



# **Self-Audit Instrument**

**For Administrators of Direct Supervision Jails**

**BASED ON THE MEASURABLE ELEMENTS  
OF DIRECT SUPERVISION**



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Measurable Elements of Direct Supervision**

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Measurable Elements of Direct Supervision**

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# **SELF-AUDIT INSTRUMENT FOR ADMINISTRATORS OF DIRECT SUPERVISION JAILS**

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# **A Self-Audit Instrument for Administrators of Direct Supervision Jails**

## **INTRODUCTION**

The Advisory Board of the National Institute of Corrections (NIC) endorsed the concept of Podular Direct Supervision in 1982. Since that time the NIC Jails Division has promoted the concept and provided training based on the eight *Concepts and Principles of Direct Supervision* as outlined by W. Raymond Nelson in 1982. An updated version, *The Annotated Principles of Direct Supervision*, prepared by Ray Nelson, is included in Section 2 of this manual.

The purpose of this manual is to provide administrators of direct supervision jails with the necessary information, instruction, and tools to conduct self-audits that will indicate how well the concepts and principles of direct supervision are being implemented in their facility. The self-audit process can be conducted as a one-time assessment, or can be conducted at regular intervals as part of an ongoing monitoring effort.

Just as a general audit of agency management and administration reveals little about direct supervision, this direct supervision audit reveals little about overall agency management and administration. This audit process focuses specifically and solely on the implementation of direct supervision principles in the direct supervision housing units of the jail.

To help the jail administrator assess how well the concepts and principles of direct supervision are being implemented in his or her jail, this self-audit instrument includes the following items:

- Questionnaire for jail administrative staff (administrators, mid-level managers, and shift supervisors)
- Questionnaire for direct supervision line staff (officers)
- Questionnaire for inmates housed in direct supervision units
- Document review questionnaire
- Facility checklist

This self-audit instrument translates the *Concepts and Principles of Direct Supervision* into measurable elements of direct supervision, included in Section 3. These measurable elements are the basis for the questions for administrative staff, officers, and inmates. The measurable elements and corresponding questions are numbered and arranged to coincide with the numbering of the *Concepts and Principles of Direct Supervision* (see example below).

**Principle I: Effective Control**

**Sub-principle I-A: Total Control**

**Measurable Element I-A-1:**

**Officer present on housing unit at all times when inmates are out of their cells.**

**Question I-A-1 (Administrator):** Are officers scheduled to be present at all times on housing units when inmates are out of their cells?

**Question I-A-1 (Officer):** Is an officer present when the inmates on your unit are out of their cells?

**Question I-A-1 (Inmate):** Is an officer present in the dayroom when inmates are out of their cells?

The scoring information provided in Section 10 is also numbered and arranged to coincide with the numbering of the *Concepts and Principles of Direct Supervision*. This consistent numbering provides the administrator with a way to link each principle of direct supervision to the audit questions and scoring guidelines.



## GETTING STARTED

Before beginning the self-audit, the jail administrator should review all the elements in the instrument:

- Section 2: *The Annotated Principles of Direct Supervision*
- Section 3: Measurable Elements of Direct Supervision
- Section 4: Instruction Sheets
- Sections 5–8: Questionnaires, Document Review, and Facility Checklist
- Section 9: Tallying
- Section 10: Compiling Results

Once the administrator has reviewed all of the self-audit materials, the following steps are necessary to complete the self-audit. The administrator must determine if he or she will handle this process in its entirety or select someone to handle some of the steps.

1. Make copies of the questionnaires.
2. Administer questionnaires to each of three groups (administrators, line staff, and inmates).
3. Collect all questionnaires.
4. Tally the questionnaires.
5. Complete the document review.
6. Complete the facility checklist.
7. Compile the results.
8. Interpret the results.

The self-audit instrument package includes master copies of each questionnaire, document review, and physical plant checklist. Sufficient copies should be made to complete the self-audit, retaining the masters for use in future audits.

## THE ANNOTATED PRINCIPLES OF DIRECT SUPERVISION

### PRINCIPLE 1: EFFECTIVE CONTROL

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Effective control of inmate behavior is fundamental to a correctional facility's operation. The control of inmate behavior in a direct supervision facility is achieved through the application of the following six sub-principles of this principle.

