAIC Story Checkpoints

PLAN	**Step 1 Define**	**Objective: Demonstrate the importance of improvement needs in measurable terms.**	
		1. The stakeholders' need(s) were identified.	✓ ▪Team identified an indicator; developed a Flowchart and a Spreadsheet
		2. The problem can be described as an "object" with a "defect" with unknown cause(s) that need to be identified.	
		3. A line graph outcome indicator was constructed that appropriately measures the problem (or gap).	
		4. A schedule for completing the five DMAIC Story steps was developed.	
	Step 2 Measure	**Objective: Investigate the features of the indicator, stratify the problem and set a target for improvement.**	
		5. Data contained or directly linked to the indicator were stratified from various viewpoints (i.e., what, where, when and who) and a significant dataset was chosen.	✓ Histograms, Flowchart Stratification, Paretos, Problem Statement
		6. A target for improvement was established based on the stakeholders' need.	
		7. The impact of the target on the indicator was determined.	
		8. A problem statement that describes the "remaining dataset" was developed.	
	Step 3 Analyze	**Objective: Analyze the stratified data to identify and verify the root causes.**	
		9. Cause and effect analysis was taken to the root level.	✓ Single Case Bore, Fishbone, Root Cause Verification Matrix
		10. Potential causes most likely to have the greatest impact on the problem were selected.	
		11. A relationship between the root causes and the problem was verified with data.	
		12. The impact of each root cause on the gap was determined.	
DO	**Step 4 Improve**	**Objective: Develop and implement countermeasures to eliminate the verified root causes of the problem.**	
		13. Countermeasures were selected to address verified root causes.	✓ Countermeasures Matrix; Barriers and Aids; Action Plan
		14. The method for selecting the appropriate countermeasures was clear and considered effectiveness and feasibility.	
		15. Barriers and aids were determined for countermeasures worth implementing.	
		16. The action plan reflected accountability and schedule.	
CHECK		**Objective: Confirm that the countermeasures taken impacted the root causes and the problem; and that the target has been met.**	
		17. The effect of countermeasures on the root causes was demonstrated.	
		18. The effect of countermeasures on the problem (or indicator) was demonstrated.	
		19. The improvement target was achieved and causes of significant variation were addressed.	
		20. The effect of countermeasures on the indicator representing the stakeholders' need was demonstrated.	
ACT	**Step 5 Control**	**Objective: Prevent the problem and its root causes from recurring. Maintain and share the gains.**	
		21. A method was established to document, permanently change, and communicate the revised process or standard.	
		22. Responsibility was assigned and periodic checks scheduled to ensure compliance with the revised process or standard.	
		23. Specific areas for replication were identified.	
		Objective: Evaluate the team's effectiveness and plan future activities.	
		24. Any remaining problems (or gaps) were addressed.	
		25. Lessons learned, P-D-C-A of the Story process, & team growth were assessed & documented.	

Define Measure Analyze Improve Control

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Hidden Costs of Incidents with Response to Resistance

The team identified costs of Response to Resistance Incidents.

**Estimated
2014 Cost**

1) Monitor and Respond to Incident 2 to 10 officers X 15 min………… 1.5 Hours

2) Officers Document Incident……2 to 10 officers X 45 min…………... 4.5 Hours

3) Medical Asmt….2 officers X 60 Min………………………………………… 2 hours

4) Reviews….Line Supv…… 1 hour + 25% rework issues at 45 Min…... 1. 23 Hrs

Shift Commander ..1 hr + 25% rework issues at 45 Min… 1. 23 Hrs

Shift Supv…… 1 hour ……………………………………..……… 1 Hrs

Admn (XO and Capt.)…………………………………….…. 2 Hrs

Total…….. 13.46 Hrs

Annual Costs = 841 Incidents X 13.46 hrs. X $30 per hour avg loaded rate=

Annual Costs = $339, 596*

*Does not include….Hospitalization, property damage costs , court costs or DOJ , Federal Investigations/ outside reviews and audits; Community Mistrust and Negative media attention
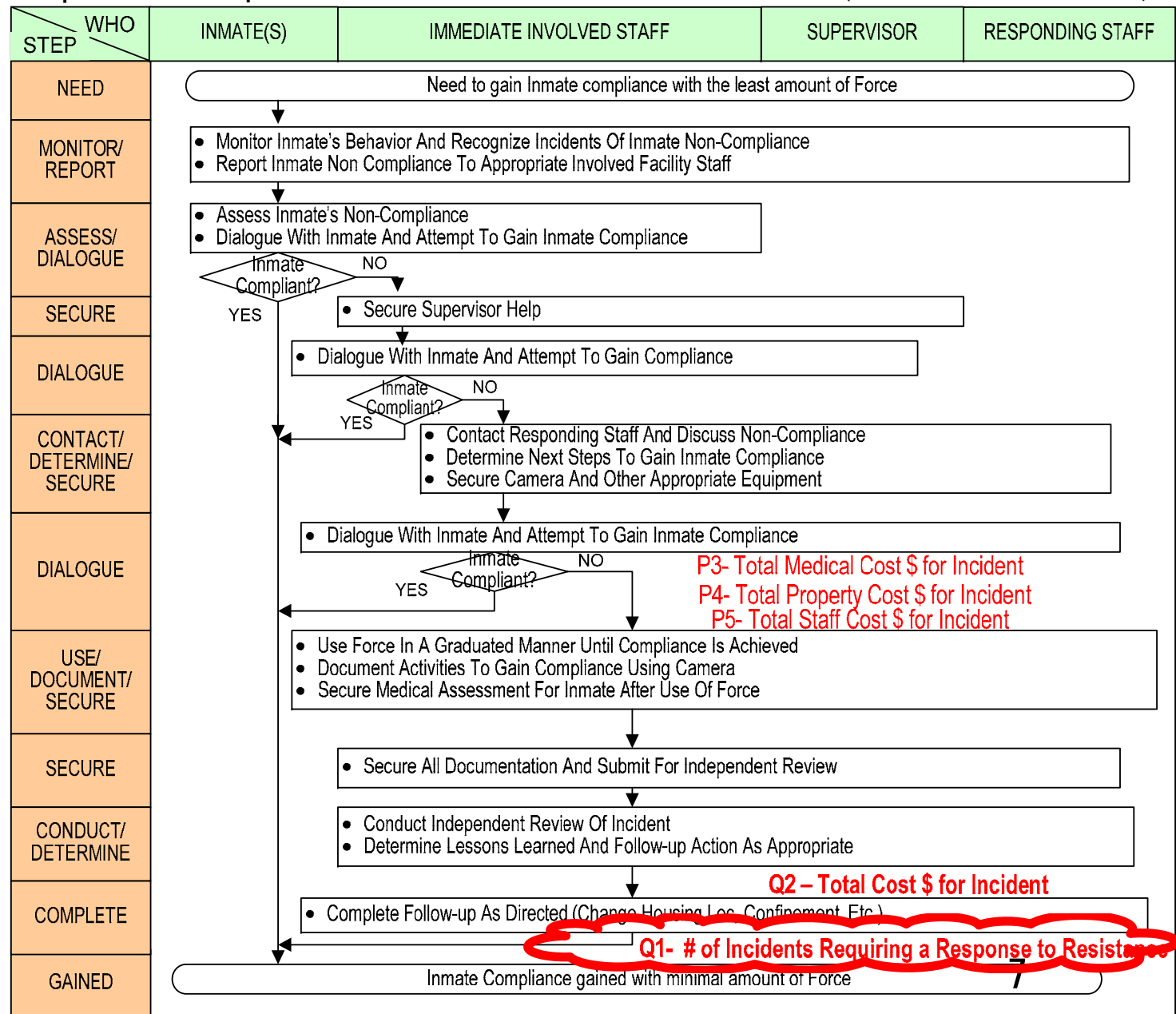
Review Process Flow Chart

The team constructed a Process flow chart describing the Process.

