

**Section C: SECURITY AND CONTROL**

**SECURITY AND CONTROL: Post Orders**

**C.1 The Facility Director will establish separate written post orders that clearly outline duties, responsibilities, and expectations for every duty post. (K.6)**

<input type="checkbox"/> Acceptable	<input type="checkbox"/> Deficient	<input type="checkbox"/> Repeat Deficiency	<input type="checkbox"/> At- Risk	<input type="checkbox"/> Not Applicable
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**On-Site Assessment Items:**

Review relevant policies, procedures, and documentation concerning post orders.

Interview facility management staff, corrections staff, and security staff.

Tour facility and confirm the presence of up-to-date post orders at each post. During this tour:

- Review a sample of post orders during tour to determine legibility and relevance (with special attention to post order for housing unit posts);
- Determine whether these post orders list chronological duties in sequence;
- Determine whether these post orders define the duties, responsibilities, and expectations of the post;
- Determine whether these post orders emphasize safety, security, and supervision of inmates; and
- Determine that post orders are signed and dated by staff.

Obtain documentation acknowledging that officers have read and understood their post orders whenever the officer assumes a new post, whenever there is a change in the post order, and at regular intervals after assuming a post.

Obtain a list of staff, the length of time they have been at their current post, and the most recent changes to the post order. Compare a portion of this list to the acknowledgment documentation.

Review policies and procedures to determine whether there is an indication of regular (at least annual) review and revision.

- If no indication exists on the policies/procedures themselves, interview the facility director and other high-level staff.

Observe one or more armed posts to confirm completeness of the post orders.

	Review Checklist		Comments
C.1.1	Ensure written policies and procedures exist for development and implementation of post orders or similar instructions. These policies include at least the implementation subjects addressed in this section.	Y N NA	
C.1.2	Policies and procedures are communicated to:		
C.1.2a	Appropriate staff members	Y N NA	
C.1.2b	Detainees, where appropriate	Y N NA	
C.1.3	Policies and procedures are reviewed and updated.	Y N NA	
C.1.4	Separate post orders for every security post are available.	Y N NA	
C.1.5	Post orders are legible and relevant to the post.	Y N NA	
C.1.6	Chronological duties are listed in sequence.	Y N NA	
C.1.7	Upon assuming a new post, officers sign and date an acknowledgment sheet attesting that the officer has read and understands the post orders.	Y N NA	
C.1.8	Ensure post orders define the duties, responsibilities and expectations of the post.	Y N NA	
C.1.9	Post orders emphasize custody, safety, security and supervision of detainees.	Y N NA	
C.1.10	Post orders are reviewed at least quarterly by a designated staff person and updated as necessary.	Y N NA	

	Review Checklist		Comments
C.1.11	Post orders are signed and dated by the person vested with this responsibility.	Y N NA	
C.1.12	In the case of an armed post, post orders contain instructions regarding the proper care and safe handling of firearms and specific instructions stating when and under what circumstances their use is authorized	Y N NA	

**SECURITY AND CONTROL: Permanent Logs**

**C.2** The Facility Director ensures that permanent logs are maintained for recording daily information, including routine occurrences, emergencies, or any unusual incidents.

<input type="checkbox"/> <b>Acceptable</b>	<input type="checkbox"/> <b>Deficient</b>	<input type="checkbox"/> <b>Repeat Deficiency</b>	<input type="checkbox"/> <b>At- Risk</b>	<input type="checkbox"/> <b>Not Applicable</b>
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**On-Site Assessment Items**

Review relevant policies, procedures, and documentation concerning permanent logs.

Interview facility management staff, corrections staff, and security staff.

Interview high-level staff (including department heads) to determine the extent to which relevant information is shared with department heads and other persons.

Observe permanent record of daily information, emergencies, and unusual events. Determine whether these records are bound or, if maintained electronically, backed up.

Observe documentation (preferably on permanent record) of daily reviews of entries on records by shift supervisors.

Identify several entries that should have been shared with others (e.g., medical, mental health, security) and follow up with relevant department or person to determine whether sharing occurred.

	Review Checklist		Comments
C.2.1	Ensure written policies and procedures exist for the maintenance of permanent logs used to record daily information, including routine occurrences, emergencies, or any unusual incidents. These policies include at least the implementation subjects addressed in this section.	Y N NA	
C.2.2	Policies and procedures are communicated to:		
C.2.2a	Appropriate staff members	Y N NA	
C.2.2b	Detainees, where appropriate	Y N NA	
C.2.3	Policies and procedures are reviewed and updated.	Y N NA	
C.2.4	A permanent record is maintained to enter daily information and document emergencies or any unusual incidents.	Y N NA	
C.2.5	Permanent records are bound, or, if maintained electronically, they are backed up. Documentation retention practices must be in accordance with applicable laws and regulations.	Y N NA	
C.2.6	Shift supervisors review entries on a daily basis.	Y N NA	
C.2.7	Reviews by shift supervisors are documented.	Y N NA	
C.2.8	Relevant information from the permanent records is shared with responsible department heads and other persons.	Y N NA	

**SECURITY AND CONTROL: Security Features**

**C.3 The Facility Director ensures that inspections and/or reviews of all security features are conducted regularly in order to identify needed maintenance or other discrepancies. (K.7)**

<input type="checkbox"/> Acceptable	<input type="checkbox"/> Deficient	<input type="checkbox"/> Repeat Deficiency	<input type="checkbox"/> At- Risk	<input type="checkbox"/> Not Applicable
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**On-Site Assessment Items**

Review relevant policies, procedures, and documentation concerning security features.

Interview facility management staff, corrections staff, and security staff.

Interview maintenance supervisor and review work orders to identify system for taking corrective action in areas covered by the required reports.