#### **A. Total Control**

Staff in direct supervision jails firmly establish their authority over all space and activities in the facility, particularly inmate housing areas. When staff control the inmates, rather than allowing inmates to control one another, both will be far safer. A fundamental precondition of direct supervision is that inmates who do not comply with the verbal instructions of staff be housed in a segregation unit.

#### **B. Sound Perimeter Security**

A direct supervision jail's physical security is concentrated on the perimeter. Sound perimeter security permits greater flexibility in the internal operations, permitting them to take place in a more normalized environment. To lessen the chances that perimeter security is breached, doors that unit staff control should not lead to a direct path of escape from the facility and frequent security inspections should be conducted to detect any damage or attempts to compromise the perimeter's structural integrity.

#### **C. Population Divided into Manageable Groups**

The size of inmate groups should not exceed that which can be effectively managed. When staff perceive that the size of the inmate group that they are supervising is not manageable they will lack the confidence to function at their highest potential.

#### **D. Easily Surveillable Areas**

Unit officers can more effectively control inmates' behavior when they can easily observe their housing unit. This does not necessarily mean there is one point from which all areas of the unit are visible, but lines of sight should be unobstructed so that officers can see most areas by turning their head and all areas by taking a few steps. Not only should staff easily be able to view all areas under their supervision, but the inmates should also be able to see the entrances to their rooms easily from the dayrooms. This provides a quality known as "protectable space."

#### **E. Accountability For Behavior**

Accountability for behavior is established through both inmate management techniques and structural design features. When inmates have a feeling of anonymity they are emboldened to behave unacceptably. To remedy this condition, staff must deal with the inmates as individuals by making a concerted effort to address them by their names. Greater accountability for behavior can also be achieved by completing a cell inspection form when inmates are assigned to a new cell and holding them accountable for any subsequent damage. A facility design that

incorporates the concept of space accountability, such as single cells and dedicated space for one unit, further supports accountability for behavior.

### **F. Maximizing Inmates' Self-Control**

Most inmates are very capable of exercising control over their behavior when provided the opportunity and the motivation. One example is the opportunity to retreat to an individual cell when tempted to display aggressive behavior. Hyperactive inmates are provided a chance to release their energy in the outdoor exercise area at any time of the day. Consistent enforcement of inmate rules by staff provides the necessary motivation for inmates to employ self-control.

## **PRINCIPLE 2: EFFECTIVE SUPERVISION**

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Effective supervision of inmates is closely related to effective control, but more specifically refers to the interaction between the unit officer and the inmate. Effective supervision is a dynamic process the unit officer employs to manage inmate behavior, based on generally accepted behavior management techniques. To achieve effective supervision, the following five sub-principles of this principle must be in place.

### **A. Staff-to-Inmate Ratio**

The number of inmates that a unit officer has to supervise will have a critical bearing on how effective this supervision will be. While fewer inmates are easier to supervise, fiscal reality dictates that an officer supervise as many inmates as reasonably possible. The collective experience with staffing ratios during the past 25 years is that one officer can effectively supervise 64 inmates and under special circumstances can effectively supervise 72. An additional finding is that one officer supervising 64 inmates is more effective than two officers supervising 100 inmates. Many variables affect the effective ratio of unit officers to inmates, such as: the inmates' classification, the housing unit design, the officer's supervision skills, and the types of activities in the unit. Because of this, setting one ratio for all applications is unrealistic.

### **B. Officer in Control of Unit**

A critical precondition to assigning a single officer to manage a housing unit is that the officers have sufficient authority commensurate with their responsibilities. Since officers will exercise their authority through verbal commands rather than physical force, there should be a mechanism to remove inmates who refuse to comply with officers' directions.

### **C. Unit Officer's Leadership Role**

One of the major sources of inmate violence is the struggle for leadership when a leadership void exists. To prevent competition for leadership among inmates, the officer must fill the void. There is room for only one leader on a housing unit and that leader must always clearly be the officer. The officer must not share the leadership role with an inmate by placing one inmate in a subordinate role to another. The officers' duties and the unit environment should be structured to support and emphasize their role as undisputed leader of the unit. Any inmate who competes for

the leadership role must be dealt with effectively, even if that means removal from the housing unit.