The team next looked closer how to capture indicator data.

Respond to Non-Compliant Inmate Incidents   (Process Owner: Asst Director)

STEP \ WHO	INMATE(S)	IMMEDIATE INVOLVED STAFF	SUPERVISOR	RESPONDING STAFF
NEED		Need to gain Inmate compliance with the least amount of Force		
MONITOR/ REPORT		• Monitor Inmate's Behavior And Recognize Incidents Of Inmate Non-Compliance • Report Inmate Non Compliance To Appropriate Involved Facility Staff		
ASSESS/ DIALOGUE		• Assess Inmate's Non-Compliance • Dialogue With Inmate And Attempt To Gain Inmate Compliance Inmate Compliant? NO / YES		
SECURE		• Secure Supervisor Help		
DIALOGUE		• Dialogue With Inmate And Attempt To Gain Compliance Inmate Compliant? NO / YES		
CONTACT/ DETERMINE/ SECURE		• Contact Responding Staff And Discuss Non-Compliance • Determine Next Steps To Gain Inmate Compliance • Secure Camera And Other Appropriate Equipment		
DIALOGUE		• Dialogue With Inmate And Attempt To Gain Inmate Compliance Inmate Compliant? NO / YES		
USE/ DOCUMENT/ SECURE		• Use Force In A Graduated Manner Until Compliance Is Achieved • Document Activities To Gain Compliance Using Camera • Secure Medical Assessment For Inmate After Use Of Force		
SECURE		• Secure All Documentation And Submit For Independent Review		
CONDUCT/ DETERMINE		• Conduct Independent Review Of Incident • Determine Lessons Learned And Follow-up Action As Appropriate		
COMPLETE		• Complete Follow-up As Directed (Change Housing Loc, Confinement, Etc.)		
GAINED		Inmate Compliance gained with minimal amount of Force		

P3- Total Medical Cost $ for Incident
P4- Total Property Cost $ for Incident
P5- Total Staff Cost $ for Incident

Q2 – Total Cost $ for Incident

Q1- # of Incidents Requiring a Response to Resistance

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DMAIC Story, Miami Dade, MDCR, Reduce Response to Resistance, Flowchart, 12-5-14 vsd 12/17/14

Identify Data Collection Needs

The team developed a data collection spreadsheet…

MDCR Incidents Requiring Response to Resistance Summary

DEMOGRAPHICS

BCB		WHO					WHAT								WHERE			WHAT	WHEN
	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	R	S	T
Line #	Inmate (Jail #)	Inmate(s) Gender(s)	Inmate Age	Race	Mental Health Level	Facility Staff Involved	Incident Control #	Incident Type	Reason for Force	Response Type	Restraint Type	Severity of Incident	Weapon / Contra-band	Facilty Inmates Reside at	Inside/ Outside?	Location of Incident	Inmate Activity at Time of Incident	Booking Date
	%F	Avg	%Y	%1			%1							% Inside				
	33.3	22.0		33.3			66.7							33.3				
1	12321	F	21	Africa	1	Smith	1231	1	Risk to S	A	DD	No Injury	Chair	PTDC	Outside	Basketba	Recreatio	1/10/14
2	2311	M	24	Cauc	3	Jones	2433	1	Non Con	B	CC	Doctor Vis	Drugs	TTC	Inside	Cafeteria	Eating	1/26/14
3	3221	M	21	Asian	2	Hill	2344	2	Rsik to	C	RR	Hospitaliz	Fork	MWDC	Outside	Cell	Sleeping	2/1/14

MILESTONE DATES / Duration / OUTCOMES

	MILESTONE DATES						Duration		OUTCOMES						
											Incident Cost Information				
U	V	W	X	Y	Z		$AB=U-T$	$AD=Z-U$	AN	AO	AP	AQ	AS	AQ	$AW=AT+AU+AV$
											STAFF Hours				
Date of Incident				Shift	Date Incident File Closed		# of Days Shortest Length of Stay	# of Days to Close Incident File	Medical Costs	Property Costs	Address Incident	Incident Review	Incident Follow-up	Staff Cost at $25 per hour	Total Costs for Incident
Date	Time	Mi Hr	Day												
		Avg	%Mo												
		13.0	33.3				34.0	5.0	$700.00	$360.00	8.0	8.0	8.0	$600.00	$1,660.00
							P1	P2	P3	P4				P5	Q2
1/14/14	8:00 AM	8	Tu	Afternoor	1/20/14		4	6	$0	$150	2.0	2.0	2.0	$150.00	$300.00
2/3/14	9:30 AM	9	Mo	Day	2/10/14		8	7	$200	$200	4.0	4.0	4.0	$300.00	$700.00
5/2/14	10:00 PM	22	Fr	Midnite	5/4/14		90	2	$500	$10	2.0	2.0	2.0	$150.00	$660.00