Review documentation of all required inspections and/or reviews over the year preceding the review.

Identify rank and qualifications of staff who conduct inspections and/or reviews; review certifications and/or training records as necessary.

Verify that inspections and/or reviews have been at least weekly over the past 90 days.

Review a sample of inspection reports over the past 90 days to determine whether they include specific findings; also review documentation of review by qualified supervisory security staff.

Identify several significant problems identified by inspections and/or reviews and determine what corrective action, if any, was taken and when such action was taken.

	Review Checklist		Comments
C.3.1	Ensure written policies and procedures exist for the inspections and/or reviews of facility security features. These policies include at least the implementation subjects addressed in this section.	Y N NA	
C.3.2	Policies and procedures are communicated to:		
C.3.2a	Appropriate staff members	Y N NA	
C.3.2b	Detainees, where appropriate	Y N NA	
C.3.3	Policies and procedures are reviewed and updated.	Y N NA	
C.3.4	Inspections and/or reviews of facility security features include:		
C.3.4a	Perimeter fences	Y N NA	
C.3.4b	General perimeter security devices	Y N NA	
C.3.4c	Towers	Y N NA	
C.3.4d	Sally ports	Y N NA	
C.3.4e	Security bar tapping	Y N NA	
C.3.4f	Locking devices	Y N NA	
C.3.4g	Security doors and sashes	Y N NA	
C.3.4h	Security vehicles	Y N NA	
C.3.4i	Electronic security equipment (cameras, alarms...)	Y N NA	
C.3.5	Qualified staff conduct the inspections and/or reviews.	Y N NA	
C.3.5a	Inspections are conducted at least once a week.		
C.3.5b	Inspections are documented with specific findings and reviewed by qualified supervisory security staff.	Y N NA	
	All documentation relating to these inspections is maintained for at least one year.	Y N NA	
C.3.5c			
C.3.5d	There is prompt follow-up to correct any problems.	Y N NA	



**SECURITY AND CONTROL: Security Inspections and/or reviews**

**C.4 The Facility Director ensures security patrols of all areas of the facility are conducted regularly. (K.8)**

<input type="checkbox"/> Acceptable	<input type="checkbox"/> Deficient	<input type="checkbox"/> Repeat Deficiency	<input type="checkbox"/> At- Risk	<input type="checkbox"/> Not Applicable
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**On-Site Assessment Items:**

Review relevant policies, procedures, and documentation concerning security inspections and/or reviews.

Interview facility management staff, corrections staff, and security staff..

Interview maintenance supervisor and review work orders to identify system for taking corrective action in areas covered by the required reports.

Review written [over the year preceding the review] records of security patrols/inspections and/or reviews to verify frequency and scope.

Review training records of several persons who conduct inspections and/or reviews; follow up with interviews of these staff if training records do not reflect training to detect security concerns.

Review documentation verifying that results of inspections and/or reviews are forwarded for review and corrective action.

Identify several significant problems identified by inspections and/or reviews, and determine what corrective action was taken and when it was taken.

	Review Checklist		Comments
C.4.1	Ensure written policies and procedures exist for regular security patrols/inspections and/or reviews of all areas of the facility. These policies include at least the implementation subjects addressed in this section.	Y N NA	
C.4.2	Policies and procedures are communicated to:		
C.4.2a	Appropriate staff members	Y N NA	
C.4.2b	Detainees, where appropriate	Y N NA	
C.4.3	Policies and procedures are reviewed and updated, as appropriate.	Y N NA	
C.4.4	Regular, frequent security patrols/inspections and/or reviews are conducted, of all areas of the facility to identify potential or existing breaches of security.	Y N NA	
C.4.5	Detainee housing searches and shakedowns are conducted on a regular and as-needed basis.	Y N NA	
C.4.6	The results of the inspections and/or reviews are forwarded to staff for review, and if necessary, corrective action is taken.	Y N NA	
C.4.7	Staff who conduct the inspections and/or reviews are trained to detect security concerns.	Y N NA	

**SECURITY AND CONTROL: Control of Contraband**

C.5 The Facility Director ensures the control and disposition of contraband.

<input type="checkbox"/> Acceptable	<input type="checkbox"/> Deficient	<input type="checkbox"/> Repeat Deficiency	<input type="checkbox"/> At- Risk	<input type="checkbox"/> Not Applicable
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**On-Site Assessment Items:**

Review relevant policies, procedures, and documentation concerning control of contraband

Interview facility management staff, corrections staff, and security staff.

Interview random inmates to determine whether they know what property they are permitted to possess.

Interview staff member responsible for storing, maintaining chain of custody, and disposing of contraband.

Determine whether required system is followed for handling and disposition of contraband that may be used in an institutional disciplinary hearing.

Determine whether required system is followed for handling and disposition of contraband that may be used in a criminal proceeding

Obtain list of approved items and notice of same given to inmates.

Obtain and review documentation (including training records, if possible) to determine that all staff have reviewed and acknowledged understanding of the facility's policies and procedures regarding contraband.

If possible, observe the entry of visitors into the institution; interview one or more visiting officers.

Interview high-level staff to determine the programs in place to prevent introduction of contraband by staff. Verify that reported programs are in place.

Observe booking procedures related to the interdiction of contraband.

