DYNAMIC SECURITY IN PENAL SETTINGS

Handbook

SUMMARY

In its recommendations of 8 April 2018, the Swiss Conference of Cantonal Justice and Police Directors (KKJPD) recommends the introduction and strengthening of the concept of dynamic security in the prison system. Dynamic security describes a work paradigm that is specific to the execution of penal sentences and justice. It places a focus on the relationships between employees and inmates, assigning the former with a key function in strengthening security. At an international level, dynamic security is increasingly considered to be an essential preventive element in the execution of penal sentences and justice. Within the context of considerations on how to deal with various security-related phenomena, it is therefore appropriate to promote the concept of dynamic security since it allows for long-term and cross-phenomenon preventive work in the closed prison system.

This SCEPP handbook has been developed in order to describe the concept of dynamic security and make it accessible to the stakeholders involved in the execution of penal sentences and justice. After a short introduction, the concept of dynamic security is defined in **section 2**. In **section 3**, the role of employees in the implementation of dynamic security, including via the delicate handling of so-called "dynamic authority", is addressed. In this section, the four main aspects of the concept of "dynamic security", which are primarily implemented by the employees, are also explained. **Section 4** then discusses the strategic and operational framework conditions that have to be created for the effective implementation of the aspects described in section 3. Sections 3 and 4 are also accompanied by thought-provoking content and suggestions for action in the form of "tools and good practices" that can be helpful for the practical implementation of the concept. **Section 5** contains general closing remarks.

"Dynamic security stands for the shaping of everyday life in the execution of penal sentences and justice, in particular the interactions between prison staff and inmates, in a humane, respectful and fair manner which ensures and positively influences the flow of information within the institution. This should allow for the timely identification and understanding of relevant changes in behaviour with the objective of exerting influence in a targeted manner and thereby contributing to the rehabilitation of inmates".

Swiss Centre of Expertise in Prison and Probation, 2020

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1. INTRODUCTION

1.1 Background

The attacks on European soil in recent years have prompted several European states to develop strategies aimed at preventing and combating them. Switzerland, which has only been peripherally affected by this problem until now,[1] has also addressed the issue from the point of view of prevention. In December 2017, the Swiss Security Network (SSN) published the National Action Plan (NAP) for the prevention of radicalisation and violent extremism (December 2017). Based on the NAP, the KKJPD adopted further recommendations specifically aimed at the prevention of radicalisation and violent extremism during the execution of penal sentences and justice on 12 April 2018.[2]

The recommendations of the KKJPD deal with the following subject areas:

- Instruments and methods of risk assessment
- Operational measures and interventions
- Training and qualification of employees and regional representatives
- Cooperation with the cantonal intelligence service (CIS)
- Cooperation with cantonal threat management (CTM)
- Cooperation with the Office of the Attorney General of Switzerland and federal courts

Within the context of "operational measures and interventions", the KKJPD recommends the introduction and strengthening of the concept of dynamic security in prisons. Dynamic security describes a vision for the execution of penal sentences and justice that places a focus on the relationships between employees and inmates, assigning the former with a key function in strengthening security. At an international level, dynamic security is increasingly considered to be an essential preventive element of the execution of penal sentences and justice. Within the framework of the development of its Practice division, the Swiss Centre of Expertise in Prison and Probation (SCEPP) has been tasked with promoting and strengthening the concept of dynamic security (recommendation 1b).[3] In order to fulfil this mandate, the SCEPP has composed this handbook on dynamic security, which aims to combine knowledge from Swiss and international prison research with practical expertise from Swiss prisons.

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[1] According to the Federal Intelligence Service (FIS), this involves 16 returnees from conflict zones where they had joined terrorist groups as well as 57 risk persons.

[2] KKJPD recommendations of 12 April 2018 for the handling of radicalisation and violent extremism during the execution of penal sentences and justice (download: www.skjv.ch/sites/default/files/documents/030318-Empfehlungen-Radikalisierung-JuV.pdf)

[3] This handbook was authored by Ahmed Ajil. Claude Tacchini, Guido Sturny, Laura von Mandach, Barbara Rohner and Nina Bähler from the SCEPP contributed to the creation of the handbook. The members of the Dynamic Security Working Group provided valuable contents for the handbook from a practical perspective. We would like to thank Stephan Baldinger, Sascha Furrer, Sascha Gees, Renata Sargent, Claudio Zai, Alain Borboen, Yves Jacquemettaz, Grégoire Dorsaz, Thierry Fridez, Jérôme Jean-Bourquin, Pierre-Alayn Nyffenegger and Cédric Udry. For their active participation during the qualitative survey, we would also like to express our gratitude to the cantonal contacts Christian Clerici, Hans-Rudolf Schwarz, Andreas Gigon, Serge Berger and Stefano Laffranchini as well as the concordat secretaries Joe Keel, Benjamin Brägger and Blaise Péquignot. Finally, the authors express their thanks for the careful and critical reading by Gero Meinen (former Head of the Berlin Prison Service), Jörg Peschak (Vienna Probation Services) and Henrik Linderborg (Swedish Prison Service, EuroPris Dynamic Security Working Group) as well as for the additional thorough comments by Joe Keel, Renata Sargent and Hans-Rudolf Schwarz.

Although the work on dynamic security was prompted by the issue of violent radicalisation, this handbook does not specifically address this phenomenon. The SCEPP strongly believes that the introduction and strengthening of the concept of dynamic security will allow for problematic changes and developments in general to be recognised and prevented in good time. This also includes the phenomenon of terrorism. The other works of the SCEPP, which were triggered by the KKJPD policy paper, specifically look at aspects of the issue that are relevant for the execution of penal sentences and justice (risk assessment, disengagement, education and training).

1.2 Target groups

This handbook is primarily intended for prison wardens, directors of closed institutions and personnel in positions of leadership in the penal system. It aims to introduce the concept and ensure that they are aware of the framework conditions that need to be created for the implementation of dynamic security. The handbook may also be of interest to specialists at a cantonal, concordat or federal level as well as to researchers, as it serves to explain the execution of penal sentences and justice in general and the concept of dynamic security specifically, familiarising them with these areas. It should be noted that this handbook focusses exclusively on the closed prison system. As part of further work, the concept should also be extended to work *extra muros* and brought into adequation with the concepts already in place there.

1.3 How was the handbook developed?

This handbook is based in part on a review of the existing **literature**. In addition to a specific search conducted using the not yet widely used term of "dynamic security", this research also took into account work on topics such as relationship formation in the prison system, the role of employees, human rights and the prison system and conflict prevention in prisons. The literature on sustainability, prevention and security in general was also considered.

In order to get a grasp of the level of awareness and implementation of the concept of dynamic security on an international level, as well as the way in which the topic is taught and trained, a **survey** was conducted in March 2019 using the EuroPris Knowledge Management System (KMS). EuroPris is the organisation of European prison and correctional services, which the SCEPP joined in 2018. All member states can be reached via the KMS. In the survey, the members were asked with respect to the implementation status of dynamic security within their institutions and whether and how the concept is taught. A total of ten member states answered the survey, most of which were well aware of the notion of dynamic security. A minority explicitly teach the concept. For their teaching activities, the training centres primarily use the United Nations Office on Drugs and Crime (UNODC) handbook, which also provided direction for this SCEPP handbook.

The expertise and experience of practitioners working in the execution of penal sentences and justice were incorporated via two channels. On the one hand, a total of ten **workshops** – five in German and five in French – were held between January and June 2019 with representatives (primarily security managers) from 12 institutions overall. In order to take account of the heterogeneity of the prison system, representatives from various institutions were invited, including correctional adjustment centres, remand prisons and institutions for short and long prison sentences. During these workshops, the participants were asked to share

good practices and identify the need for action in different areas. The areas covered were security, prevention, personnel and information. The following issues, among others, were addressed: Is the concept of dynamic security known as such? If so, in what form? Which practices exist that correspond to the concept of dynamic security? Which structural and cultural conditions need to be created in practice in order to develop institutions based on dynamic security? In what form should the "Dynamic Security" handbook be communicated and to whom should it be addressed?

In a second step, from June 2019 on, several **visits to institutions** were carried out on the basis of the findings of the workshops. As part of these visits, the prison wardens and concordat secretaries were interviewed using a standardised questionnaire on the degree of implementation of dynamic security and the need for action in this regard.

During the autumn and winter periods 2019, three international experts were consulted in order to obtain feedback on the draft versions of the handbook. The Dynamic Security Working Group also commented on the draft handbook during this period. During the first half of the year 2020, the directors of the cantonal offices for the execution of penal sentences and justice as well as the secretaries of the concordats were invited for consultation. In November 2020, the CCDJP finally took note of the manual.

1.4 The importance of dynamic security in the current political climate

The prison landscape has undergone fundamental changes in recent decades. In their seminal article "The New Penology",[4] which appeared in 1992, the researchers Feeley and Simon described the arrival of a new era in which the penal system is shaped by managerial logics. In this era, focus is placed on the reduction and management of risk groups, while tasks of care and support diminish in importance. This is accompanied by an increasing focus on technologies and data processing as well as the greater use of risk assessment tools.

Since their article was published, many of their predictions have been confirmed. The criminal policy of European states is increasingly preoccupied with the management of risk and ensuring security. European societies are also increasingly risk-averse and characterised by greater punitivity. In the quest for efficiency, voices are being raised in favour of the consolidation or even centralisation of prisons. Switzerland is, of course, also affected by these social and security policy trends.

Andrew Coyle and Helen Fair, the authors of the handbook "A human rights approach to prison management",[5] write that attitudes towards human rights principles in the security sector have changed over past decades. Following the Second World War, there appeared to be a consensus that universal human rights are essential, including those of prison inmates. At the beginning of the 21st century, however, the belief gradually started to spread that current threats are so serious that human rights can no longer be applied in such a universal manner. The authors refer primarily to inmates who are considered as threats to national or international security. Individuals imprisoned for offences related to terrorism embody such threats.

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[4] Feeley & Simon (1992)
[5] Coyle & Fair (2018)

With regard to the prevention of violent radicalisation, focus in recent years has been placed increasingly on prisons, as many of the perpetrators of the attacks in France, Belgium and the UK had previously spent time in prison, and had reportedly been radicalised during their incarceration. Voices have been raised that qualify prisons as "hotbeds of radicalisation".