Define → Measure → Analyze → Improve → Control
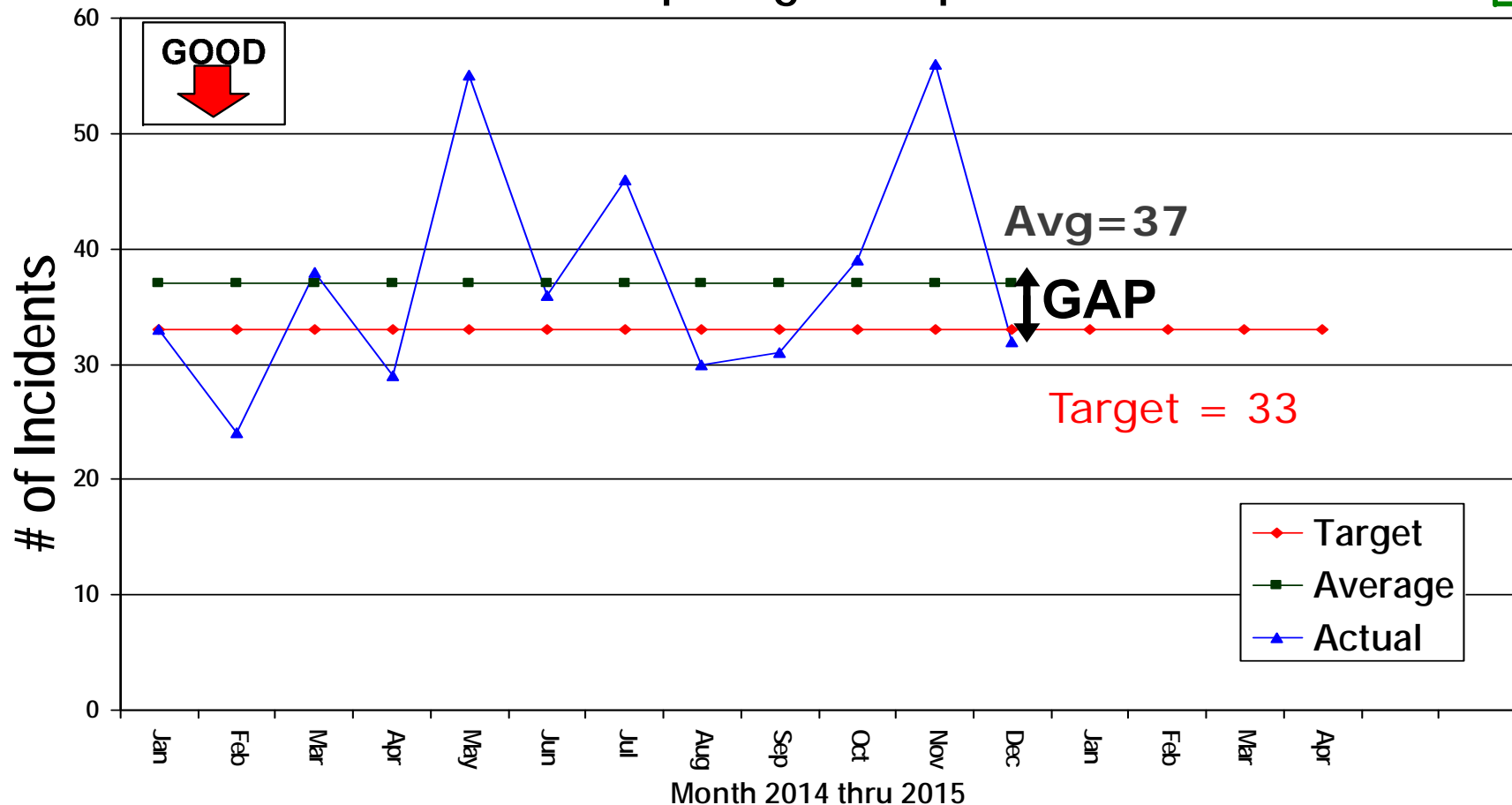
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Review Selected Indicator

The team collected Q1 indicator data and reviewed performance trends:

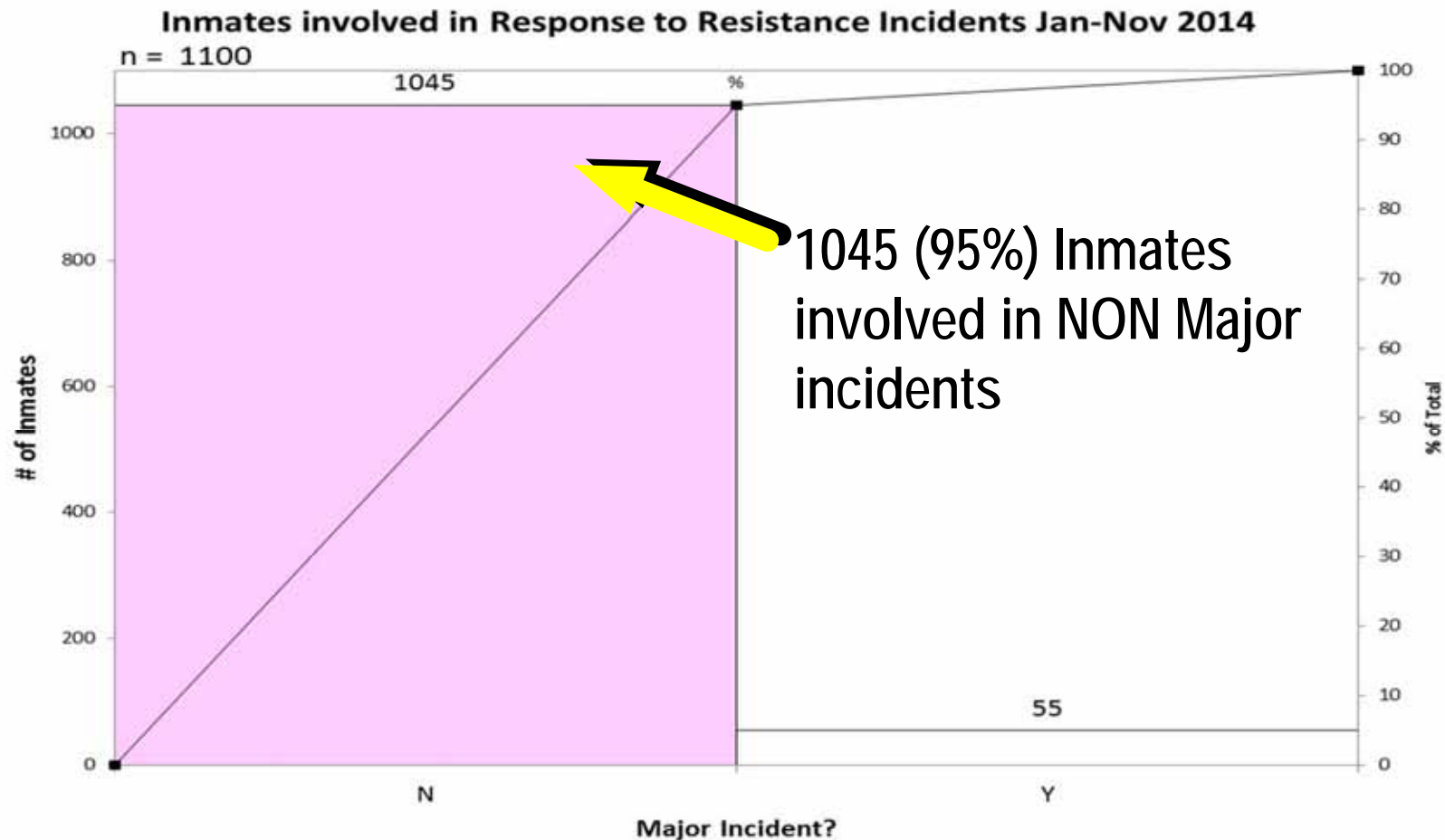Q1- # of Incidents Requiring a Response to Resistance 3. ☑