	<b>Review Checklist</b>		<b>Comments</b>
C.5.1	Ensure written policies and procedures exist for the control and disposition of contraband. These policies include at least the implementation subjects addressed in this section, and also:	Y N NA	
C.5.1a	The definition of contraband.	Y N NA	
C.5.1b	The definition of visitor contraband	Y N NA	
C.5.1c	An approved list of items exists explaining what detainees may have in their possession	Y N NA	
C.5.1d	Step-by-step handling of contraband that may be used in criminal prosecution or in institutional disciplinary hearings	Y N NA	
C.5.1e	How different kinds of contraband are to be handled (e.g., narcotics vs. nuisance contraband) and outline the steps for the eventual disposition of the contraband items	Y N NA	
C.5.2	Policies and procedures are communicated to:		
C.5.2a	Appropriate staff members	Y N NA	
C.5.2b	Detainees, where appropriate	Y N NA	
C.5.3	Policies and procedures are reviewed and updated, as appropriate.	Y N NA	
C.5.4	Detainees are informed of the approved list of items explaining what they may have in their possession	Y N NA	

	<b>Review Checklist</b>		<b>Comments</b>
C.5.5	Possession of contraband is referred to proper authorities for criminal prosecution.	Y N NA	
C.5.6	Policy on identification, handling and disposition of contraband has been reviewed and acknowledged by all employees.	Y N NA	
C.5.7	A program is in place to prevent the introduction of contraband items into the facility by detainees, visitors or staff members.	Y N NA	

**SECURITY AND CONTROL: Detainee Searches**

**C.6** The Facility Director ensures that a detainee search program exists that preserves constitutional rights.

<input type="checkbox"/> <b>Acceptable</b>	<input type="checkbox"/> <b>Deficient</b>	<input type="checkbox"/> <b>Repeat Deficiency</b>	<input type="checkbox"/> <b>At- Risk</b>	<input type="checkbox"/> <b>Not Applicable</b>
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**On-Site Assessment Items:**

Review relevant policies, procedures, and documentation concerning detainee searches.

Interview facility management staff, corrections staff, and security staff.

Review inmate grievances over the past 120 days regarding searches of inmates' persons.

If possible, observe routine pat-down searches (e.g., upon exit from dining room, return from work assignment).

If possible, observe the conduct of one or more strip searches (of inmates of the reviewers' gender).

Review documentation of all body cavity searches and non-routine searches.

Select sample of inmates so searched and interview these persons.

Interview security and medical staff to determine role of each in body cavity searches.

Determine whether all body cavity searches were approved by person identified in facility 's written policy and procedure. Interview that person if determined if any such searches appear to have occurred in the absence of approved circumstances.

	Review Checklist		Comments
C.6.1	Ensure written policies and procedures exist for detainee searches. These policies include at least the implementation subjects addressed in this section, and also:	Y N NA	
C.6.1a	The circumstances which occasion a detainee search. Strip searches are conducted in an appropriate and private setting and must be conducted by staff of the appropriate gender.	Y N NA	
C.6.1b	Definition of the role of correctional staff and medical personnel regarding body cavity searches of detainees	Y N NA	
C.6.1c	Definition of who must grant permission and under what circumstances	Y N NA	
C.6.2	Policies and procedures are communicated to:		
C.6.2a	Appropriate staff members	Y N NA	
C.6.2b	Detainees, where appropriate	Y N NA	
C.6.3	Policies and procedures are reviewed and updated.	Y N NA	
C.6.4	Searches are conducted in a professional and respectful manner that ensures the privacy of the detainee.	Y N NA	
C.6.5	Documentation is completed and maintained when body cavity or any non-routine searches are performed.	Y N NA	
C.6.6	Reasonable efforts are made to ensure that strip searches are conducted by staff of the appropriate gender.	Y N NA	

**SECURITY AND CONTROL: Detainee Accountability and Supervision**

C.7 The Facility Director ensures the physical accountability and supervision of detainees to ensure the safety of both staff and detainees.

<input type="checkbox"/> <b>Acceptable</b>	<input type="checkbox"/> <b>Deficient</b>	<input type="checkbox"/> <b>Repeat Deficiency</b>	<input type="checkbox"/> <b>At- Risk</b>	<input type="checkbox"/> <b>Not Applicable</b>
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**On-Site Assessment Items:**

Review relevant policies, procedures, and documentation concerning detainee accountability and supervision.

Interview facility management staff, corrections staff, and security staff.

Review a sample of records for all counts for 10 of the most recent 90 days.

Determine that there was at least one count on each shift (maximum of 8 hours between counts) on these selected days.

Determine that all counts were cleared.

Observe several counts on different shifts during review.

Pay special attention to inmates on out-count.

Determine that staff have access to picture ID card required by C.7.6.

Observe steps taken to provide for staff safety during counts.

Observe documentation accounting for the presence and location of staff during the course of the review and note the presence of body alarms and other safety equipment.



Observe housing units:

Determine the extent of direct surveillance.

In the absence of continuous direct surveillance, review records/logs of rounds through housing units.

Review records of at least daily rounds by supervisory personnel.

Evaluate whether there is sufficient supervision in view of the classification of inmates and the configuration of housing units.

Review all reports of injury to staff and inmates over the past 120 days. Determine the extent to which any such injuries were related to inadequate surveillance and/or lack of staff presence and measures for staff safety.