In many respects, prisons of course offer both the reason and opportunity for radicalisation. Those who are imprisoned by the state tend to have a negative attitude towards it. Imprisonment is a form of violence against which an inmate can understandably develop a considerable sense of resentment. There is also the fact that, within an institution, individuals can be influenced by others or can themselves exert influence on others.[6]

To a certain extent, the phenomenon of terrorism now epitomises the threat to national and international security. Certain groups of individuals, especially inmates, who are associated with Islam, are thus often placed under general suspicion, even within the prisons themselves. The risks of overreaction, suspicion and stigmatisation are correspondingly high and endanger the implementation and maintenance of dynamic security.[7]

In such a political climate, it is not easy for prison directors and managers to always maintain a balance between the imperatives of security and rehabilitation. It is, however, of utmost importance to enact the required structural and personnel changes to ensure and support the development of dynamic security within the institutions. The execution of penal sentences and justice remains a primarily social and human task. If the concept of dynamic security is attributed the required importance and resources, the prevention of a series of threats to the safety and security of inmates and employees, including violent radicalisation, can be promoted, while mitigating the risks of overreaction and stigmatisation.

[6] Hamm (2013)
[7] Liebling & Williams (2017)

1.5 The Swiss prison landscape

In keeping with Switzerland's federal tradition and as stated in article 123 of the Swiss Federal Constitution (SFC)[8], the execution of penal sentences and justice is subject to **cantonal** sovereignty. While the cantonal competency can be a major advantage, as it allows for the adaptation of practices to local needs, it also leads to major differences in terms of standards and practices between prisons within Switzerland. All cantons belong to one of the three concordats and have legal bases at different levels for the regulation of prison practice. These include laws, ordinances, guidelines, recommendations, information sheets and house rules. At a micro level, practices are influenced by the house rules as well as the implementation of regulations and directives of the prison facility in question.

The Swiss context is therefore characterised by considerable heterogeneity. The 102 institutions are of different sizes: while the smallest prison accommodates just five prisoners, there is room for 398 inmates in the biggest.[9] Prisons also fulfil different legal mandates: they can be used for administrative detention, in connection with criminal proceedings (pre-trial and preventive detention), under the law on foreigners and integration, as well as for the various forms of criminal imprisonment. In addition to prisons, there are other penal institutions as well as institutions for the execution of therapeutic measures, whereby the latter have a primarily therapeutic focus and therefore tend to have more resources in terms of personnel. In these institutions, relationship building is already an important part of their care mandate. Furthermore, criminal sanctions are also implemented in institutions that are not under the jurisdiction of the prison authorities. These include psychiatric clinics and privately-run residential homes.

A team of Norwegian researchers found that the implementation of dynamic security in small institutions (with up to 50 inmates) tends to be easier than in medium-sized and large institutions. In smaller institutions, the contact between employees and inmates is often more intensive, meaning that many problems can already be identified at an early stage. Employees often have several functions (supervision, team management, administration, etc.) at the same time and as a result are confronted with the everyday life of inmates in a more comprehensive way. According to the surveys conducted by the research team, inmates at smaller institutions felt better observed and confirmed being treated more humanely; a fact that allowed them to use their period of imprisonment in a constructive manner. The lower health costs at such institutions are likely also connected to this.[10] Larger facilities, on the other hand, have more opportunities and resources for the implementation of interventions and rehabilitation programmes.

The realities of the Swiss prison landscape must of course be taken into account in the efforts to implement dynamic security. With this in mind, this handbook should provide explanations and food for thought with respect to structural and operational adjustments. However, it falls within the remit of practitioners and experts at the correctional services and prison institutions to determine which aspects are important for their respective contexts and should be promoted within the political environment they operate in. The SCEPP is convinced that all prison institutions can benefit from the promotion of dynamic security, be this for the strengthening of security within the framework of prevention, the creation of a sustainable working environment or the more effective ful-

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[8] In accordance with Article 123(1) of the SFC, legislation in the area of criminal law is the responsibility of the federal government. Pursuant to Article 123(2) of the SFC, on the other hand, the execution of sentences and measures falls under the remit of the cantons unless the law specifies otherwise.

[9] www.bfs.admin.ch/bfs/en/home/statistics/crime-criminal-justice/execution-penal-sentences-justice/penal-institutions.assetdetail.8126302.html

[10] Johnsen, Granheim & Helgesen (2011)

filment of their rehabilitation mandate. This requires, among other things, that the principles of dynamic security become an integral component of the working methods, understanding of security and vocabulary of prison practice.[11]

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[11] For example, through the development of a "dynamic security" concept at the institution level in accordance with the recommendations of the SCEPP Security division.

2. DYNAMIC SECURITY IN THE EXECUTION OF PENAL SENTENCES AND JUSTICE

2.1 Three dimensions of security

Prison institutions fulfil an important security mandate. They should prevent inmates from committing harmful offences that could endanger third parties or public safety. This security can be ensured in various ways. On the one hand, institutions have **passive security** with a physical infrastructure and the corresponding technology (e.g. walls, secured doors, locks, gates, cameras, metal detectors, signal detectors). On the other, **procedural security** is ensured through the clear definition of processes within the context of the work conducted in prisons, thereby providing employees with the confidence to act. For example, it is helpful for employees if entry procedures, cell searches, the processing of enquiries and conflict management, among other issues, are standardised and available in written form.

The personal and social component is at least as important for security in the execution of penal sentences and justice. In addition to prison staff, a range of specialist staff (social, medical, therapeutic, etc.) intervene within the institution and interact with inmates. **Dynamic security** refers to the interactions between employees and inmates. It is ensured if employees know the inmates well and interact with them frequently, are aware of their health situation (i.e. any somatic and mental condition) and development, treat them in a respectful and fair manner and create an environment in which inmates turn to employees in order to ask them for help or to draw their attention to any issues that may arise.
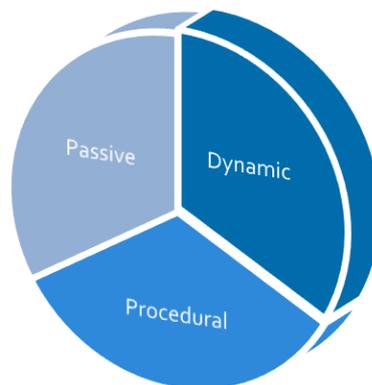
Figure 1:
The three dimensions of security

2.2 Definition

While aspects of dynamic security (respect of human dignity, use of force, etc.) are found in many laws and recommendations, the concept is rarely mentioned *per se*. The following definitions are provided by international recommendations:

"The security which is provided by physical barriers and other technical means shall be complemented by the dynamic security provided by an alert staff who know the prisoners who are under their control".[12]	Rule 51.2. of the European Prison Rules (Rec(2006)2)
"The maintenance of control in prison should be based on the use of dynamic security, that is the development by staff of positive relationships with prisoners based on firmness and fairness, in combination with an understanding of their personal situation and any risk posed by individual prisoners".[13]	Rule 18a of the Recommendation Rec(2003 (23)) of the Committee of Ministers on the management of life sentence and other long-term prisoners
"Staff shall develop a dynamic approach to safety and security which builds on positive relationships with juveniles in the institutions."[14]	Rule 88.3. of the Recommendation Rec(2008)11 of the Committee of Ministers on the European rules for juvenile offenders subject to sanctions or measures
"Dynamic security is a concept and a working method by which staff prioritise the creation and maintenance of everyday communication and interaction with prisoners based on professional ethics. It aims at better understanding prisoners and assessing the risks they may pose as well as ensuring safety, security and good order, contributing to rehabilitation and preparation for release. This concept should be understood within a broader notion of security which also comprises structural, organisational and static security (walls, barriers, locks, lighting and equipment used to restrain prisoners when necessary)."[15]	Guidelines for prison and probation services regarding radicalisation and violent extremism, adopted by the Committee of Ministers on 2 March 2016

[12] www.refworld.org/docid/43f3134810.html
[13] www.ochrance.cz/fileadmin/user_upload/ochrana_osob/Umluvy/vezenstvi/R_2003_23_management_of_life_sentence_and_long-term_prisoners.pdf
[14] www.unicef.org/tdad/councilofeuropejjrec08(1).pdf
[15] rm.coe.int/CoERMPublicCommonSearchServices/DisplayDCTMContent?documentId=09000016806f3d51

The training of staff should include the following:	Rule 76c of the Nelson Mandela Rules (2015)
"Security and safety, including the concept of dynamic security, the use of force and instruments of restraint, and the management of violent offenders, with due consideration of preventive and defusing techniques, such as negotiation and mediation". [16]	
To reduce inherent tensions within the institution, experience shows that a core strategy is to	UNODC checklist for assessing compliance with the Nelson Mandela Rules
"invest into the concept of dynamic security: fostering positive prisoner-staff relations, ensuring an adequate ratio of staff to prisoners, diverting the energy of prisoners into constructive activities and establishing a decent and balanced prison regime".[17]	

Through the use of the term dynamic security, the literature repeatedly makes reference to the **role of prison staff**, referring to their vigilance, relationship formation with inmates and knowledge of their requirements and risks. Inmates should also be involved in constructive activities. Finally, reference is likewise made to the importance of the staffing ratio: without sufficient personnel, dynamic security cannot be ensured.

It is interesting to note that despite the intensive discussion of the concept, there is apparently still no consensual definition of the term in the specialist literature. The SCEPP therefore proposes the following definition:

> *"Dynamic security means the shaping of everyday life in the execution of penal sentences and justice, in particular the interactions between prison staff and inmates, in a manner that is humane, respectful and fair and which ensures and positively influences the flow of information within the institution. This should allow for relevant changes in behaviour to be identified and understood in good time with the objective of exerting influence in a targeted manner and contributing to the rehabilitation of the inmates".*

2.2.1 The right balance

Successful security management means that none of the three security components is given disproportionate weight and that instead a balance is always maintained. Relying exclusively on passive security, i.e. technology and infrastructure, for the running of a prison would have devastating consequences. Undeniably, however, high-quality infrastructure, both in terms of construction and technology, is crucial, relieves the burden placed on employees and protects them in many areas. Furthermore, without passive and pro-

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[16] www.unodc.org/documents/justice-and-prison-reform/Nelson_Mandela_Rules-E-ebook.pdf
[17] www.unodc.org/documents/justice-and-prison-reform/UNODC_Checklist_-_Nelson_Mandela_Rules.pdf (Page 13).

cedural security, dynamic security cannot be ensured in the first place. The security of a prison is guaranteed by the existence of effective and solid infrastructures as well as clear and reliable procedural security measures and the implementation and promotion of dynamic security.