The team next looked closer at the Incidents from Jan thru December 2014

Stratify the Problem

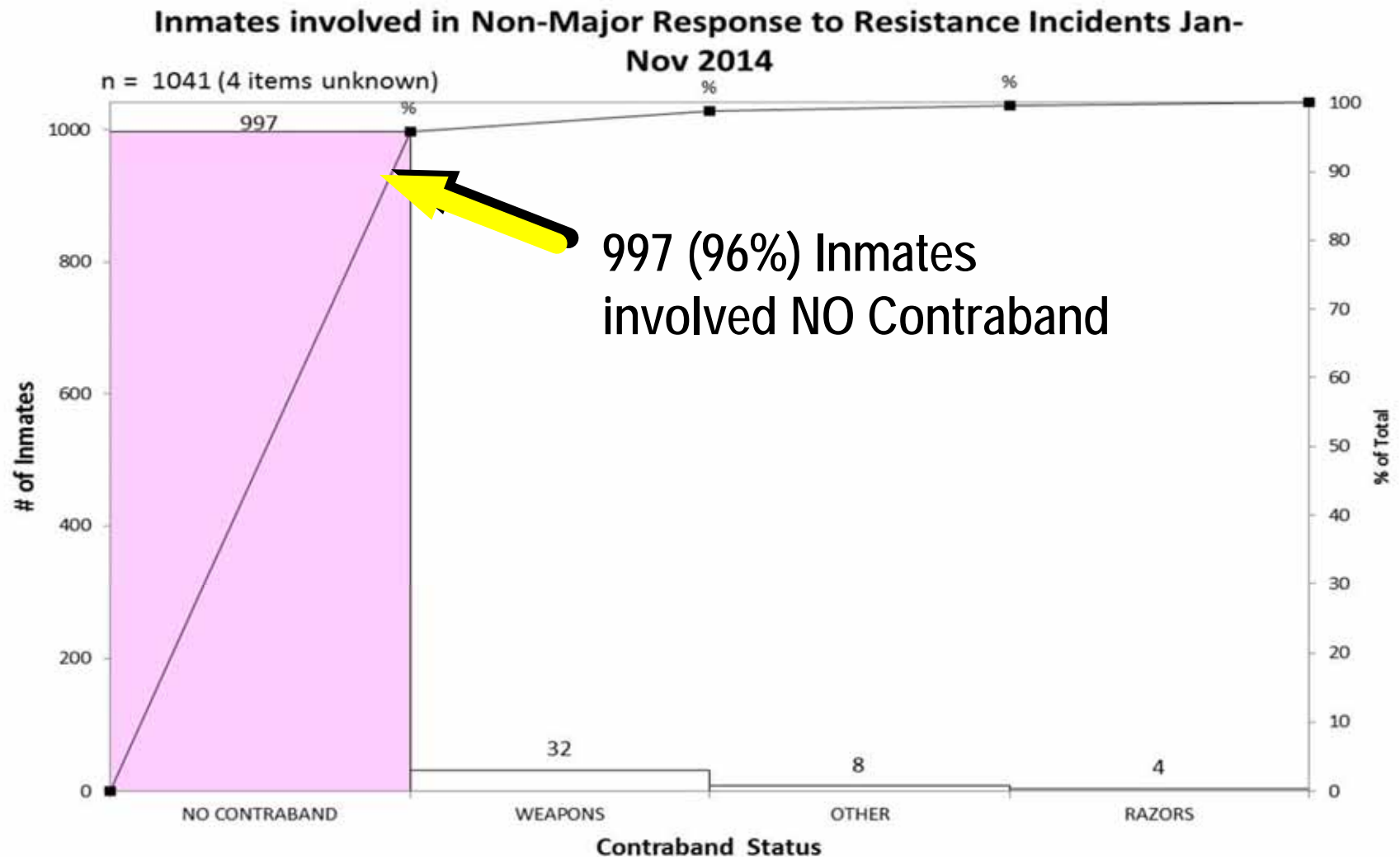The team stratified the 1100 Inmates involved in 2014 Incidents many ways and found …

Inmates involved in Response to Resistance Incidents Jan-Nov 2014

n = 1100

1045 (95%) Inmates involved in NON Major incidents

The team looked closer at these 1045 inmates involved in non-major incidents.

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Define | Measure | Analyze | Improve | Control

Stratify the Problem

The team stratified the 1045 Inmates many ways and found …

Inmates involved in Non-Major Response to Resistance Incidents Jan-Nov 2014

997 (96%) Inmates involved NO Contraband

The team looked closer at these 997 Inmates.

Define | Measure | Analyze | Improve | Control

Stratify the Problem

The team stratified the 997 Inmates many ways and found ...

Inmates involved in Non-Major Response to Resistance Incidents with No Contraband involved Jan-Nov 2014

n = 993 (4 Inmate data were unknown)

690 (69%) Inmates had NO Mental Health Issues

690   110   107   35   26   25

# of Inmates

% of Total

LEVEL 0 - NO MENTAL HEALTH DESIGNATION

ACUTE SYMPTOMS/SUICIDAL OBSERVATION WITH SAFETY GOWN

LEVEL 4 - MENTAL HEALTH STATUS IN GENERAL POPULATION

LEVEL 2 - SEMI-ACUTE STATUS/PSYCHIATRIC OBSERVATION

LEVEL 1B - ACUTE SYMPTOMS/PSYCHIATRIC OBSERVATION NO SAFETY GOWN

LEVEL 3 - STABLE/PSYCIATRIC OBSERVATION IN MENTAL HEALTHS UNITS

Custody Level

The team looked closer at these 690 Inmates.

Define Measure Analyze Improve Control

Stratify the Problem

The team stratified the 690 Inmates many ways and found...

Level 0 MH Inmates involved in Non-Major Response to Resistance Incidents with No Contraband involved Jan-Nov 2014