	Review Checklist		Comments
C.7.1	Ensure written policies and procedures exist for detainee accountability and supervision. These policies include at least the implementation subjects addressed in this section, and also:	Y N NA	
C.7.1a	The requirement of at least one physical count of all detainees on each shift (maximum of 8 hours between counts)	Y N NA	
C.7.1b	The need for all detainees to be accounted for in each count	Y N NA	
C.7.2	Policies and procedures are communicated to:		
C.7.2a	Appropriate staff members	Y N NA	
C.7.2b	Detainees, where appropriate	Y N NA	
C.7.3	Policies and procedures are reviewed and updated.	Y N NA	
C.7.4	The facility maintains continuous accountability of all detainees.	Y N NA	
C.7.5	Counts are completed and documented and documents are maintained.	Y N NA	
C.7.6	Staff have access to a detainee picture I.D. card that lists pertinent information, e.g. D.O.B., physical characteristics and security concerns.	Y N NA	
C.7.7	Accountability procedures provide for staff safety and staff presence.	Y N NA	

C.7.8	Correctional officers provide surveillance of detainees, through direct supervision or regular rounds of housing units	Y	N	NA	
C.7.9	Supervisory personnel make at least daily rounds rounds of housing units.	Y	N	NA	
C.7.10	There is sufficient supervision to ensure detainee safety.	Y	N	NA	
C 7.11	Detainees are permitted and encouraged to make confidential reports concerning detainees' fear of harm to housing unit and other staff, including supervisory staff.	Y	N	NA	
C 7.12	Staff make an effort to gain and use information about potential threats to detainees in order to provide threatened detainees with a safe living environment.	Y	N	NA	
C 7.13	Detainees in danger of victimization have ready access to a protected living environment pending full investigation of any threat of harm, as well as access to a long-term protective environment if investigation establishes that detainees are in danger of victimization.	Y	N	NA	
C 7.14	Detainees who threaten the physical safety of others are segregated from their potential victims.	Y	N	NA	

**SECURITY AND CONTROL: Use of Force**

**C.8** The Facility Director ensures that force is used only when necessary and only as long as necessary. The Facility Director also ensures that when force is used, it is not excessive and it is properly documented and reported.

<input type="checkbox"/> Acceptable	<input type="checkbox"/> Deficient	<input type="checkbox"/> Repeat Deficiency	<input type="checkbox"/> At- Risk	<input type="checkbox"/> Not Applicable
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*Note the following definitions:*

**“Use of Force” is any intentional physical contact with an inmate for the purpose of controlling that inmate’s behavior, excluding the routine use of come-along holds, handcuffs and other restraints during movement.**

**“Calculated Use of Force” is any intentional physical contact that is anticipated and that can await the time necessary to obtain a video camera.**

**On-Site Assessment Items:**

Review relevant policies, procedures, and documentation concerning use of force.

Interview facility management staff, corrections staff, and security staff.

Interview medical staff who have attended to inmates following recent uses of force.

Review written use of force reports over the past 120 days, identify those which appear to have been calculated and obtain tape of each such incident.

Review tapes of several such incidents to insure completeness. Also review these records/tapes to determine if a supervisory officer was present.

Review use of force reports (including at least those relating to all uses of force against federal detainees) and other documentation regarding uses of force filed within the past 120 days to determine.

The timeliness of the report;

The presence of a report by all staff participants and staff witnesses;

The adequacy of the factual description of the force used, the justification for the use of force, and any observed violation of the facility's use of force policy;

The use of force, as well as the duration and extent of the use of force;

The timeliness of a medical evaluation following the use of force; and

The existence of medical observations and treatment decisions by qualified medical staff.

Review documentation for all or a sample of use of force reports against federal detainees indicating notification of the DOJ component with jurisdiction over the inmate.

Review the facility's policy regarding the use of lethal force and compare to the policy of each DOJ component.

Review all uses of lethal force against federal detainees to determine whether proper policy was followed.

Obtain and review documentation verifying that use of force reports are reviewed by supervisory personnel, that uses of force and allegations of inappropriate use of force are investigated, and that staff guilty of use of force violations are disciplined.

Review all inmate grievances over the past 120 days relating to the use of force.

Identify instances of the failure to investigate (or inadequate investigations of) uses of force that appear through reports or other documentation to have been contrary to policy, as well as all allegations from any source (including inmate grievances) of the inappropriate use of force.

	Review Checklist		Comments
C.8.1	Ensure written policies and procedures exist for use of force. These policies include at least the implementation subjects addressed in this section, and also:	Y N NA	
C.8.1a	Description of the circumstances when the use of force is authorized	Y N NA	
C.8.1b	Description of who has the authority, time permitting, to grant the permission for its application	Y N NA	
C.8.1c	Description of the necessary precautions to be taken when using chemical agents	Y N NA	
C.8.1d	Description of the necessary care and clean-up to be used following the use of chemical agents.	Y N NA	
C.8.1e	The requirement that all pre-planned and calculated use of force incidents be videotaped and that a supervisory officer be present during any such use of force	Y N NA	
C.8.1f	A means for informing DOJ component regarding the use of force on their detainee(s)		

	Review Checklist		Comments
C.8.2	Policies and procedures are communicated to:		
C.8.2a	Appropriate staff members	Y N NA	
C.8.2b	Detainees, where appropriate	Y N NA	
C.8.3	Policies and procedures are reviewed and updated.	Y N NA	
C.8.4	All calculated use of force incidents are videotaped.	Y N NA	
C.8.5	Supervisory officer is present during calculated use of force.	Y N NA	
C.8.6	All staff participants in and staff witnesses to a use of force incident file a report of the incident before leaving the facility at the end of their shift.	Y N NA	
C.8.7	Use of Force reports identify in factual terms:		
C.8.7a	The type and amount of force used by all staff	Y N NA	
C.8.7b	The justification for use of force	Y N NA	
C.8.7c	Any violation of the facility's Use of Force policies committed or observed	Y N NA	
C.8.8	DOJ component is informed of use of force of any of their detainees.	Y N NA	

C.8.9	The policy regarding the use of lethal force conforms to the policy of the DOJ component (e.g., a facility detaining only ICE detainees clearly specifies ICE rules on the use of deadly force).	Y	N	NA	
C.8.10	The facility has a system for ensuring that force devices are not used against detainees for whom they are medically dangerous (e.g.: electronic stun weapons are not used on for pregnant women or detainees with heart problems).	Y	N	NA	
C.8.11	Detainees who are subjected to uses of force receive a medical evaluation and medical treatment, as necessary.	Y	N	NA	
C.8.11a	The treatment is administered as quickly as possible following the conclusion of the use of force incident.	Y	N	NA	
C.8.11b	Qualified medical staff record their observations and treatment decisions and make these records available to the facility director or designee assigned to investigate the use of force.	Y	N	NA	
C.8.12	Supervisory personnel review uses of force reports to ensure adherence to the facility's use of force policy.	Y	N	NA	
C.8.13	Force is used only when necessary, only for as long as necessary, and only to the extent necessary.	Y	N	NA	



**SECURITY AND CONTROL: Non-routine Use of Restraints**

**C.9** The Facility Director ensures that restraints are used only when necessary. The Facility Director also ensures that restraints are used correctly and only for non-punitive purposes.