2.3 Why implement dynamic security?

Dynamic security not only contributes to the fulfilment of the prison system's security mandate, but is also of central importance for a further task. According to Article 75 of the Swiss Criminal Code, imprisonment must, in particular,

> *"encourage an improvement in the social behaviour of the prison inmates, and in particular their ability to live their lives without offending again. The conditions under which sentences are executed must correspond as far as possible with those of normal life, guarantee the supervision of the prison inmates, counteract the harmful consequences of the deprivation of liberty and take appropriate account of the need to protect the general public, the institution staff and other inmates".*

The concept of dynamic security takes account of the fulfilment of Article 75. The atmosphere within an institution and the influence of employees are of enormous importance for the rehabilitation of inmates. In a sense, the dynamic dimension of security therefore has a more comprehensive role to play than passive or procedural security. Taking account of the concept of dynamic security in the training of employees and its implementation in the day-to-day running of institutions can make a major contribution to both internal security and ultimately, through the successful rehabilitation of inmates, public safety.[18] In many respects, the systematic implementation of **dynamic security** has a positive effect on everyday life in a custodial institution as well as on its effectiveness in preventing recidivism:

Internal legitimacy
If employees know the inmates well and treat them in a respectful and fair manner, this serves to promote the internal legitimacy of an institution. This means inmates appreciate the role played by employees and grant them legitimacy despite the fact that they find themselves in a context in which they are deprived of their fundamental right to freedom. The work performed by the employees is rather viewed as fair and transparent and frustration on the part of the inmates is prevented. This not only promotes the respect that the inmates have for the employees and the institution itself. Rather, studies show that an **increased level of internal legitimacy also gives rise to a heightened degree of external legitimacy**: this means that inmates also develop a more positive attitude towards the judicial system. If inmates experience their trials as fair and transparent, the attitude they adopt towards their sanction is more constructive, irrespective of the actual outcome. Internal legitimacy therefore creates important foundations for rehabilitation work.[19]

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[18] Zahars & Stivrenieks (2018)
[19] Crewe (2011)

Prevention

An operation that is based on dynamic security boosts the prevention of riots within the institution as well as violence between inmates, towards employees and towards themselves. In particular, if employees are in regular contact with inmates, pay attention to the condition of their health and perceive changes, especially with respect to a deterioration in their condition or behaviour, they can seek to talk about the issue at hand in good time and introduce appropriate measures. Attentive and interested employees also become aware of changes in the dynamics between inmates more quickly, and can, as a result, prevent violent conflicts in good time. Finally, dynamic security also encourages inmates to turn to staff in case problems occur. This means that employees gain quicker access to information to which they can in turn respond to in a timely manner. There is, hence, a very pragmatic reason for the implementation of dynamic security: it works. [20]

A healthy operating culture

In a certain sense, the institution is a home for both employees and inmates. A place where one spends such a significant amount of time should offer a pleasant and healthy environment to the greatest possible extent. The principles of dynamic security are geared towards creating a healthy operating culture in which both employees and inmates can develop positively. A key contribution made by dynamic security is the humanising effect brought about by the increased level of exchanges between employees and inmates: more intensive interpersonal dynamics mean that both employees and inmates perceive each other as human beings within the framework of their professional working relationship and premature stigmatisation and frustration-related cynicism can be avoided. A healthy working environment ultimately promotes sustainability and the health of employees, which pays off for an institution in the long term from both a personnel and operational perspective. [21]

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[20] Crétenot (2013)
[21] Avakian (2000)

3. IMPLEMENTATION OF DYNAMIC SECURITY (I): THE KEY ROLE OF EMPLOYEES

In the following two sections, the implementation of dynamic security in the execution of penal sentences and justice is explained. This section specifically addresses the role of employees, while section 4 presents considerations on strategic and operational aspects that are important for successful implementation during everyday activities. In other words, practical implementation is first described at the micro level. In a second step, the framework that creates the conditions for and strengthens this practical implementation is explained.

This section is divided into two parts: in a first step, the role of employees is looked at, taking account of various areas of tension, and the notion of dynamic authority is addressed. In a second step, this section explains the different aspects of dynamic security during day-to-day activities that are implemented by employees during their interactions with inmates. In addition to a description of the ideal implementation of these aspects, proposals are made with respect to good practices and helpful tools ("tools and good practices") that can support the implementation process. It should be noted that these suggestions do not claim to be exhaustive. Above all, the various examples should provide food for thought.

3.1 «Dynamic authority»: the role of employees in the execution of penal sentences and justice

Prison staff undeniably play a key role in the everyday running of their institutions. For inmates, employees are the first point of contact. The motivation, attitude and disposition of employees determine, to a large extent, how inmates perceive and experience their imprisonment and possibly their punishment. In the areas of tension between the provision of support and supervision, between rehabilitation and security and between control and trust, the task faced by employees is very complex and challenging.[22]

Employees are figures of authority.
They are responsible for ensuring social order within an institution and specifically exercise their authority for this purpose. Formally, this authority is conferred upon them by law and the institution itself. At an informal level, however, establishing authority frequently involves a **constantly recurring process in which employees have to legitimise their position to inmates**. The form in which authority is used or has to be exercised depends greatly on the extent to which employees are considered legitimate in the eyes of inmates. This legitimacy in turn depends on the attitude adopted by employees towards inmates and how they behave towards them. It is in no small part due to this mix of power dynamics and relationship work that working within the prison system represents a major challenge.

The term «**dynamic authority**» is appropriate here in light of the dynamic form in which authority is handled by employees within the complex everyday environment of the prison system. In the context

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[22] See Schneeberger Georgescu (1996) in this regard

of dynamic authority, it is important that employees are aware of these processes for the establishment and exercising of authority. If dynamic authority is developed on a continuous basis and applied in a skilful fashion, it can significantly facilitate and promote the implementation of dynamic security.

One way in which dynamic authority manifests itself is through the **discretion** that employees have when dealing with inmates. Within the legal requirements, they make decisions on a daily basis as to which rules are applied, how they are applied and when they are applied. Prison employees often use their authority to deal with problematic situations. This may not necessarily involve strictly implementing rules. These recurring decisions make up dynamic authority and it is only because of that discretion that the everyday running of prisons functions in the first place.

The prison system researcher Alison Liebling proposes defining the optimal use of dynamic authority on the basis of five areas of tension.[23] These are as follows:

- Rules by the books vs Rules in practice
- "Good" vs "right" relationships
- "Tragic" vs "cynical" perspective
- Security-oriented (reassurance safety) vs relationship-oriented action (relational safety)
- "Good" vs "bad" confidence

These areas of tension are addressed below. It should be noted that this is a model and that reality always entails a significant level of complexity and a mix of all aspects. However, the abstraction allows for certain dynamics and tendencies to be highlighted that can be of great importance for the implementation of dynamic authority.

3.1.1 Rules by the book vs rules in practice

As already mentioned, discretion is an essential and unavoidable part of the work performed by prison staff. In analogy to the principle of discretion, employees time and again make decisions *not* to apply certain rules (under-enforcement[24]), as they neither deem them to be appropriate nor expedient in light of the specific situation at hand. In such situations, while a rule could be enforced, it seems "more right" not to do so and perhaps to seek a discussion or approach the problem in a different, more sustainable way. Depending on the requirements stipulated by the management of the correctional facility in question, this is at the discretion of the employees. To a certain extent, making such decisions is also their core competence. As experts in dealing with inmates, they know how they have to behave within the legal framework and applicable operational requirements in order to ensure that everyday prison life is as smooth as possible. Liebling describes the under-application of their authority as the most important, although the most difficult, part of the work performed by prison staff.

It is important that prison staff at all levels are aware that this discretion exists and that its existence is justified. This awareness also highlights the complexity of prison work. Employees are often unaware themselves how frequently they make use of this under-application, as such decisions are made at the level of "tacit knowledge", which is not always easy to describe and explain.

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[23] Liebling (2011)
[24] There can, of course, also be an over-application of this authority. The discretion enjoyed by prison staff, however, primarily manifests itself in *under*-application.

3.1.2 "Good" vs "right" relationships

For prison staff, dealing with proximity and distance is part of their everyday activities; shaping relationships within this area of tension is nonetheless a major challenge. There is agreement in the view that neither relationships that are too "close" nor relationships that are too "distant" represent an expedient approach. However, both very close and very distant relationships can be perceived by inmates to be "good". If employees spend almost no time in a certain wing, this may result in inmates feeling they are "left in peace" and they therefore consider the interaction to be good and unproblematic. In such cases, "good" doesn't necessarily mean "right". In particular, dynamic security involves employees paying a high level of attention to conditions within the inmate population and any changes that may take place. This cannot be accomplished with distance.

"Right" relationships lie somewhere between proximity and distance, between formal and informal interactions and between the under- and over-application of rules. Such relationships are by no means characterised by a renunciation of authority. On the contrary: employees make conscious use of their authority in a calm and respectful manner that allows them to maintain control and also create a constructive atmosphere. They are aware that a silent agreement is in place in any case according to which the staff governs social order within the institution.

3.1.3 "Tragic" vs "cynical" world view

Employees can bring both a "tragic" and "cynical" world view to an institution. A cynical world view is strongly oriented towards differences between "good" and "evil" and dividing groups of people (often definitively) into one of these two categories. A tragic world view means that, in principle, all individuals are basically viewed as equal or similar and that certain individuals are worse off than others due to the course their life has taken or their life circumstances. This world view takes account of the complexity of the world and comprehends human suffering within this complexity. From a tragic perspective, it is difficult to distinguish between "good" and "evil" and to classify people based on such attributes.

Employees who have a tragic world view also demonstrate greater understanding towards the imprisonment situation of the inmates. They are aware that imprisonment fundamentally represents a strict regime that isolates people from the outside world, making their social structures practically inaccessible to them. They are also sensitised to more subtle, less visible moments of frustration and experiences during day-to-day prison activities. For an inmate, seemingly unimportant things can take on great significance within the context of highly regulated and institutionalised everyday prison life. Thanks to this understanding, employees with a tragic world view can exercise their dynamic authority more effectively.

3.1.4 "Security-oriented" vs "relationship-oriented"

The prison system is a security domain. Employees are aware of the risks they face in performing their work and also understand that they should not make risk and security considerations the core of their work philosophy. According to the "tragic vs cynical" perspectives described above, two basic attitudes can be identified, which of course cannot be clearly separated: a **security-oriented** attitude is linked with a tendency towards having a cynical world view. Such an attitude primarily involves scepticism and mistrust of inmates and manifests itself in the form of distanced observation as well as the more rapid implementation of coercive measures and application of discipline in problem situations

(referred to as reassurance safety by Liebling). Individuals who are greatly influenced by a security-oriented approach tend to put less effort into understanding the personal stories of inmates and primarily operate within risk-averse parameters. **Relationship-oriented** employees, on the other hand, create a certain sense of security in proximity to inmates, observe them from close quarters and tend to use verbal intervention tactics to resolve problematic situations (i.e. relational safety).