630 (91%) Inmates were involved in incidents where no Corrective Action was taken
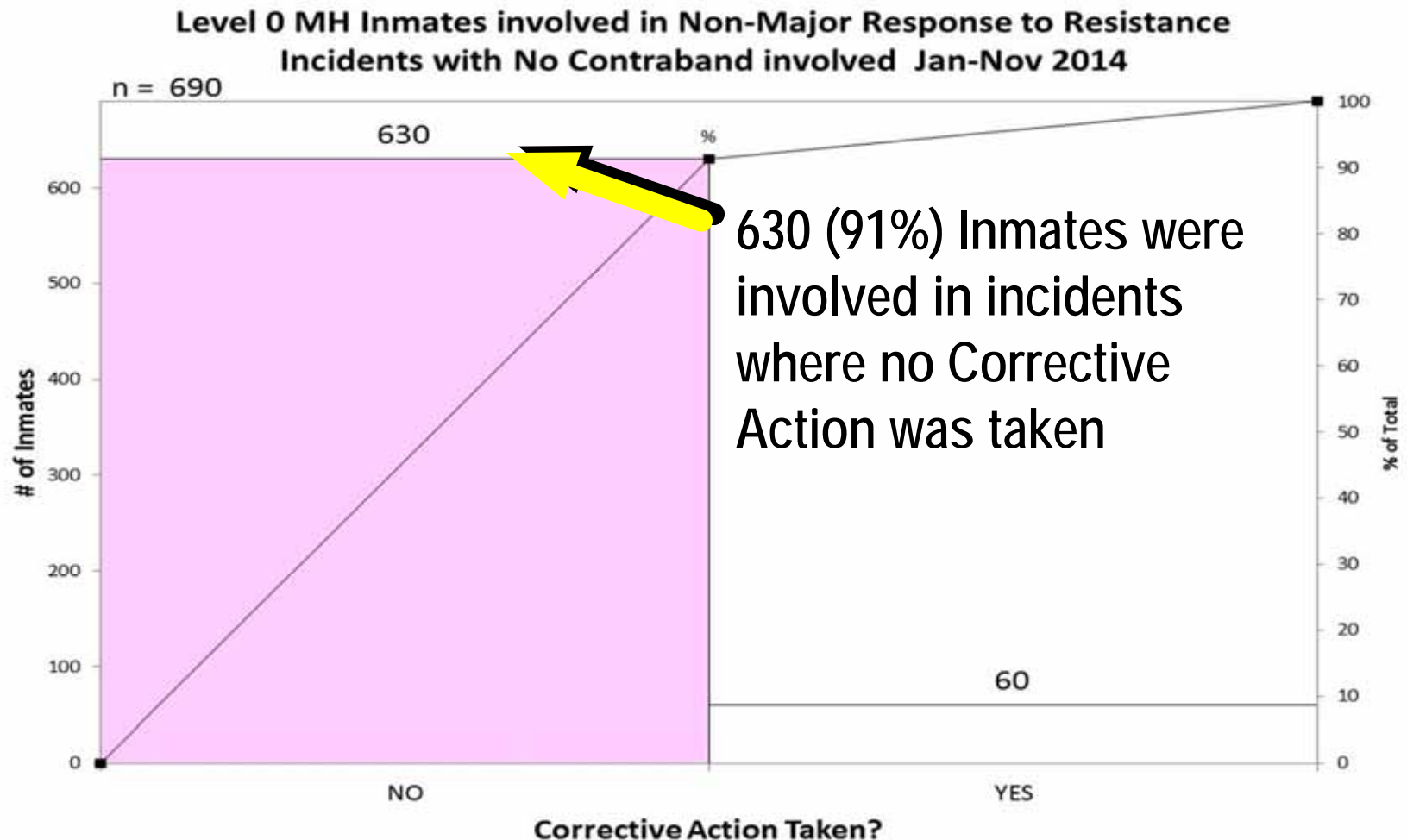
The team looked closer at these 630 Inmates involved in Incidents where no corrective action was taken.

Define > Measure > Analyze > Improve > Control

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Stratify the Problem

The team stratified the 630 Inmates many ways and found…

Level 0 MH Inmates involved in Non-Major Response to Resistance Incidents w/ No Contraband involved & NO Corrective Action Jan-Nov 2014

n = 628 (1 Inmate Response info not avail)

360 (57%) Inmates required the Use of OC Spray to respond to the incident

- USE OF OC SPRAY — 360
- PHYSICAL CONTROL — 205
- NO RESPONSE USED — 56
- APPLIED CAROTID TRIANGULAR RESTRAINT (ACTR) — 5
- CELL EXTRACTION — 1

# of Inmates / % of Total

Response Specifics

Problem Statement: "360 non-mental health inmates (Level 0) involved in non-major Response to Resistance incidents (Jan-Nov 2014) where NO contraband was involved, NO corrective action was taken and OC spray was used."

Identify Potential Root Causes

The team sampled 15 incident reports involving the 360 inmates requiring OC spray before conducting Single Case Bore Analysis.

Single Case Bore Analysis

Problem Statement: *"360 Level 0: MH Inmates involved in Non-Major RTR Incidents (Jan-Nov 2014) where No Contraband was involved, NO Corrective Action taken & OC Spray was used.*

Reasons or Factors (That possibly contributed to the Inmate Failing to comply with verbal instructions requiring Spray Response)	K14-3592G	K14-3742A	K14-4217A	K14-311A	M14-107A-G	M14-587A-G	M14-599A	M14-749A-L	M14-937A-L	M14-1674A-G	M14-1846A-G	M14-3298A-F	M14-3617A-I	M14-3634A-D	M14-3638A-J	Total	Percentage
1) Inmate defending himself due to another inmate assaulting him.		x	x	x	x	x	x	x		x	x	x	x	x	x	13	87%
2) Inmates possibly did not hear verbal commands from officer because they were already engaged in a altercation.			x	x	x	x	x	x		x	x	x	x	x	x	12	80%
3) Inmate failed to comply due to counselor being in the unit, inmate possibly thought that the officer was distracted.							x									1	7%
4) Inmate failed to comply because he wanted to make a phone call.	x															1	7%
5) Inmate did not want to return to his room.	x															1	7%
6) Inmates were involved in a verbal dispute.		x														1	7%
7) No respect for authority.									x							1	7%
8) Inmate refused the order assulted officer; officer feared for safety	X								X							2	13%
9) Inmate(s) ceased to comply to verbal instructions to cease actions & began/continue to fight	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	15	100%
10) Group fight			x													1	7%
11) Inmate defending him/herself from another inmate attack								x	x							2	13%
12) Inmate refuses officer(s) orders		x	x	x	x	x	x	x	x	x		x	x	x	x	14	93%
13) Being removed from current cell/area												x				1	7%

The team next looked closer at these four (4) factors.

Identify Potential Root Causes

The team completed Cause and Effect Analysis and found...

C- Inmate defending himself due to another inmate assaulting him. (87%)

A- Inmate(s) ceased to comply to verbal instructions to cease actions & began/ continued to fight (100%)

Fishbone Cause and Effect Diagram

Problem Statement

"360 Level 0: MH Inmates involved in Non-Major RTR Incidents (Jan-Nov 2014) where No Contraband was involved, NO Corrective Action taken & OC Spray was used"

Officers verbal orders were ignored due to Inmate fear of other inmate rather than officer actions

Officers have few effective methods to gain compliance when inmate in immediate fear of other inmate

A Initial Response method(s) do not have enough other non-force effective options

Officer's Verbal Commands were not effective in gaining compliance

Initial Non -force Response method(s) limited to verbal instructions

A Initial Response method(s) do not have enough other non-force effective options

Inmates did not hear officer's verbal commands

Officer's voice volume was compromised by other factors (inmate talking, inmate fear, surrounding noise, etc)

A Initial Response method(s) do not have enough other non-force effective options

Officers verbal orders were ignored

Initial Non-force Verbal Commands do not consistently work in all non compliance situations requiring OC spray

A Initial Response method(s) do not have enough other non-force effective options

= Potential Root Cause

D - Inmates possibly did not hear verbal commands from officer because they were already engaged in a altercation. (80%)

B- Inmate refuses officer(s) orders (93%)

The team next looked to verify the Potential Root Causes.