<input type="checkbox"/> Acceptable	<input type="checkbox"/> Deficient	<input type="checkbox"/> Repeat Deficiency	<input type="checkbox"/> At- Risk	<input type="checkbox"/> Not Applicable
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**Note: Non-routine restraints by security staff are governed by the principles in the "Use of Force" section.**

**On-Site Assessment Items:**

Review relevant policies, procedures, and documentation concerning non-routine uses of restraints.

Interview facility management staff, corrections staff, medical/mental health staff, and security staff.

Interview Facility Director to determine whether there is a system for oversight and review by that person.

Review documentation establishing that the system is followed.

Identify instances, if any, in which review and oversight did not result in proper investigation or discipline.

Review use of force reports and other documentation regarding all non-routine uses of restraints over the past 120 days to identify apparent violations of policy.

Confirm that such uses of restraints are treated as uses of force and investigated accordingly.

Review all inmate grievances regarding the non-routine use of restraints.

Observe the extent to which restraint equipment (for non-routine uses of restraints) is available to line and supervisory security staff.

	Review Checklist		Comments
C.9.1	Ensure written policies and procedures exist for non-routine use of restraints. These policies include at least the implementation subjects addressed in this section, and also:		
C.9.1a	The use of restraints by security staff apart from the routine use of handcuffs, belly chains and shackles during movement is prohibited except: In emergent circumstances in which a detainee's behavior presents a direct and immediate threat to the safety of others or facility property when less restrictive interventions have been determined to be ineffective.	Y N NA	
C.9.1b	Hog-tying is strictly prohibited	Y N NA	
C.9.1c	Use of restraints as punishments is prohibited	Y N NA	
C.9.1d	Restraints are only used as necessary in the least intrusive means possible and for the shortest duration that is safe.	Y N NA	
C.9.1e	Instructions for the use for all restraint equipment in inventory	Y N NA	
C.9.1f	Instructions stating who must grant permission for its use and for what duration	Y N NA	
C.9.1g	The involvement of the medical department in the use of 4-point restraints, strait jackets and any other similar incapacitating restraints	Y N NA	
C.9.1h	Frequent mechanical checks and evaluations of all restraint equipment	Y N NA	

	Review Checklist		Comments
C.9.2	Policies and procedures are communicated to:		
C.9.2a	Appropriate staff members	Y N NA	
C.9.2b	Detainees, where appropriate	Y N NA	

	Review Checklist		Comments
C.9.3	Policies and procedures are reviewed and updated as appropriate.	Y N NA	
C.9.4	The non-routine use of restraints is documented and investigated as use of force.	Y N NA	
C.9.5	Restraint equipment is checked and evaluated regularly.	Y N NA	
C.9.6	Restraint equipment is readily available to staff.	Y N NA	
C.9.7	A system exists for oversight and review by the Facility Director.	Y N NA	
C.9.8	Staff from the medical department provide advice regarding the use of 4-point restraints, straitjackets or other similar incapacitating restraints.	Y N NA	
C.9.9	Restraints are only used as necessary in the least intrusive means possible and for the shortest duration that is safe.	Y N NA	
C.9.10	The facility does not use hog-tying.	Y N NA	
C.9.11	Restraints are not used for punishment.	Y N NA	

**SECURITY AND CONTROL: Tool and Equipment Control**

**C.10** The Facility Director ensures control of keys, tools, culinary equipment, medical equipment, supplies, and vehicles.

<input type="checkbox"/> <b>Acceptable</b>	<input type="checkbox"/> <b>Deficient</b>	<input type="checkbox"/> <b>Repeat Deficiency</b>	<input type="checkbox"/> <b>At- Risk</b>	<input type="checkbox"/> <b>Not Applicable</b>
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**On-Site Assessment Items:**

Review relevant policies, procedures, and documentation concerning tool and equipment control.

Interview facility management staff, corrections staff, and security staff.

Specifically interview staff who oversee keys, culinary equipment, medical equipment, and vehicles.

Observe all areas where keys are stored.

Review any logs relating to the issuance and return of keys.

Inspect kitchen and other food preparation areas, as well as the area in which culinary tools are stored.

Note the presence of shadow board or other method of inventorying equipment.

Note whether dangerous equipment (e.g., cleavers, can openers) are tethered or otherwise secured in the food preparation area.

Review any logs relating to the issuance and return of culinary equipment.

Inspect medical area, with special attention to the area where medical supplies are stored.

Review running inventories of syringes, scalpels, and other dangerous medical equipment.

Identify any keys, culinary equipment, and medical equipment found missing over the past six months and determine what efforts were made to locate the lost items.

Inspect all areas in which tools, other dangerous items, ladders, or vehicles are stored.

Note the presence of shadow boards and other security measures in these areas.

Review any documentation of running or periodic inventories.