According to Liebling's findings, inmates often prefer relationship-oriented employees and are able to better work toward rehabilitating themselves with this type of prison staff. It is once more important to note that relationship-oriented employees do not relinquish their authority in any way. They know how to gain a certain level of comfort and confidence in their relationship with inmates and at the same time maintain their authority, meaning that they also gain the respect of inmates and legitimacy. In such relationships, authority and power are enforced at a very subtle level in order to allow for the smooth running of everyday prison life.[25]

3.1.5 "Good" vs "bad" confidence

Finally, nuances can also be identified in terms of the confidence of employees. While employees may be perceived to be confident, this does not necessarily take positive forms. "Bad confidence" is associated with a form of carelessness or a lack of awareness with respect to how a member of staff exercises his or her own power. "Good confidence", on the other hand, means that employees act in a confident manner but can also show flexibility and forbearance where they consider this to be necessary and helpful.

3.1.6 Ideal use of dynamic authority

Exemplary employees are characterised by a thorough understanding of the power they possess as well as by their sensitivity towards individuals and the specific prison context they find themselves in. They apply their authority in a strategic and self-assured manner, while at the same time demonstrating forbearance and empathy. They shape their relationships with inmates in a way that gives them legitimacy and has a positive influence on everyday prison life. In performing their work, they demonstrate an attitude towards people that is based on empathy and takes account of human behaviour. They do not rely on discipline-oriented security implemented from a distance, but rather gain a sense of security through their interactions and thanks to an in-depth knowledge of the inmates.

Finally, it should be noted that authority can never be handled in a perfect manner. In a way, one will always be working towards achieving an ideal. Employees within the prison system have great responsibility and have to navigate a complex and sensitive environment. With the help of continuous self-reflection, a culture in which mistakes are handled constructively as well as mutual support, employees can improve and develop their ability to deal with dynamic authority.[26]

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[25] It should be noted here that within the prison there are various types of functions and deployment areas, which can reinforce the tendency towards security- or relationship-oriented approaches (e.g. high-security wing vs commercial).
[26] Here, the conditions created by the institution in question of course play an important role. These conditions are addressed in section 4.

3.2 Dynamic security in everyday prison life

What does dynamic security look like when implemented on a daily basis? Following the discussion of dynamic authority and its ideal use, the next step is to describe the individual aspects of dynamic security and demonstrate how they can be optimally implemented by employees. These have been developed on the basis of the UNODC Handbook on Dynamic Security and *Prison Intelligence*[27]. While of course taking into account the length of the inmate's stay at the custodial institution, this ideally involves ensuring that

- staff are attentive and know the inmates well (3.2.1)
- employees regularly seek contact with the inmates (3.2.2)
- positive and professional relationships are created and promoted (3.2.3)
- problem situations are tackled in a way that is focused on de-escalation (3.2.4)
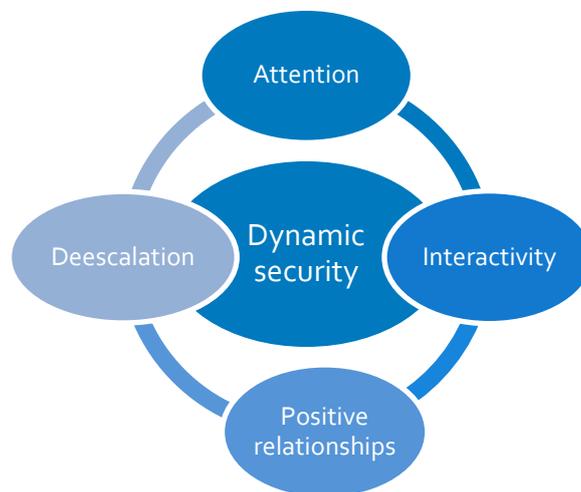
Figure 2:
Aspects of dynamic security in practice

3.2.1 Attention and knowledge of the inmates

An important aspect of dynamic security is the adoption of a generally attentive attitude towards inmates, while at the same time respecting their privacy. While openness and a certain degree of honest curiosity can be helpful, potentially unpleasant questions should be asked in a tactful and respectful manner. Despite the coercive context, the privacy of inmates should be respected to the greatest extent possible in this regard.[28]

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[27] *UNODC Handbook on Dynamic Security and Prison Intelligence (2016)*
[28] See also Siegenthaler (2014)

3.2.1.1 Knowledge of personal circumstances

An understanding of the **personal circumstances** which have led to an individual being imprisoned can be very helpful. This does not mean that all details of the (possible) delinquency of the inmate have to be known. However, staff should be provided with a general impression of the various problem situations. Knowledge of inmates' biographies and their case histories is important in so far as it allows staff to better assess the backgrounds and experiences of the individuals, allowing them to effectively shape their relationship work.

It is essential that staff are aware of the person's **origin and language skills** and, where appropriate, use other members of staff, inmates or resources such as online translation tools to communicate with them. Due to the significant share of inmates who do not speak the language of the institution, language barriers make communication during everyday life in Switzerland's prisons difficult. Employees should, however, make use of all personnel and material resources available at the institutions in order to overcome these barriers as well as possible. Furthermore, any intellectual weaknesses of the individual in question should be taken into account in dealing with them, without engaging in stigmatising behaviour.

It is also helpful if employees are aware of the individual's **social contacts**: What does their social network look like outside the institution? Who are the key people in the individual's environment and how do they currently feel about them? Employees can obtain such information directly from inmates, for example before or after visits or upon the receipt of letters, when discussions about the importance and role of the visitors or senders can be held. Employees can also seek to talk to social services.

At a collective level, it can be helpful if employees have a general knowledge of the different groups and "sub-cultures" within the inmate population. Which language, ethnic, national and cultural groups exist? Which groups are taking shape? How do they interact? Is there potential for conflict? Knowledge of possible fragmentation within a ward as well as the group dynamics and power relations can greatly facilitate communication with inmates and support the early identification of problematic developments.

3.2.1.2 Knowledge of risk groups

Ultimately, it is also important that employees are aware of **risks** posed by certain inmates and know how to deal with them. These risks can affect both the inmate personally (e.g. self-mutilation, suicide risk) as well as other inmates or staff (e.g. violence, threats or manipulation). It is important that employees are aware of how to deal with these risks in a pragmatic and safe manner, avoiding hypersensitivity, overreactions or stigmatisation in the process.

3.2.1.3 Health of inmates

Prison conditions such as living closely together with others in a highly restricted environment with little freedom in terms of choice and movement can have a negative impact on the health of inmates. It is therefore important that employees are aware of the condition of an individual's health. Do they suffer from certain diseases? Does the person in question have specific medical requirements? What about the inmate's mental state? Do they suffer from psychological trauma or other issues? Employees

obtain such information from the inmates themselves or in dialogue with healthcare employees (to the extent that the disclosure of the information is permitted under medical secrecy).

Tools and good practices: Attention and knowledge of the inmates

Briefing upon new arrivals
Information on new arrivals should be clearly communicated within the relevant wards and the institution. Employees should be provided with as much information as possible about new inmates without having to read through their files. This means that details of specific characteristics, vulnerabilities or risk features, for example, as well as instructions and advice on how to deal with the individual in question, must be known by employees upon the inmate's arrival or at least be accessible to them.

Further training on intercultural communication
Further training and seminars can be helpful in promoting intercultural skills. These can be organised both internally and externally. In this regard, we refer to the further training offer of the SCEPP.[29]

Support and guidelines for the identification and handling of risk groups
Information sheets, checklists and other guidelines can offer support in the early identification of vulnerabilities and risks. These contain indicators and warning signs that provide information on how risk groups can be identified and, where necessary, on how to deal with them. These should be updated on a regular basis and communicated to employees within the framework of internal training courses. The relevant documents should also be accessible to employees at all times.

Caution with respect to "blind spots"
Attention should nevertheless be paid to inmates who in principle appear unproblematic. Inmates may suffer from certain vulnerabilities such as a suicide risk but be neglected due to their inconspicuous behaviour. It is therefore important to remain as vigilant as possible towards all inmates within the framework of dynamic security.

Training of employees in the area of health
Employees should possess basic knowledge in the area of health. If an individual requires immediate help in an emergency, it is often prison employees who are first on the scene. They should therefore be trained in first aid (taking their own safety into account) and be able to respond quickly in such situations. In the context of prevention, employees need to know what measures have to be taken if, for example, there is a risk of self-harm. Inmates can also have complex vulnerabilities and psychological disorders. Employees should be provided with basic knowledge of these and receive training on how to handle them correctly.

Integration of social services within the operation of an institution
The embedding of social services within an institution's operations as well as regular exchanges with them in all of the institution's wards can make it easier for staff to stay abreast of an individual's current social circumstances.

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[29] www.skjv.ch/de/bildung/weiterbildung

3.2.2 Interactivity

3.2.2.1 Regular contact

Staff should seek frequent and **regular contact** with inmates in order to get to know them better, to build relationships and improve the working atmosphere. This means that as much time as possible should be used for contact whenever the employee's daily routine allows for that. Employees should thus be present and approachable in the corridors or courtyards during breaks, thereby creating opportunities for discussions and exchanges. Interactions that take place when staff accompany an individual to certain appointments or when opening and closing cell doors can also be used for brief exchanges and dialogue.

The objective is not to have an in-depth conversation every time, but rather to maintain a flow of information and for employees to signal their approachability and availability to inmates. The **regularity and frequency of conversations**, be these within the context of a brief verbal exchange or during lengthier everyday discussions with inmates, mean that inmates are more likely to come into contact with employees and repeatedly have the opportunity to draw the attention of employees to problems within the institution. This development of trust can make it considerably easier for employees to gain information. Frequent interactions can also help to break down stereotypes and dispel the notion of inmates as enemies. This in turn can contribute to the prevention of conflicts, support relationship work and improve the working atmosphere in general.

Areas to which inmates have no access can of course be used by employees to take a break. However, they should not be used systematically to avoid contact with inmates.

3.2.2.2 Personalised supervision

Promoting **forms of personalised supervision** can be of great benefit both for an interactive prison environment and for bringing about improved knowledge of the inmates. Essentially, this is a matter of distributing employee resources more efficiently among the inmates. A system in which all employees deal with all inmates ensures that all members of staff are informed. However, such a system is not suitable for deepening relationships with inmates, promoting knowledge of them and quickly recognising changes and developments. There are many forms of personalised supervision and each institution should choose and develop the best model for itself. Whatever this management looks like, it should allow for inmates to be supervised in an individualised, decentralised and personalised manner.