Define Measure Analyze Improve Control
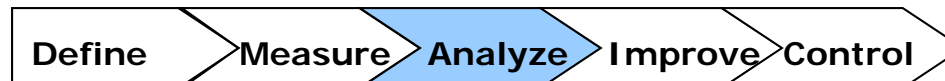
Verify Root Causes

The team collected data to verify the root causes and found.... **11.,12.** ☑

Root Cause Verification Matrix		
Potential Root Cause	**How Verified?**	**Root Cause or Symptom**
A Initial Response method(s) do not have enough other non-force effective options	Team reviewed written Training materials and procedures on Non-Force compliance policies and methods and found that verbal commands were taught and assumed to be the method to use before force is considered.	Root Cause

…that the Potential Root Cause was validated as an Actual Root Cause.

Define Measure Analyze Improve Control

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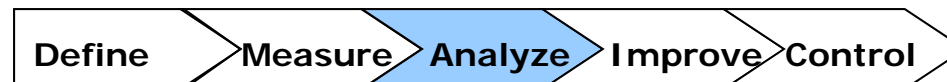
Identify and Select Countermeasures

The team brainstormed many countermeasures and narrowed them down to these for evaluation:

Countermeasures Matrix		
Problem Statement	**Verified Root Causes**	**Countermeasures**
"360 non-mental health inmates (Level 0) involved in non-major Response to Resistance incidents (Jan-Nov 2014) where NO contraband was involved, NO corrective action was taken and OC spray was used."	**A- Initial Officer Communication Response Procedures are not consistently effective**	**A1- Educate Inmates on disciplinary process and consequences of non- compliance**
		A2- Implement Strong Sanction Policy with follow-up
		A3- Provide whistle or sound device to Officers
		A4- Install Floor/Shift mediator
		A5- Develop/Revise Non-Force de-escalation options for RTR Incidents and educate staff
		A6- Install Special response team
		A7- Revise RTR Review Form and Process to better identify Corrective actions related to RTR Incidents

The team selected 5 countermeasures for possible implementation.

Define ⟩ Measure ⟩ Analyze ⟩ **Improve** ⟩ Control

Identify Barriers and Aids

The team performed Barriers and Aids analysis on the selected Countermeasures.

Countermeasure(s): Implement 5 Countermeasures to Reduce RTR Incidents

Barriers		Aids
Impact (H, M, L)	**Forces against Implementation**	**Forces For Implementation**
H	1) **Push Back from Staff** *(Supported by Aid:A,B,E)*	A) Management very supportive of team's efforts
L	2) **Limited resources to purchase sound devices or train staff** *(Supported by Aid:A,B,C,D,E)*	B) Other agencies may be using devices
		C) Corrections is already charged with revising RTR Review Process
L	3) **State or Federal Regulations must be followed** *(Supported by Aid:B,E)*	D) Corrections are enhancing and automating the inmate disciplinary process
		E) County mandated by settlement agreement to improve the RTR incident rate

The team next sought to incorporate this analysis into the team's Action Plan.

Define ⟩ Measure ⟩ Analyze ⟩ Improve ⟩ Control

Legend:
■ = Actual
□ = Proposed

The team implemented an Action Plan for the team's Countermeasures. **16.** ☑

WHAT: Implement 5 Countermeasures to Reduce RTR Incidents

HOW	WHO	WHEN 2015								
		Dec	Jan	Feb	Mar	April	May	Jun	Jul	Aug
1. Develop Countermeasures:										
A1- Educate Inmates on disciplinary Process and Consequences of non-compliance	Richard		□ 2/28/15 ■							
A2- Implement Strong Sanction Policy with follow-up	Richard/IDS Team		□ 2/28/15 ■							
A3- Provide Whistle or sound device to Officers	Cassandra/ Marlene		□ 2/28/15 ■							
A5- Develop/Revise Non-Force de-escalation options for RTR Incidents and educate staff	Cassandra/ Marlene/Paulette		□ 2/28/15 ■							
A7- Revise RTR Review Form and Process to better identify Corrective actions related to RTR Incidents	Saloma/ Stephen/IDS Team		□ 2/28/15 ■							
2. Secure Management Approval of Countermeasures (share benefits and cost savings)	Team/ Mgmt		□ 2/28/15 ■							
3. Communicate/Train Staff in Countermeasures and related policies/procedures (share Benefits & cost savings and Mandate, and the fact others are using devices)	Team		□ 3/30/15 ■							
4. Implement Countermeasures and Pilot if needed	Team		□ ■ On-going							
5. Review Pilot and determine Benefits and adjust as necessary and present results to management	Team		■ On-going							
6. Establish On-going responsibilities and standardize countermeasures into operations	Team		■ On-going							

Define → Measure → Analyze → **Improve** → Control

MIAMI-DADE COUNTY

Review Results

The team collected indicator data and reviewed performance trends:

Q1- # of Incidents Requiring a Response to Resistance

GOOD

GOOD

One Countermeasure started in January and one in March 2015

Avg=37

Target = 33

Target
Average
Actual

# of Incidents

Month 2014 thru 2015

We improved with a 16 or 13% decrease from of RTRs 2014 Q4 to 2015 Q1!

The team was encouraged by the results and will continue to monitor the countermeasures.