	Review Checklist		Comments
C.10.1	Ensure written policies and procedures exist for the control of keys, tools, culinary equipment, medical equipment, supplies, and vehicles. These policies include at least the implementation subjects addressed in this section, and also:	Y N NA	
C.10.1a	Required posted inventories or another acceptable accounting system for all tools, keys, and supplies.	Y N NA	
C.10.1b	Timely notification process for missing tools and for attempting to locate the item.	Y N NA	
C.10.1c	Identifying what tools can be issued to detainees and what degree of staff supervision is required when detainees use these tools.	Y N NA	
C.10.1d	Employee review and Signature by employee of above mentioned policies	Y N NA	
C.10.2	Policies and procedures are communicated to:		
C.10.2a	Appropriate staff members	Y N NA	
C.10.2b	Detainees, where appropriate	Y N NA	
C.10.3	Policies and procedures are reviewed and updated.	Y N NA	

	Review Checklist		Comments
C.10.4	Emergency keys:		
C.10.4a	Are kept in a secure but accessible location	Y N NA	
C.10.4b	Reach every area of the facility	Y N NA	
C.10.4c	Usage is controlled	Y N NA	
C.10.4d	Usage is documented	Y N NA	
C.10.5	The facility keeps a running inventory, and conducts periodic checks to ensure that the location of all keys, tools, culinary equipment, medical equipment, supplies and vehicles is known at all times.	Y N NA	
C.10.6	Dangerous kitchen implements are tethered to work stations to reduce the risk of their use as weapons.	Y N NA	
C.10.7	Missing tools, including culinary equipment and medical items, are reported promptly and an effort is made to locate the lost items.	Y N NA	
C.10.8	Supplies with the potential to compromise institutional security, including vehicles, are stored securely and inventoried periodically.	Y N NA	

**SECURITY AND CONTROL: Weapons Control**

**C.11** The Facility Director ensures control of weapons.

<input type="checkbox"/> <b>Acceptable</b>	<input type="checkbox"/> <b>Deficient</b>	<input type="checkbox"/> <b>Repeat Deficiency</b>	<input type="checkbox"/> <b>At- Risk</b>	<input type="checkbox"/> <b>Not Applicable</b>
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<b>Reviewer's Initials:</b>	<b>Date:</b>
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**On-Site Assessment Items:**

Review relevant policies, procedures, and documentation concerning weapons control.

Interview facility management staff, corrections staff, and security staff.

Inspect the armory and any other areas where weapons and/or ammunition are stored.

Review documentation of check-out system for weapons and ammunition, as well as reconciliation at the end of each shift or workday.

Inspect weapons in the armory to determine that they are secure, properly inventoried, accounted for, and well maintained in working order.

Inspect the area where visitors check weapons before entering the facility to ensure that the area contains secure lockers.

Interview the person responsible for enforcing this policy on the day shift to verify implementation of the policy.



	Review Checklist		Comments
C.11.1	Ensure written policies and procedures exist for weapons control. These policies include at least the implementation subjects addressed in this section, and also:	Y N NA	
C.11.1a	Control, security and maintenance for weapons, firearms, and ammunitions.	Y N NA	
C.11.1b	Required posted inventories or another acceptable accounting system for all weapons, firearms, and ammunitions.	Y N NA	
C.11.1c	All firearms and ammunitions are secured in gun lockers or armory and issued only to qualified and trained staff.	Y N NA	
C.11.1d	Inventory checks of all weapons, firearms, and ammunitions.	Y N NA	
C.11.1e	A timely notification process for missing weapons, firearms, or ammunitions and procedures for attempting to locate the item.	Y N NA	



	Review Checklist		Comments
C.11.2	Policies and procedures are communicated to:		
C.11.2a	Appropriate staff members	Y N NA	
C.11.2b	Detainees, where appropriate	Y N NA	
C.11.3	Policies and procedures are reviewed and updated.	Y N NA	
C.11.4	A checkout system exists for weapons and ammunition, and the inventories are reconciled at the end of a shift or workday.	Y N NA	
C.11.5	Facility tracks and maintains control of all weapons.	Y N NA	
C.11.6	Inventory checks are conducted of all of all weapons, firearms, and ammunitions.	Y N NA	
C.11.7	Missing weapons issues are resolved quickly.	Y N NA	
C.11.8	Weapons are maintained so that they are accessible and in working order.	Y N NA	
C.11.9	All visitors check weapons in secure lockers before entering the facility.	Y N NA	

**SECURITY AND CONTROL: Detainee Discipline**

**C.12** The Facility Director ensures a fair detainee disciplinary system is in place that preserves due process.

<input type="checkbox"/> <b>Acceptable</b>	<input type="checkbox"/> <b>Deficient</b>	<input type="checkbox"/> <b>Repeat Deficiency</b>	<input type="checkbox"/> <b>At- Risk</b>	<input type="checkbox"/> <b>Not Applicable</b>
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<b>Reviewer's Initials:</b>	<b>Date:</b>
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**On-Site Assessment Items:**

Review relevant policies, procedures, and documentation concerning detainee discipline.

Interview facility management staff, corrections staff, security staff, and detainees.

Verify that information is available via that means of communication (e.g., review handbook, postings, etc.).

Check pre-service and in-service training curricula and/or training records to determine whether training addresses the subject of the detainee disciplinary system.

Interview random correctional staff to determine whether they know the major elements of the disciplinary system, particularly those relating to staff's responsibilities (e.g., writing disciplinary reports).

Review written policies and procedures regarding detainee discipline.

Review log or other summary record of all disciplinary proceedings for the past 90 days:

Interview disciplinary hearing officer and/or other high-ranking staff to be certain the reviewer understands the log;

Obtain names of detainees in disciplinary segregation (over whatever period is necessary to get at least 10), determine when they were convicted of a disciplinary offense, and check log to see if convictions are recorded.

Review random files of detainees found guilty to determine whether disciplinary report/hearing record is in those files (they should be).