Tools and good practices:
Interactivity

Anchor the principle of proactivity
The principle of proactivity should be an essential component of an employee's function. This involves proactively seeking out inmates and making use of the various opportunities for contact and dialogue. In order to promote this aspect during an individual's initial phase of employment, it can prove helpful to thoroughly address the principle of proactivity (e.g. principle of dual control) within the framework of their basic training (e.g. cantonal introductory training, SCEPP basic training). It should also be possible to discuss this aspect as part of employee assessments.

Create opportunities for staff to take a break
Adopting a proactive approach can demand a great deal of energy from staff. It is important that employees have opportunities to take a break as well as the chance to work in different areas of responsibility (e.g. lodge). When employees are working within a prison's wards, proactivity should be ensured to the greatest extent possible.

Establish management units
The subdivision of an institution into management units means that employees are split into teams that look after a specific group of inmates. This allows employees to focus on a smaller number of individuals and to deepen their relationships with them. Information paths are also shortened as a result and there are greater opportunities for teamwork thanks to the straightforward nature of this approach. In practice, this often involves spatially separated wards or wings

Reference person system
The reference person system provides that each inmate is assigned a certain member of staff as a first point of contact. The task of this member is also to regularly obtain information on the inmate's health and behaviour. Individual employees have a greater level of responsibility here – at the same time, however, they enjoy greater trust and have more discretion. They need to ensure that relevant information is passed on to other employees and fed into the relevant information channels. The careful handling of proximity and distance is especially important in this system.

Track and evaluate the objectives of inmates
Regular (e.g. bi-monthly) meetings with an inmate can be used to discuss and agree objectives for their personal and professional development. Computer programs that are accessible to all employees who have contact with inmates and where the development of inmates can be documented and tracked on an ongoing basis are helpful here. The development of the respective inmate should be assessed in writing in consultation with all of the involved employees; the assessment should be discussed with the inmate in question.

3.2.3 Positive relationships

Employees should promote positive relationships with inmates. Positive relationships are at the heart of the concept of dynamic security. On the one hand, it is important to cultivate a respectful, open and empathetic approach that creates the setting for positive relationship experiences. At the same time, this positive approach should be accompanied by the coherent, systematic and specific implementation of the rules (see professionalism below), which can also be described as "friendly persistence".[30] This also means that attention should be paid to ensuring the right balance between proximity and distance. It is not always easy to find this balance. A healthy portion of self-criticism and a culture in which mistakes are handled constructively can make this task easier.

3.2.3.1 Master dynamic authority

As already mentioned, the right relationship is somewhere between proximity and distance and between the *over- and under-*application of rules. Dynamic authority means that employees exercise their authority consciously in order to ensure social order within their institution. A primarily cooperative attitude takes precedence here over the rigid enforcement of rules or the use of physical measures. This does not mean that employees should relinquish their authority. Through continuous reflection, mutual constructive criticism and support, as well as openness and a willingness to learn, employees become experts in finding the right balance in applying their dynamic authority.

The behaviour of employees can have both a negative and positive impact on their relationships with inmates. It is important, for example, that the privacy of inmates is not unnecessarily violated. On the other hand, proactive behaviour and a systematic approach to the handling of requests and needs can promote and strengthen relationships.[31]

3.2.3.2 Build trust

Trust is an essential element of relationship building. Inmates and employees must be able to place professional trust in one another. Transparency, openness and empathy, as well as the fair and consistent enforcement of rules, can promote the legitimacy of employees in the eyes of inmates. The form of trust that is essential in the context of the application of dynamic authority is also referred to as "intelligent trust". Intelligent trust is established where those involved in a professional relationship experience mutual recognition and ideally are able to work together on the individual imprisonment objectives.

When dealing with risk groups, there may be a loss of trust owing to the increased vigilance of employees. This problem has often been reported in recent years in dealing with violent radicalisation within the jihadist spectrum. As employees attempt to ensure that risks are identified at an early stage, a form of mistrust can emerge as well as an increased distance between employees and inmates. This can lead to a deterioration in the relationships, making it more difficult to implement dynamic security.[32]

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[30] See also Mayer (2009) in this regard
[31] See also Kähler & Zobrist (2013) in this regard
[32] Hofinger & Schmidinger (2017)

3.2.3.3 Professionalism and fairness

All inmates should be treated both fairly and with dignity. Individual inmates must neither be discriminated against nor receive privileged treatment. In principle, inmates should also be dealt with in a pleasant and respectful manner, bearing in mind that **pleasant does not mean overly friendly**. A pleasant and accommodating approach is helpful for the working atmosphere and provides legitimacy and authority at the same time. An overly friendly approach appears frivolous and is detrimental to an employee's legitimacy and authority, as it tends to lead to the unequal treatment of inmates.[33] It can also have a negative impact with respect to one's alertness to risky changes.

All inmates should be made aware of behaviour that violates the house rules or principles of respectful behaviour in the same way. Here, it can be a major challenge for employees not to feel personally attacked by any offensive actions by inmates. They should always seek to respond in a calm and respectful manner to such behaviour. Inmates may also be subjected to a hearing following any misbehaviour, a process that can also take place within the framework of a discussion with several employees and the management.[34]

In order to not affect relationships adversely, care should always be taken to respect the dignity of inmates. Decisive factors here include the manner in which employees approach inmates or conduct body and cell searches and ensuring that privacy and intimacy are respected during everyday prison life.

Tools and good practices:
Positive relationships

Systematise the entry procedure
The first impression of a new inmate upon entering a prison is important for the course of their period of imprisonment. Being imprisoned is usually a drastic experience for the person in question and can lead to a so-called imprisonment shock. It is thus important that the entry procedure is conducted in a form and manner that is transparent, efficient and respectful and that preserves the individual's dignity. New inmates should understand that they find themselves in a safe environment in which their personal situation is more important for employees than their (presumed) offence. It must be clearly communicated to them what they can expect during their period of imprisonment and what their rights and obligations are. The entry procedure creates the basis for the future forming of relationships, which in turn allows for dynamic security to be implemented effectively. The entry procedure should also be used to assess and record an individual's skills and personal resources.
A practical tool here may be a standardised document that formalises the entry procedure and allows for the most important information to be obtained. The form could include the following aspects:
- Personal details (place of residence, social relationships, profession, health, etc.)
- Competence (communication, cooperation, mental state, etc.)
- Specialist skills (school education, language, etc.)
- Assessments of the entry ward (condition at entry, assessments of offence, etc.)
- Imprisonment issues (support objectives, workplace, etc.)

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[33] Bogard, Hutchinson & Persons (2010)
[34] See also Siegenthaler (2014)

Transparency and communication
In order to counteract any feelings of helplessness experienced by inmates, emphasis should always be placed on ensuring systematic transparency and open communication. Inmates should be informed of their rights and obligations and provided with details of the house rules as quickly as possible. It should be made clear what is expected of them and what they in turn can expect from the employees. In order to ensure that individuals who do not speak one of the national languages receive the necessary information (including their right of complaint), this should be communicated in various languages. The use of pictograms offers an appropriate solution for individuals who are illiterate. It is helpful to have the house rules available in different languages.

Offer prospects
In order to provide inmates with clarity and prospects, development opportunities should be created and information should be offered as soon as possible with respect to the possibilities offered by such imprisonment progressions. An explanation of the relevant conditions should likewise be provided. A progressive system can have a positive impact on the attitudes and behaviour adopted by inmates in dealing with their imprisonment, thereby also improving relationships with employees. Ideally, the progression should already be started during an individual's pre-trial detention in order to mitigate the imprisonment-related damage and lack of prospects during this phase. Furthermore, everyday life within the prison should be organised in such a way that inmates have as many opportunities for personal development as possible.

Hand over responsibility
It may be the case that a relationship with an inmate does not improve despite the fact that an employee has made efforts to this end. In such instances, it should be possible for employees to delegate responsibility without this having a negative impact on their position within the institution. A culture in which mistakes are handled constructively is essential in this regard. It is important that employees communicate clearly and document why they believe a positive relationship could not be established and what efforts they have made.

Maintain verbal interaction
When dealing with inmates, details with respect to verbal interaction and appearance are often of great importance. It can prove helpful to cultivate these dealings and improve them through mutual exchanges. "Cheat sheets" can be used to this end, containing information on aspects (e.g. health, family, trial status, personal needs) that employees can regularly enquire about or statements and questions that demonstrate that the employee is taking care of the inmate in question.

Handle requests in a systematic manner
Efforts should always be made to take the needs and requests of inmates seriously and to handle them in the best way possible. This also applies to repeated requests and requests that are deemed to be improper, whereby brief answers suffice in such cases. A pleasant and fair approach also means, in particular, that concerns are dealt with honestly and efficiently and difficulties are communicated. To ensure that requests are not lost, it may be helpful to register them on a common platform in a systematic fashion; in the form of a to-do list with a clear assignment of tasks and responsibilities that can be viewed by all employees.

3.2.4 Control and de-escalation

Dynamic security contributes to reducing the potential for conflicts within an institution. However, due to the coercive context that prevails within a prison, it is natural that problematic situations arise nevertheless. These may involve disputes, inappropriate conduct, rule violations, aggressive behaviour, threats, insults, etc. In such situations, it is important that employees also act in a professional and confident manner and always adopt a respectful and humane approach.

The response of employees can have both a positive and negative impact on an escalating situation. The main task of employees is to de-escalate such situations without endangering other people or themselves in the process. Here, employees should not forget that they can also use their authority in a targeted manner in such moments, allowing them to bring the situation under control. Above all, however, employees must be able to show self-control to ensure that possible attacks are not taken personally and that they do not overreact owing to a sense of anger or indignation.[35] In this respect, it can prove beneficial for employees to receive training in conflict management.

If the use of coercive measures is unavoidable, these should always be limited to the minimum necessary level and be applied for the minimum required duration. For such cases, clear processes and bases for action should be defined in which the situations are specified that require such measures and how they are to be applied. All employees should receive suitable training and be made aware of the relevant aspects in this respect. If employees have a diverse repertoire of measures at their disposal, they can respond to situations in an appropriate manner and also use coercive measures efficiently as *ultima ratio*. Ideally, a smaller group of employees within an institution is also trained for these special functions and can be deployed in critical situations.