Define Measure Analyze Improve Control

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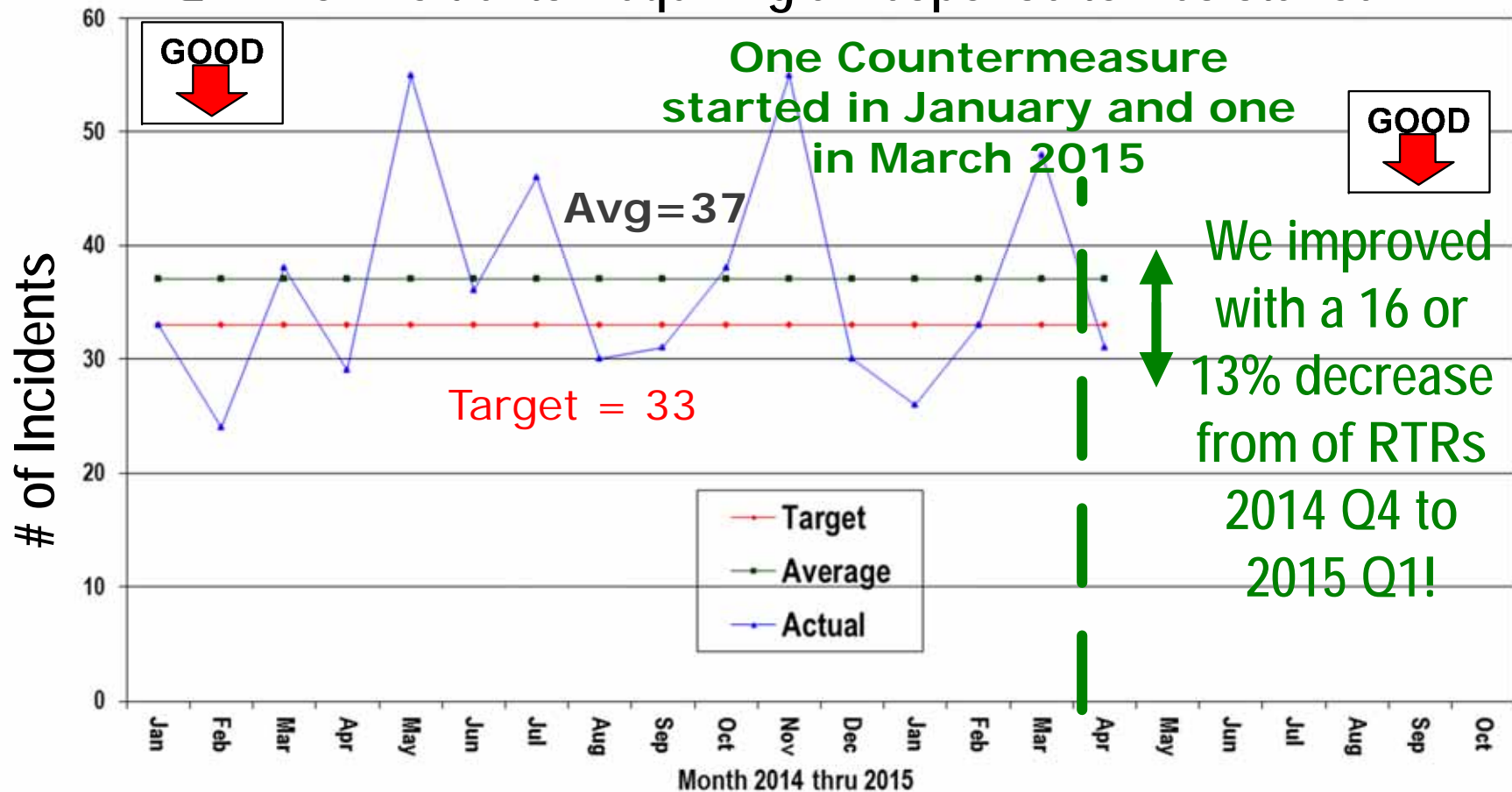
Standardize Countermeasures

21.,22.,23. ☑

The team incorporated the **improvements** into the Process.

Respond to Non-Compliant Inmate Incidents

(Process Owner: Asst Director)

STEP / WHO	INMATE(S)	IMMEDIATE INVOLVED STAFF	SUPERVISOR	RESPONDING STAFF
NEED		Need to gain Inmate compliance with the least amount of Force		
MONITOR/ REPORT		• Monitor Inmate's Behavior And Recognize Incidents Of Inmate Non-Compliance • Report Inmate Non Compliance To Appropriate Involved Facility Staff		
ASSESS/ DIALOGUE		• Assess Inmate's Non-Compliance • **Gain Attention Of Non-Compliant Inmate(s) W/ Voice/Sound Device** • Dialogue With Inmate And Attempt To Gain Inmate Compliance		
SECURE	Inmate Compliant? YES	• Secure Supervisor Help		
DIALOGUE		• **Dialogue W/ Inmate & Attempt To Gain Compliance Using Non-force Options**		
CONTACT/ DETERMINE/ SECURE	Inmate Compliant? YES — NO	• Contact Responding Staff And Discuss Non-Compliance • Determine Next Steps To Gain Inmate Compliance • Secure Camera And Other Appropriate Equipment		
DIALOGUE	Inmate Compliant? YES — NO	• **Dialogue With Inmate And Attempt To Gain Inmate Compliance Using Non-Force Options**		
USE/ DOCUMENT/ SECURE		• Use Force In A Graduated Manner Until Compliance Is Achieved • Document Activities To Gain Compliance Using Camera • Secure Medical Assessment For Inmate After Use Of Force		
SECURE		• Secure All Documentation And Submit For Independent Review		
CONDUCT/ DETERMINE		• Conduct Independent Review Of Incident • **Actively Determine Lessons Learned And Follow-up Corrective Action As Appropriate**		
COMPLETE		• Complete Follow-up As Directed (Change Housing Loc, Confinement, Etc.)		
GAINED		Inmate Compliance gained with minimal amount of Force		

P1 -# of RTR Incidents requiring Immediate Response (i.e Non-Spontaneous)

P2- # of Non Spontaneous RTR Incidents

P3- % of RTR Incidents Requiring OC Spray

Q1- # of Incidents Requiring a Response to Resistance

22

Lessons Learned

1) Root cause identification is essential *if one is serious in improving performance.*

2) Data Collection Activities were intensive and critical *in identifying data linked to root causes.*

3) Data stratification was very important *as it took the team to areas not initially thought to be part of the problem.*

4) Creative Thinking techniques were more valuable *in identifying more diverse countermeasures for the team to evaluate.*

5) Flowchart technique helped all team members see the process more clearly *and was used to help identify communicate process improvements.*

Next Steps

1) Monitor implementation of Countermeasures and Response to Resistance (RTR) performance indicators.

Define | Measure | Analyze | Improve | Control

RECOMMENDED COUNTERMEASURES

A1- Educate inmates on disciplinary process and consequences of non-compliance and rule violations

- Initiate inmate information campaign on MDCR's commitment for the Inmate Disciplinary Process

- Stress the seriousness of the inmate disciplinary process during initial classification, i.e. initial interview, inmate signed agreement

- Reinforce MDCR's zero tolerance for bad inmate behavior and the consequences of breaking the rules in in the inmate handbook and inmate orientation video

A1- Educate inmates on disciplinary process and consequences of non-compliance and rule violations

- Display outcome of disciplinary hearings on inmate television channel, i.e. Re-entry TV

Name: DOE, JOHN

MDCR Disciplinary Report

Category: II

Rule Violation: 2.20 – Subjecting MDCR staff to masturbation

Disposition: Guilty

Sanction(s): Disciplinary Confinement (30) days & Loss of regular mail, telephone, commissary, television, visitation, (30) days

Start: 03/01/2015

Expires: 03/31/2015

A1- Educate inmates on disciplinary process and consequences of non-compliance and rule violations

- Display quarterly breakdowns of disciplinary hearing findings on inmate television channel to demonstrate MDCR's commitment to hold inmate accountable for bad behavior