Review random files of detainees found not guilty to determine whether disciplinary report/hearing record is in those files (they should not be).  
Interview disciplinary hearing officer to determine whether that person maintains copies of complete records of disciplinary proceedings.

Obtain and review copy of notice inmates receive.

Question random detainees to determine whether they received the form of notice.

Check logs to determine if all convictions relate to violations of rules of which inmates have notice.

If the reviewer is unable to reach a conclusion based on the log, review a random sample of files of detainees who have been convicted of disciplinary offenses within the past 90 days (or records of such proceedings maintained by the disciplinary officer).

If necessary for confirmation, interview detainees and disciplinary hearing officer or other high-level staff.

Check logs to determine if all punishments are within proper ranges.

If the reviewer is unable to reach a conclusion based on the log, review a random sample of files of detainees who have been convicted of disciplinary offenses within the past 90 days (or records of such proceedings maintained by the disciplinary officer).

If necessary for confirmation, interview detainees and disciplinary hearing officer or other high-level staff.

As a preliminary matter, obtain any relevant information that may be available on the disciplinary action log and/or from interviews held initially with the disciplinary hearing officer or other high-ranking staff and a sample of detainees.

Review sample of files of detainees convicted of a disciplinary infraction within past 90 days (if records are maintained in individual files) and/or a sample of records of disciplinary proceedings maintained by disciplinary officer:

To determine whether there are cases in which the detainee failed to appear at a disciplinary hearing; in these cases, review the record to determine whether there is documented justification of the reason for the detainee's non-appearance at the disciplinary hearing.

To determine whether there is documented evidence that detainees have introduced statements or testimony of witnesses and have presented of documentary evidence.

To determine why the detainee failed to introduce statements or testimony of witnesses and/or failed to present documentary evidence.

To determine whether counsel substitute has ever been present at a hearing; if not, or if the incidence of appearance is low, follow up with interviews of the disciplinary officer and detainee.

To determine whether any detainee has received the assistance of an interpreter during a disciplinary hearing; if not, or if the incidence of assistance is low, identify at least 10 non-English speaking detainees who have been convicted of disciplinary offenses and follow-up through interviews.

To determine whether the detainees received a written statement of the evidence supporting the decision.

To determine whether the detainees received a written statement of the evidence supporting the decision of guilt and the reason for the punishment imposed.

To determine whether the disciplinary officer was a witness to or participant in the incident leading to the disciplinary report; and/or the disciplinary officer appears to be related to any staff member involved in the incident leading to the disciplinary report; and/or the inmate challenged the impartiality of the hearing officer.

Review the disciplinary log and/or a sample of records to determine that the violation could not have resulted in loss of good time or placement in solitary confinement and that, in fact, neither of these sanctions was imposed. Conduct follow-up interviews with specific detainees or the hearing officer in cases in which the reviewed record suggests a violation or anomaly regarding any disciplinary measure.

Interview the hearing officer or other high-ranking official to determine whether the facility maintains two-track system.

If a two-track system is employed, identify the nature of the “limited rights” provided to detainees in non-major cases:

Notice of filing of charges?

Any opportunity to contest charges?

Other elements?

	Review Checklist		Comments
C.12.1	Ensure written policies and procedures exist for detainee discipline. These policies include at least the implementation subjects addressed in this section, and also:	Y N NA	
C.12.1.a	Detainee discipline for offenses that may result in a loss of good time or placement in solitary confinement; these policies and procedures address detainees' right to due process	Y N NA	
C.12.1.b	Detainee discipline for offenses that cannot result in loss of good time or placement in solitary confinement; these policies describe a fair procedure for the resolution of these cases, but this procedure can be a simplified one.	Y N NA	
C.12.2	Policies and procedures are communicated to:		
C.12.2a	Appropriate staff members	Y N NA	
C.12.2b	Detainees, where appropriate	Y N NA	
C.12.3	Policies and procedures are reviewed and updated, as appropriate..	Y N NA	
C.12.4	A record of all detainee discipline is maintained.	Y N NA	
C.12.5	Detainees receive notice in writing of institutional rules, penalties for violations of those rules, and the disciplinary procedures in effect at the facility.	Y N NA	

	<b>Review Checklist</b>		<b>Comments</b>
C.12.6	All disciplinary convictions relate to institutional rules of which detainees have been made aware pursuant to C.12.5, above.	Y N NA	
C.12.7	Any penalties imposed upon a finding of guilt are consistent with the penalties of which the detainee has been made aware pursuant to C.12.5, above, in connection with the specific violation of institutional rules.	Y N NA	



	<b>Review Checklist</b>		<b>Comments</b>
C.12.8	In the case of charges that could lead to the loss of good time or the imposition of solitary confinement:	Y N NA	
C.12.8a	Detainees receive reasonable notice of the filing of disciplinary charges against them in advance of a disciplinary hearing;	Y N NA	
C.12.8b	Detainees are given the benefit of a hearing prior to any adjudication of guilt or imposition of punishment;	Y N NA	
C.12.8c	Detainees are present at their hearings, absent valid security considerations in an individual case or a detainee's refusal to attend the hearing;	Y N NA	
C.12.8d	During the disciplinary hearing, the detainee may introduce statements or testimony of witnesses and present other documentary evidence to challenge the charges against the detainee;	Y N NA	
C.12.8e	Detainees who are illiterate receive the assistance of a counsel substitute, who may be a staff member;	Y N NA	
C.12.8f	Detainees who do not speak the English language receive the assistance of an interpreter during the course of the hearing;	Y N NA	
C.12.8g	Detainees receive a written statement of the evidence behind a decision and the reason for the punishment imposed; and	Y N NA	
C.12.8h	All disciplinary hearings or other proceedings are conducted by an impartial decision maker.	Y N NA	

	<b>Review Checklist</b>		<b>Comments</b>
C.12.9	When a detainee is charged with a disciplinary violation that cannot result in a loss of good time or placement in solitary confinement, the facility provides at least limited rights to a fair process that permit the detainee to challenge the charges against him or her.	Y N NA	

**SECURITY AND CONTROL: Supervision for Special Housing**

**C.13** The Facility Director ensures supervision of detainees in administrative segregation, protective custody, and disciplinary detention.