> **Tools and good practices:**
> **De-escalation**
>
> **Clearly define rules for the use of coercive measures**
> The processes for the use of coercive measures should be clearly defined and known to all members of staff. This involves defining the situations and escalation levels, appointing the function groups that are authorised to use such measures in these situations and stipulating which measures can be used when and who checks these. It is also very important that these situations are followed by a debriefing in which the relevant situation is analysed and measures are taken to prevent it reoccurring in future.
>
> **Regular training and awareness-raising**
> Regular training, courses and further education events should be held with a view to providing specific training for the use of coercive measures. It can also be useful to work together with the police and other security experts in certain areas.

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[35] See also Korn & Mücke (2000); Millana, Fernández-Rodríguez, Muñoz (2020)

4. IMPLEMENTATION OF DYNAMIC SECURITY (II): STRATEGIC AND OPERATIONAL ASPECTS

This section will now describe the framework conditions that allow for and facilitate the implementation of dynamic security in the aspects outlined above. These framework conditions include strategic and operational aspects such as strategic focus, personnel policy, information management and engaging inmates in a constructive manner. The descriptions and recommendations are once again accompanied by food for thought and suggestions for tools and good practices.

4.1 Strategic focus

Dynamic security can only be implemented if the philosophy is lived out at all institutional levels. In order for prison employees to be able to implement the principles of dynamic security, they require access to the necessary resources, tools and structures. These must be made available by the institution management, which in turn necessitates that the strategic focus of the establishment in question takes account of the importance of dynamic security as a priority.

As is well known, the Swiss prison landscape has a federal structure, exhibits differences between the respective institutions and is heterogeneous. Our investigations have revealed that the concept of dynamic security is not very widespread despite the fact that various aspects are already being applied. Where similar concepts exist, these are implemented and lived out differently. The concept of dynamic security provides a uniform "doctrine" and a common technical language for shaping and critically evaluating how security in the execution of penal sentences and justice is handled and understood.

> **Tools and good practices:**
> **Strategic focus**
>
> **Develop a security & safety concept**
> A security & safety concept can serve to formalise and standardise all security-relevant structures and processes. It defines the procedure in emergency situations as well as which tasks are assumed by both internal and external stakeholders. The security concept should be updated and developed at regular intervals.
>
> **Actively shape the operating culture**
> In dialogue with employees, the institution management defines the operating culture (e.g. values, principles, philosophy) that they wish to implement. This may take the form of an operating code, an operating philosophy or a mission statement.
>
> **Take account of external reviews**
> Reviews conducted by external parties provide a critical third-party perspective of current practices at a prison. They make it possible to assess the extent to which practices at an institution are in line with the legal framework as well as its strategic objectives and desired self-image. Such reports can be prepared by international or national organisations (e.g. CPT, NCPT, ICRC, SRC). Each institution should take account of the results of these reports in optimising and developing its operations.

4.2 Staff

The importance of staff for the implementation of dynamic security has already been mentioned several times. Measures can be taken by an institution's management that create the conditions that also allow for staff to fulfil this task. These relate to the recruitment and training of staff, the creation of a healthy working environment, management aspects and the provision of sufficient personnel resources.

4.2.1 Recruitment

The recruitment of staff is governed at an institutional, cantonal and, where applicable, concordat level.[36] Our research has revealed that there are institutions which have clearly regulated recruitment processes that ensure that an individual is also suitable for working in the prison system. As described in section 3, there are certain values, attitudes and views of the world and people that future employees who wish to work with inmates should possess in order to have a positive impact on everyday prison life. The recruitment process should take account of this. Of course, not all potential employees can already possess all of these qualities and many skills are acquired through practical experience. During the recruitment process, however, it is already possible to determine whether individuals are open and willing to learn or whether they already have entrenched patterns of behaviour and stereotypes. It is also important that these expectations with respect to attitudes and the conduct of employees are already communicated in a transparent manner in the job description and within the framework of the application process. This allows employees to gain a clearer picture of the ethical context behind the execution of penal sentences and justice and the values that are relevant to it.

> **Tools and good practices:**
> **Recruitment of employees[37]**
>
> **Define requirements for values and attitudes**
> Employees should have the following qualities or have gradually acquired them by the end of their probationary period at the latest:
> - An empathetic attitude towards people
> - A willingness to approach inmates and work on relationships
> - An understanding of the power and authority they have as prison employees
> - An internalisation of the various tasks of the prison system (security and rehabilitation)
> - Openness, a willingness to learn and a positive and constructive attitude towards mistakes
> - Integrity: towards the institution and colleagues as well as towards inmates

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[36] See guidelines for support and security employees in the prison system (*Richtlinien für das Betreuungs- und Sicherheitspersonal im Justizvollzug*, 20 March 2020 (NWI-Concordat) und 3 April 2020 (OSK), resp. *Lignes directrices pour le personnel d'encadrement et de sécurité des établissements de détention*, 21 April 2020 (Latin concordat))
[37] See also: Bogard, Hutchinson & Persons (2010)

Recruitment at the level of the institution

The centralisation of the recruitment process via a cantonal authority has the advantage that practices between the different institutions can be harmonised in this respect. Nevertheless, the institution management should be able to carry out the recruitment process for prison employees itself or at least play a decisive role in shaping it. It is very well acquainted with the needs of its institution and can assess the skills required in the respective situation. An external assessment may be required in the case of management staff.

Clearly define the recruitment process

The recruitment process should be laid down in writing with all details and stages. Within the framework of this process, it may be useful to incorporate a psychological assessment as well as an introductory day, with the latter allowing for the social skills of candidates and their handling of unexpected situations to be assessed.

A checklist for the recruitment process may, for example, contain the following elements:

- Formulate job description
- Pre-selection (minimum age, formal requirements, etc.)
- Testing of physical abilities
- Written examination (language skills, general education, IT, etc.)
- Perform psychological assessment
- Organise traineeship or an information day
- Conduct one or more individual interviews
- Schedule the medical examination
- Forward proposal for candidates in line with cantonal regulations
- Employment contract
- …

Probationary period

The probationary periods are governed differently from canton to canton and institutions are of course bound by them. Ideally, a probationary period of at least six months should be stipulated wherever possible or there should be the option of an extension where a shorter probationary period is specified. The probationary period should be used to assess whether the employees on probation feel at ease within the institution and whether they represent values and attitudes in their dealings with inmates that meet the requirements of dynamic security. The probationary period should also be viewed as a learning period for further development.

Raising public awareness

The recruitment of employees can prove difficult due to a lack of interest in working in the execution of penal sentences and justice. The domain continues to be subject to various stereotypes, meaning that work in this area is not always viewed as positive. The competition posed by comparable institutions, including the police, also plays an important role. It is therefore important to strive for an active recruitment process that also includes marketing and awareness-boosting activities.

Raise awareness of specialist staff

Specialist staff from other professions (medical, therapeutic, pastoral, education in the prison system, etc.) who work in the prison system or intervene on a selective basis are trained in their area of expertise. This does not necessarily mean, however, that they also possess the skills and attitudes required for working in the prison system. The recruitment process should also take account of this aspect and include the completion of training specific to the execution of penal sentences and justice.

Promote diversity

As inmates have very different profiles and backgrounds, the prison staff who interact with them on a daily basis should also be diverse. The recruitment process is a stage during which emphasis can be placed on diversity from a social, linguistic and cultural perspective.

4.2.2 Education and further training

Following their successful recruitment, it is important to provide employees with a comprehensive introduction and training. The majority of new employees will have little or no experience of working in the execution of penal sentences and justice. The introduction aims to promote their understanding with respect to the context of the prison system, including the ethical complexity that it entails. It also provides an opportunity to promote social skills in dealing with people whose lives have often been shaped by psychological, social and personal difficulties. The introduction should clearly communicate the fact that a fair, consistent, respectful and humane attitude is a fundamental prerequisite for assuring the successful execution of penal sentences and justice. During this phase, new employees have the opportunity to get to know the different types of inmates. To this end, it is important that the institution provides an introduction to all of its areas and that sufficient time is planned for immersion in the day-to-day running of the prison. Finally, it is important that new employees are trained in how to handle problem situations in a professional manner that serves to de-escalate them, thus enabling them to limit the use of coercive measures to a minimum.

Employees should be familiarised with the complex understanding of security within the institution as soon as possible. In order to prevent rigid thinking in terms of security, which primarily focusses on passive and procedural approaches, the concept of dynamic security should be anchored at an early stage. The understanding that the respectful, humane, constructive and supportive handling of inmates ultimately leads to greater security in the traditional sense should be promoted.

Education and further training is essential here. Employees should be given the opportunity to complete basic training at the SCEPP as early as possible.[38] To allow for existing knowledge to be refreshed, further training should also be assigned the necessary level of importance. Employees at all levels and of all age groups should be considered here. Opportunities should also be created for the further training of specialised professional groups within the prison system as well as training courses for professional development, including the assumption of management roles. Supporting employees in their professional development and further training not only allows them to strengthen their skills. This support is also essential for the motivation of employees and signals to them that their efforts are appreciated and valued.

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[38] Employees from other professions should also have the opportunity to participate in the introductory course to the prison system.

Tools and good practices:
Education and further training of employees

Internal basic training
In addition to the basic training at the SCEPP, the institutions themselves can also conduct internal basic training that may last a couple of weeks or months. During this initial phase, the primary aim is to convey the basic attitudes and principles of work in the execution of penal sentences and justice as well as sufficient technical knowledge, which is essential for the employees to be able to perform their work. During this period, new employees should be given the opportunity to work with experienced staff members.

Personal career planning for employees
In order to tailor education and further training opportunities to the needs and capacities of both the institution and its staff, the development of personal career plans is advisable. These should be updated on an ongoing basis in light of newly acquired skills and qualifications. With this in mind, following internal and external training courses, it is a good idea to conduct a survey on the acquired knowledge and on participants' assessment of the usefulness of the training content. To show appreciation of employee efforts, it is also important that successfully completed training is rewarded or at least celebrated in some form.

Extend probationary period
The initial phase of an individual's employment should allow for a definitive decision to be made on their hiring. If, however, the probationary period is not sufficient, it may prove helpful here – provided this is permitted under the cantonal law concerning human resources – to extend it or agree a temporary employment contract.

Special attention to entry zone
The entry zone can be very intimidating for individuals who are being imprisoned, especially if it is for the first time. For employees who work in the entry zones, specific training that raises their awareness in this regard may be appropriate in order to achieve a balance between strict control and human sensitivity. The aim is to signal to individuals that the institution they are entering is well regulated and managed without neglecting their sense of stress.

Raise awareness of specialist staff
Employees with professional specialisations, such as teachers and healthcare personnel, should be aware that they are also subject to their professional ethical obligations within the context of their work relating to the execution of penal sentences and justice.