DISCIPLINARY HEARING FINDINGS

4%
11%
3%
15%
67%

- GUILTY
- LOST TO SEVEN DAY RULE
- NOT GUILTY
- RELEASED PRIOR TO DISCIPLINARY RESULTS
- DISMISSED
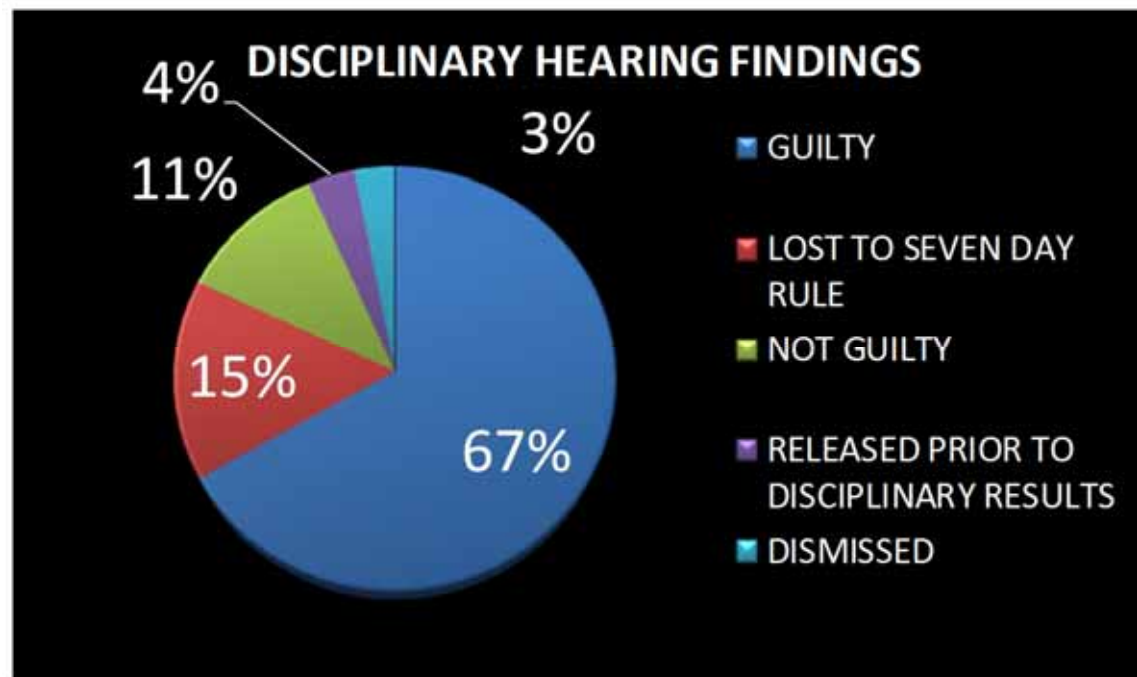
A2 - Implement strong sanction policy with follow-up

- Implement new automated Inmate Disciplinary System (IDS) to replace current manual paper-based inmate disciplinary process

- IDS Automation has facilitated the timely retrieval of all relevant, available data in a well-organized, easy to access format with added transparency & accountability

- Jail personnel can easily access all related disciplinary records to include inmate disciplinary & corrective consultation histories online via CRnet

A2 - Implement strong sanction policy with follow-up

- Require that all inmates who receive guilty dispositions from disciplinary hearings receive sanction(s). IDS will ensure all guilty inmates are issued sanctions

Sanction(s) must be added for all guilty dispositions.

A2 - Implement strong sanction policy with follow-up

- Ensure consistency when issuing sanctions & by requiring that the sanction issued matches the rule violation. IDS will ensure appropriate sanction(s) will be rendered to match the severity of the rule violation as required in policy. Only matching sanction(s) are displayed

Appropriate sanction(s) are displayed for the corresponding rule violation category.

A2 - Implement strong sanction policy with follow-up

- To reduce the numbers of sanctions that are not followed up on & not imposed; e-mail notifications are sent to appropriate stakeholders

  - Security Lieutenant
    - Loss of visitation, mail, and television
    - Disciplinary confinement and confinement to housing area
  - Material Management Bureau
    - Loss of commissary
  - Inmate Telephone System Supervisor
    - Loss of telephone
  - Classification Unit (Facility Labor Officer)
    - Loss of Gain Time
  - Inmate Finance Unit
    - Restitution

A2 - Implement strong sanction policy with follow-up

- Increase communication and follow-up by distributing reports of inmates issued sanctions to all involved parties, i.e. Facility Supervisor, Shift Supervisor, Charging Officer, and Counselor

- Add a new feature to IDS to allow for recording of follow-up action i.e. start & end date of sanction(s) by the employee responsible to enforce the sanction

A2 - Implement strong sanction policy with follow-up

- Increase inmate awareness & meet FMJS and FCAC standards by ensuring that all inmates charged with a rule violation(s) receive notification of a final outcome

A2 - Implement strong sanction policy with follow-up

- Create new IDS Coordinator position

- The IDS Coordinator will oversee the entire inmate disciplinary process to ensure follow-up is taken with all inmate disciplinary reports to ensure that the sanction(s) has been administered & imposed to the inmate(s)

A3 - Provide whistle or sound device to officers

- Purchase & assign high-pitch whistles to staff

| Part of the Uniform | $4.30 each | $4.59 each |

A3 - Provide whistle or sound device to officers

- Purchase & assign alarm sounding devices to staff
  - Staff to carry an alarm that would gain the attention of the combatants when verbal commands do not work
  - Staff can utilize the device by pulling the pin out of the device which makes a loud noise to gain the attention of the combatants & to ultimately cease their actions
  - Inmates will be instructed that when the alarm is sounded that they must return to their bunks thus assisting in securing the scene
  - The alarm will serve two purposes; (1) to be effective in decreasing the number of RTR's that result from staff separating combatants & (2) to assist staff in securing the scene

A4 - Develop/Revise Non-Force De-escalation Options for RTR Incidents & Educate staff

- Explore educating staff in verbal judo, the art of persuasion, to gain compliance in lieu of force

- Staff to utilize the alarm in an attempt to gain the attention of the combatants when verbal judo is not successful

- The above to elements can be incorporated into the Correctional Officer Training (COT) & Lateral Accelerated Training (LAT) training for all new hires and can be incorporated into Mandatory In-service Training (MIST) training until all current staff is trained

A5 - Revise RTR Review Process to better identify Corrective Actions related to RTR Incidents

- In an effort to improve the quality, consistency, and effectiveness of the Response-to-Resistance (RTR) review process, effective January 1, 2015, MDCR's Trend Analysis & Action Planning (TAAP) Unit began to receive, review, & evaluate every RTR incident from each facility/bureau/unit

- The TAAP Unit is responsible for evaluating data & trends surrounding RTR incidents & alleged uses of excessive force and developing solutions & recommendations to potential deficiencies in the application, training, & discipline of RTR incidents

A5 - Revise RTR Review Process to better identify Corrective Actions related to RTR Incidents

- Conduct monthly TAAP RTR review meetings with jails supervisors
  - Analyze RTR information
  - Identify problems and trends
  - Develop solutions
  - Anticipate barriers
  - Create corrective actions plans
  - Follow up on actions taken

THE END