<input type="checkbox"/> <b>Acceptable</b>	<input type="checkbox"/> <b>Deficient</b>	<input type="checkbox"/> <b>Repeat Deficiency</b>	<input type="checkbox"/> <b>At- Risk</b>	<input type="checkbox"/> <b>Not Applicable</b>
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<b>Reviewer's Initials:</b>	<b>Date:</b>
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**On-Site Assessment Items:**

Review relevant policies, procedures, and documentation concerning supervision for special housing.

Interview security and medical staff to determine how access to medical and mental health services is provided.

Review logs, sick call request records, and other documentation to verify that the system is operating properly.  
interview random inmates in each segregation status.

Interview staff member responsible for special housing area(s) to obtain additional information, if needed.

Tour the areas for administrative segregation, protective custody, and disciplinary detention.

Note whether area(s) provide security.

Note whether area in which protective segregation prisoners are housed has surveillance to ensure their safety.

Note whether all permitted items of property are present; obtain explanation for any exception.

Review documentation of daily visits to these areas by supervisory staff over the preceding 120 days.

Interview random supervisory staff who make these visits.

	Review Checklist		Comments
C.13.1	Ensure written policies and procedures exist regarding supervision for special housing. These policies include at least the implementation subjects addressed in this section, and also:	Y N NA	
C.13.1a	Frequency of visits by supervisory staff to the special housing units	Y N NA	
C.13.1b	Ensure security for protection cases, cell-alone situations, and keep-separated individuals	Y N NA	
C.13.1c	Definition of items of personal property a detainee may have in special housing: Clothing, Bedding, linens Religious materials Writing materials Legal materials	Y N NA	
C.13.1d	Access to health services for detainees in Special Housing	Y N NA	

	Review Checklist		Comments
C.13.2	Policies and procedures are communicated to:		
C.13.2a	Appropriate staff members	Y N NA	
C.13.2b	Detainees, where appropriate	Y N NA	
C.13.3	Policies and procedures are reviewed and updated.	Y N NA	
C.13.4	Daily visits by supervisory staff are performed, visits are documented, and documentation is maintained.	Y N NA	
C.13.5	Detainees in Special Housing have daily access to health and mental health services and as needed.	Y N NA	
C.13.6	Detainees have all permitted property unless restricted on an individual basis for sound security reasons	Y N NA	
C.13.7	Inmates requiring protection are provided surveillance.	Y N NA	

**SECURITY AND CONTROL: Contingency/Emergency Plans**

**C.14 The Facility Director ensures that an effective, written contingency/emergency plan is in place. (K.9)**

<input type="checkbox"/> Acceptable	<input type="checkbox"/> Deficient	<input type="checkbox"/> Repeat Deficiency	<input type="checkbox"/> At- Risk	<input type="checkbox"/> Not Applicable
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<b>Reviewer's Initials:</b>	<b>Date:</b>
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**On-Site Assessment Items:**

Review relevant policies, procedures, and documentation concerning detainee accountability and supervision.

Interview facility management staff, corrections staff, and security staff.

Review written agreements for provision of outside assistance in the event of an emergency. Emergency plans must include written instructions for detainee escape notifications as required in the MOU.

Obtain and review all reports and other documentation of any emergency listed in C.14.1 over the past 12 months.

Determine whether any such emergency was handled in a manner consistent with the facility's written policy.

	Review Checklist		Comments
C.14.1	Ensure written policies and procedures exist for contingency/emergency plans. These policies include at least the implementation subjects addressed in this section, and also:	Y N NA	
C14.1a	Work stoppage		
		Y N NA	
C.14.1b	Disturbance	Y N NA	
		Y N NA	
C.14.1c	Hunger strike	Y N NA	
C.14.1d	Hostage situation	Y N NA	
C.14.1e	Escape	Y N NA	
C.14.1f	Natural disaster	Y N NA	
C.14.1g	Fire	Y N NA	
C.14.1h	Demonstrations	Y N NA	
C.14.1i	Bomb threats	Y N NA	
C.14.1j	Utility outages	Y N NA	
C.14.1k	Evacuations	Y N NA	
C.14.1l	Chemical leaks	Y N NA	
C.14.1m	Emergency unlocking of detainees in every area of the facility.	Y N NA	
C.14.1n	Authority to contact outside emergency assistance (Who to contact and under what circumstances?).	Y N NA	
C.14.1o	Utility shut off valves, phone disconnects and electrical termination switches.	Y N NA	
C.14.1p	Evacuating detainees and staff from the facility.	Y N NA	

	Review Checklist		Comments
C.14.2	Policies and procedures are communicated to:		
C.14.2a	Appropriate staff members	Y N NA	
C.14.2b	Detainees, where appropriate	Y N NA	
C.14.3	Policies and procedures are reviewed and updated, as appropriate.	Y N NA	
C 14.4	Written and signed agreements exist that provide for necessary assistance in the event of an emergency (e.g., transportation, housing, food, medical care).	Y N NA	
C 14.5	Emergency generators are inspected and load tested as frequently as specified by the manufacturer and these inspection documents or logs are maintained and available for review.	Y N NA	
C.14.6	Facility staff members are trained in emergency procedures.	Y N NA	