Training for dealing with specific types of inmates
Employees who work together with certain groups and types of inmates can benefit greatly from the provision of specific training. This should be a prerequisite for dealing with minors and individual suffering from mental illness, for example. Specific training should also be made available to employees working in high-security areas.

Ensure the transfer of knowledge
It makes sense for employees who attend further training to write a short report or hold a brief presentation for other employees. This serves to promote the transfer of knowledge and creates a setting for the discussion of issues relevant to the prison system.

Further training for management positions
To enable employees to take on positions with management responsibility, suitable members of staff should be provided with the opportunity to undertake corresponding training. To this end, it is useful to clearly define the formal, theoretical and practical requirements for management positions and to refer to appropriate training modules.

Institutional further training planning
Prisons are dynamic institutions that develop constantly and are influenced by new research findings and political changes. Employees should be provided with opportunities to refresh their knowledge at regular intervals or acquire new expertise and skills. Older employees should also not be neglected here. They are also entitled to regular further training.
The number of further training days a year **depends greatly on the different needs and circumstances of the institutions.** However, a lack of time or resources should not be a reason to reduce the opportunities for further training. It is therefore essential to define and reserve further training days in advance, aiming for minimum disruption to the everyday running of the respective institution in the process. Another possibility is to adjust the entire running of the institution on certain days (as is already done for weekends) in order to allow for as many employees as possible to partake in further training. In such cases, all internal and external stakeholders (police, hospital, etc.) should be informed accordingly in good time, especially if certain services are not available on these days or during a certain time window.

4.2.3 Personnel management

Talks with employees should take place at regular intervals in order to address their developments and attitudes to their work as well as their personal situation, plans and wishes. During such talks, there should also be the opportunity to discuss the implementation of the concepts of dynamic security, with support also being provided for their optimisation. Such discussions should always be constructive in nature in order to ensure that employees receive positive support in their development.

Tools and good practices:
Personnel management

Staff appraisals and annual agreement of objectives
The needs of employees should be discussed within the framework of regular individual discussions. These discussions should provide the institution management, direct line managers and employees with the opportunity to offer constructive criticism and to address needs in order to improve certain situations or dynamics. It should also be possible for employees to request discussions on a selective basis. Within the framework of annual employee appraisals and status reviews (at both an individual and team level), the strengths and potential for improvement of the employees in question can be addressed, for example. Among other viewpoints, the performance of staff should be assessed from the perspective of dynamic security. The aspects described in section 3 can be helpful in this respect.

Code of ethics
It may also be advisable to develop a code of ethics for formalising the aspects of dynamic security, which should in turn be signed by employees. This can provide a formal and transparent basis for employee appraisals and assessments conducted for new hires.

Create a culture in which mistakes are handled constructively

Errare humanum est: despite the great responsibility with which they are entrusted, employees within the prison system should be allowed to make and admit certain mistakes.[39] Creating a culture in which mistakes are handled constructively is the responsibility of management of the cantonal office or the institution itself. For dynamic security to function properly, it is important that employees report their mistakes. These must then be discussed, with proposals for solutions and opportunities for implementing improvements being worked out for the future. In order to promote employee confidence, it may prove helpful to guarantee the confidentiality of such reporting processes. Employees should also be able to rely on the fact that they will always have the backing of the institution management even if they make mistakes. A culture in which mistakes are handled constructively means that mistakes are viewed as learning opportunities. It may be advisable to conduct training courses on how to deal with mistakes. Focus here could be placed on the following questions: Which mistakes were made? Why did these mistakes happen? How did the institution deal with them? What was learnt from these mistakes and what changed as a result? How can such mistakes be avoided in future? A corresponding form and reporting process can be developed in order to formalise the procedure for reporting mistakes.

Survey of staff satisfaction

A survey of employee satisfaction that is conducted at regular intervals can provide an insight into problems that are not readily apparent to the institution management. It is important that such a survey respects confidentiality and that the results are communicated to employees. Participation in the surveys should not take too long, and staff should be able to complete them during their working hours. It may prove expedient here to seek a cooperation with the SCEPP or universities and institutions of higher education, especially as within smaller institutions there is a risk of conclusions being drawn with respect to individual employees.[40]

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[39] Even in a culture in which mistakes are handled constructively, there are certain types of behaviour that cannot be tolerated (e.g. aiding an escape, bribery, sexual relations with inmates, alcohol/drug consumption on duty, disregard of elementary security rules). Behaviour that may lead to the immediate termination of an employment relationship should be defined and clearly communicated.

[40] In many cantons, satisfaction surveys are conducted at a cantonal level. While this approach allows for a centralised analysis and an overview to be obtained across the different institutions, it may obscure subtleties that are relevant to individual situations. It may prove advisable to conduct the satisfaction survey at both a cantonal/concordat level and at an institutional level, whereby in the case of the latter specialist external bodies (SCEPP, universities) should be called in.

4.2.4 Staff health

The work performed in relation to the execution of penal sentences and justice is physically demanding and can have a negative impact on the health of staff. It is important that the institution management takes this aspect into account and resorts to corresponding measures in order to ensure the health of its employees. Frequent staff rotations and high levels of employee absence, in particular, can be detrimental to dynamic security within an institution. Furthermore, it is more difficult for employees whose health has been impacted to put the necessary energy into implementing the various aspects of dynamic security.

> **Tools and good practices:**
> **Employee health**

Formal and informal gatherings
Regular off-duty gatherings can serve to promote employee health as well as team spirit. These can be informal gatherings such as staff parties, sporting events or excursions. Formal gatherings also provide opportunities to promote team spirit and a sense of participation on the part of employees. For example, the organisation of annual reflection seminars as well as the incorporation of project and event proposals from employees are useful.

Offer areas for leisure and relaxation
Employees should have access to areas that they can use for their breaks and leisure activities. These may include a sports room, a garden or a reading corner.

Flexible working hours
The possibilities of taking unpaid leave, working on a part-time basis or adjusting working hours as needed can allow employees to take account of their personal plans and health without having to fear negative consequences.

A care team for incidents
In addition to the development of a concept for briefing and debriefing in the event of problem situations and serious incidents (e.g. suicide), it is important that the employees involved receive professional support. They should be provided with the opportunity to process the events in a professional and secure setting. The task of a care team can be assumed by both internal and external actors. Ideally, this process is formalised and standardised. A fixed care team or an individual entrusted within this responsibility could also be helpful in principle. This provides employees with a service that can be called upon in the event of personal questions or for the resolution of conflicts between different members of staff.

4.2.5 Prevention of manipulation

The effective implementation of dynamic security serves to promote proximity between employees and inmates. In isolated cases, this proximity may result in certain inmates receiving privileged treatment. In serious cases, this may give rise to abuse and corruption. In order to prevent such situations, the institution management can take various measures that relieve the level of pressure on both employees and inmates.

Tools and good practices:
Prevention of manipulation and corruption

Team rotation
The rotation of teams or the rotation of employees within the teams can help to prevent manipulation. This prevents the development of exclusive relationships between employees and inmates. It still needs to be noted here, however, that overly frequent rotations can in turn have a negative impact on the sustainability of relationship work.

Regular awareness-raising measures for employees
As part of training courses and awareness-raising campaigns, attention can be drawn to the risks of manipulation. Employees should also know how they can respond in situations in which the level of proximity is too great. A culture in which mistakes are handled constructively is once more of fundamental importance here.

4.2.6 Personnel resources

The implementation of dynamic security is challenging and can only be achieved if employees also have access to the required time resources. At an institutional level, it should therefore be aimed to achieve a staffing ratio that takes account of the requirements of dynamic security.[41]

Tools and good practices:
Personnel resources

Regular needs analysis
Prisons should conduct regular needs analyses with respect to personnel capacities. This allows for understaffing to be identified, signalled and addressed at an early stage. Here, the different characteristics of prisons (available space, tasks, infrastructure, etc.) as well both the plannable and non-plannable absences of employees (holidays, training courses, illness, accidents, etc.) must be considered. It is advisable for this analysis to be carried out internally as a thorough knowledge of the institution (e.g. infrastructure, clientele and operating culture) is necessary. A needs analysis allows for staffing requirements to be adjusted at regular intervals and, where necessary, for additional resources to be requested.

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[41] It does not appear appropriate to quantify the staffing ratio here. This should be determined taking account of the cantonal and operational needs and mandates.

4.3 Information management

Information is an important aspect of dynamic security. The interactions between employees and inmates constantly generate knowledge (also referred to as *prison intelligence*), which is of great importance for the functioning of everyday prison life, the prevention of problematic situations and the rehabilitation process of inmates. Employees fulfil a core task in performing their function on the front line. They are the first people to notice a change in an inmate's behaviour or wellbeing. It is important that the institution establishes processes that allow for this information to be collected and processed in a targeted manner and for it to be made accessible to other bodies to the extent that this is necessary for the fulfilment of their tasks. It is also important to keep an eye on the overall picture: a single piece of information may seem insignificant when viewed in isolation. In combination with other information, however, it can become very important. The institution management should therefore create framework conditions that improve the flow of information.

4.3.1 Structured processes for the daily flow of information

The application of structured processes can foster consensus and strengthen process reliability. Over the long term, structured processes ease the burden on employees, protect them and provide them with the tools required to respond correctly in various situations. Accountability and social control are strengthened by an effective flow of information. For inmates, structured processes provide transparency with respect to their rights and obligations and also in the event of disciplinary measures.

In order to ensure this information management, daily processes need to be anchored in such a way that information is able to flow practically unhindered. This means, for example, that ad hoc communication channels (e.g. telephone radio) are in place, that a short briefing takes place at each shift change and that information is systematically recorded in a database (e.g. journal) to which all employees have access. Employees should be cooperative, proactive and helpful and should coordinate their efforts in fulfilling their tasks. It should also be as clear as possible to employees which information is to be recorded, where it is to be recorded and how. Finally, it is important that directives, information sheets, regulations, etc. are always available to employees in a quickly accessible form.

4.3.2 Inter-institutional information management

Information management **across different institutions and facilities** needs to be ensured. If an inmate is transferred, for example, the prison which the inmate is leaving should forward as much information as possible to the new prison in an understandable and practical form, especially if it is also located in another canton or even concordat.[42] It is helpful if an institution is well connected with other institutions and contact persons (possibly one or more topic-specific *SPOC*: *single points of contact*) are established and known.

These institutions include the cantonal police, which also performs intelligence functions (cantonal intelligence service, **CIS**). The responsible employee at the cantonal police who acts as a SPOC for the Federal Intelligence Service (FIS) should be known to the institution and be in regular contact with it. According to Article 20 of the Intelligence Service Act, institutions from the prison system are obliged to pass on information about potential dangers to Switzerland's public safety to the cantonal intelligence service.[43]

Tools and good practices:
Information management

Define information channels
The collection and disclosure of information should be based on clearly defined processes. Clear processes can ease the burden placed on staff. This involves defining the relevant information channels and exchange vessels (reporting pathways, meetings, briefings at shift handovers, etc.) as well as the content of the information that has to be recorded in writing.

Set up and make effective use of an internal platform
In order to store and use case-specific information, an internal platform and database (intranet) to which all employees have access can be set up. This approach has proven its worth at various Swiss institutions. The cantons need to define the type of platforms and the access rights of the various stakeholders within the justice system (taking account of the legal data protection principles). In order to ensure exchanges between these stakeholders and thus improve efficiency and the overview of cases, it is expedient to ensure the broadest possible access to a common platform.
General information and documents, such as guidelines, process descriptions and checklists, should also be stored on the platform so that they can be accessed by staff at all times. It is important that the platform is updated on a regular basis. This task can be assigned to a specially designated team in order to ensure continuity. The platform should also ensure that new information and amendments to existing documents (e.g. update to guidelines on how to proceed in the event of fire) are taken note of by employees. Here, for example, employees may be required to provide a digital signature in the event of important modifications.

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[42] We also make reference here to the practice of running files ("dossiers itinérants", "Laufdossiers"), which has proven its worth in many cantons. It is important that there is uniformity between the information available in these files. Focus should also be extended to incorporate other forms of imprisonment (pre-trial detention, administrative detention), as these are subject to a different regime from both a legal and administrative perspective and little information is often available in this regard.

[43] This information channel is of great importance for the problem of violent radicalisation. To ensure that institutions and employees also know which information should be passed on, an exchange with the responsible CIS is advisable. The KKJPD recommendations of 12 April 2018 also suggest the institutionalisation of the exchange between prisons and the CIS. According to the most recent surveys conducted by the SCEPP, the cantons are increasingly following this recommendation.

Interdisciplinary network
In order to ensure that the information on inmates is always up to date, it is a good idea to create an interdisciplinary network. This can be recorded in writing in connection with an organisational chart, meaning that employees are aware of the most important work partners. This network can meet at regular intervals, bringing the various professional groups together and allowing for the latest information to be exchanged.

Incident debriefing
Vessels and structures should also be in place within the respective wards and institutions in order to allow for debriefing in the event of critical incidents. Here, all employees or the members of the institution's management must be informed of the events and the measures that have been taken. Such debriefings also provide the opportunity to learn from possible mistakes and to make adjustments to working methods or information management to prevent such incidents from being repeated. These debriefings are an essential part of a culture in which mistakes are handled constructively, as they can both guarantee accountability and offer security and support to the affected employees.

Define processes and SPOC
A SPOC network should be defined and updated on a regular basis for the institution to always know whom to contact for specific matters. It is also important to appoint deputy SPOC. Depending on the issue at hand, it is also advisable to meet regularly with the SPOC.

Set up service contracts
Most institutions involved in the execution of penal sentences and justice are in regular contact with and receive services from partners such as the police authorities, fire brigade and hospitals. It should be sought to ensure regular discussions or testing of specific processes in emergency situations. In order to formalise these partnerships, it is also advisable to draw up service contracts. These define the tasks and responsibilities of the respective stakeholders. The cantonal justice departments can be called on to formulate such agreements.

4.4 Constructive activities

An important aspect of dynamic security is to offer inmates meaningful activity opportunities during their period of detention. These activities include both professional activities as well as sports and leisure activities.

Under the Swiss Criminal Code, a duty to work applies to imprisonment ordered under criminal law.[44] This does not, however, apply to pre-trial and administrative detention. Nevertheless, all inmates should have the opportunity to work, learn, pursue training or use their time constructively in other ways. In addition to work and education, it is also important to offer opportunities for meaningful leisure and sports activities. These are key for physical and mental health.

The various forms of constructive activities have a positive impact on dynamic security in two ways. On the one hand, they allow inmates to reduce the frustration they feel owing to their imprisonment. They can also make use of accumulated energy in a constructive manner and take on personal responsibility during their otherwise highly regulated everyday life. On the other, inmates may be offered prospects or new areas of interest may be opened up under certain circumstances, both during and after their period of imprisonment – for example, by acquiring new work skills.[45] The activities also provide employees with more opportunities to observe the behaviour of inmates in a different context, to enter into dialogue with them, to exchange information with them and to keep abreast of changes in personal circumstances as well as group dynamics.

**Tools and good practices:
Constructive activities**

Make infrastructure available
Institutions should possess infrastructure that provides opportunities for sports, leisure and work. The importance of constructive activities should be taken into account, in particular, during construction projects for the adaptation of infrastructure or the reorganisation of premises.

Train employees for leisure activities
Employees who are responsible for supervising inmates during sports or leisure activities should receive an appropriate introduction to this role and relevant training. If external specialists are entrusted with these tasks, it must be ensured that they receive an introduction to the execution of penal sentences and justice. In this regard, we make reference to the introductory courses offered by the SCEPP.

Agree on goals
The establishment of goals with respect to professional, personal and health development should be part of an inmate's development plan.[46] Such goals can offer prospects and motivation, providing

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[44] "The prison inmate is obliged to work. Wherever possible, the work should be appropriate to his skills, education and training and his interests". (Article 81 of the Swiss Criminal Code).
[45] Psychou et al. (2019); Verdot et al. (2010); Meek & Lewis (2014)
[46] We make reference here to the new guidelines on sentence management planning, the **target objectives** and the template for the sentence management plan of the Concordat of North Western and Central Switzerland: www.konkordate.ch/konkordatliche-erlasse.

a basis for stock to be taken of an inmate's progress and the next steps to be defined as part of regular meetings with the respective supervisor. The different lengths of imprisonment must of course be taken into account here.

To this end, the institution can offer a digital platform that is used for the processing of the development plans[47] of inmates. This platform can be used for the recording of goals, reports on observed changes and the outcomes of site meetings. It should be accessible to all professional groups that come into contact with the inmates. It may also be advisable to have a summary (e.g. monthly, quarterly or semi-annually) digitally signed by all involved stakeholders.

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[47] These may be the sentence management plans.

5. CLOSING REMARKS

In the previous sections, various aspects of dynamic security have been described. The framework conditions that have to be created in order to allow employees to effectively implement these aspects were likewise discussed. A summary of the aspects as well as the proposed tools and good practices is provided once more below:

Aspect	Tools and good practices
Dynamic security in everyday prison life	
Attention and knowledge of the inmates - Knowledge of personal circumstances - Knowledge of risk groups - Health of inmates	- Briefing upon new arrival - Further training on intercultural communication - Support and guidelines for the identification and handling of risk groups - Caution with respect to "blind spots" - Training of employees in the area of health - Integration of social services within the operation of an institution
Interactivity - Regular contact - Personalised supervision	- Anchor the principle of proactivity - Create opportunities for employees to take a break - Establish management units - Reference person system - Track and evaluate the objectives of inmates
Positive relationships - Apply dynamic authority - Build trust - Professionalism and fairness	- Master the entry procedure - Transparency and communication - Promote the progressive system - Delegate - Maintain verbal interaction - Handle requests in a systematic manner
Control and de-escalation	- Clearly define rules for the use of coercive measures - Regular training and awareness-raising

Operational and strategic framework conditions

| **Strategic focus** | ■ Develop a security concept |
| | ■ Actively shape the operating culture |

Staff

■ Recruitment	■ Define requirements for values and attitudes
	■ Actively shape the operating culture
	■ Recruitment at the level of the institution
	■ Clearly define the recruitment process
	■ Probationary period
	■ Raising public awareness
	■ Raise awareness of specialist staff

■ Education and further training	■ Develop further training concept
	■ Personal career plans for employees
	■ Extend probationary period
	■ Special focus on entry zone and specialist staff
	■ Training for dealing with specific types of inmates
	■ Ensure the transfer of knowledge
	■ Further training for management positions
	■ Plan further training days in advance

■ Personnel management	■ Staff appraisals and annual assessments
	■ Code of ethics
	■ Create a culture in which mistakes are handled constructively
	■ Survey of staff satisfaction

■ Health	■ Formal and informal gatherings
	■ Offer areas for leisure and relaxation
	■ Flexible working hours
	■ A care team for incidents

| ■ Prevention | ■ Team rotation |
| | ■ Regular awareness-raising measures for employees |

| ■ Personnel resources | ■ Regular needs analysis |

Information management	■ Define information channels
	■ Set up and make effective use of intranet
	■ Interdisciplinary network
	■ Incident debriefing
	■ Define processes and SPOC
	■ Set up service contracts

Constructive activities	■ Make sufficient sites for constructive activities available
	■ Train employees
	■ Agree on goals

In conclusion, the following can be stated: the promotion of dynamic security is an **essential component of the mandate for the execution of penal sentences and justice**, which includes the task of rehabilitating inmates with the objective of ensuring they do not reoffend as well as guaranteeing security within the institution itself. The handling of dynamic security is certainly not simple and can only be successful if there is continuous reflection at both an institutional and a personal level. In its entirety, dynamic security fulfils both a security and rehabilitation mandate, a task that entails considerably complexity.

Where dynamic security is promoted, prison wardens and individuals in leadership roles should remain careful to ensure that the concept is not instrumentalised. It has already been mentioned that dynamic security fulfils a preventive function by allowing for **prison intelligence** to be gathered. This function primarily corresponds to a restrictive security paradigm within the institution and takes little account of the rehabilitation mandate. Employees who promote interaction with inmates solely with the intention of obtaining information about them scarcely contribute to dynamic security. Where this approach is adopted, relationships become just another means of control. The same is true of a pleasant approach: if employees are pleasant but fail to systematically address the needs of inmates, this runs contrary to the principles of dynamic security. It is therefore important that professional relationship building takes place in combination with congruent and authentic behaviour.

In order for dynamic security to be created on a sustainable and effective basis, the basic philosophy behind the concept must be internalised by employees. It may appear that dynamic security has been implemented quickly, but if upon close inspection it turns out that this is only taking place in a superficial or instrumentalising way, an institution will also not be able to benefit from the positive effects of dynamic security.[48]

As mentioned, the prison system remains an institution in which a professional relationship should be the main focus. If a basic understanding of dynamic security and the associated philosophy is anchored within prison practice, security as it is conventionally understood can be strengthened in the long run (through the early recognition and prevention of different security-relevant developments), while simultaneously promoting the rehabilitation of inmates.

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[48] Crewe (2011)

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