#### **D. Frequent Supervision By Management**

Management must take an active role in ensuring that staff are successful in supervising inmates. Supervisors and administrators must maintain a high profile on the units to assure that staff are performing their duties correctly and according to established policy. The exercise of considerable independent authority by unit officers requires frequent monitoring to ensure that this authority is not abused. Supervisors should give this attention in a supporting way, taking care not to undermine the unit officers' authority.

#### **E. Techniques of Effective Supervision and Leadership**

A considerable body of knowledge has been collected and verified concerning techniques of supervision and leadership in all forms of human endeavors. Most of these techniques are also applicable in a direct supervision facility. Mastery of these techniques will enable the officers to perform their duties skillfully and with a sense of professional competence.

### **PRINCIPLE 3: COMPETENT STAFF**

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When a correctional facility emphasizes the management of inmate behavior, staff effectiveness is most critical. When successful operation is dependent upon staff rather than technological devices or physical barriers, staff must be sufficiently competent to achieve these important objectives.

#### **A. Recruiting Qualified Staff**

The first requirement for assuring competent staff is to recruit staff with the qualifications necessary to perform the duties of a direct supervision unit officer. A candidate for this position should be able to relate effectively to people, and to learn the skills required of this position and should have leadership potential. Qualified candidates do not have to be college graduates, but should be capable of being trained.

#### **B. Effective Training**

In addition to basic correctional officer training, the officer must be trained extensively in the following areas: the history, philosophy and principles of direct supervision; responsibilities and tasks specific to the unit officer's position; and techniques of effective supervision, leadership, and interpersonal communications.

#### **C. Effective Leadership by Management**

It is critical that supervisors and managers visit the units with sufficient frequency to assure that staff are functioning consistently with institutional policy. Policy should be adequately documented to provide a consistent structure that facilitates continuity among shifts and units. To maximize the benefits of direct supervision, management must engineer the role of the housing officer and structure the supervisors' visits to assure quality performance.

## **PRINCIPLE 4: SAFETY OF STAFF AND INMATES**

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Probably the greatest concern about being incarcerated or seeking employment in a detention facility is personal safety. It is imperative that jails ensure the safety of staff and inmates, as well as create the perception of safety, for the full benefits of direct supervision to be achieved. The following five sub-principles emphasize why this principle is so important.

### **A. Mission and Public Expectations**

Despite the general fears associated with detention facilities in our society, there is a public expectation that inmates should be safe, and that the staff who operate these facilities should not be exposed to undue hazards. The basic mission of a detention facility is to provide safe and secure custody of its wards until they are released.

### **B. Life Safety Codes**

Prisons and jails have all too often been the scenes of tragic fires. The fatalities from these fires occurred primarily from smoke inhalation, due to deficient evacuation plans and key control procedures. Any facility, regardless of architectural style or inmate management style, must be compliant with life safety codes.

### **C. Personal Liability**

Millions of dollars have been paid in court-awarded damages to victims or their families as a result of personal injuries sustained in detention facilities because of preventable unsafe conditions. The facility administrator's obligation to protect prisoners has been clearly established in case law.

### **D. Inmates' Response to Unsafe Surroundings**

Inmate response to unsafe surroundings is rather predictable—self-preservation. It is a basic human instinct. Inmates attempt to enhance personal safety by acquiring defensive weapons, affiliating with a kindred group for common defense, presenting themselves as tough persons not to be messed with, or by purchasing security with cash or kind. Inmates often commit violent or destructive acts in order to be placed in administrative or punitive segregation, which they perceive to be safer than general population housing. The very acts that practitioners identify as the primary inmate management problems are often normal reactions to unsafe surroundings.

### **E. Staff Response to Unsafe Working Conditions**

Staff's response to unsafe conditions is similar to the inmates' response, since self-preservation is a basic instinct that we all have in common. Staff often affiliate with unions to achieve safer working conditions. They avoid personal contact with inmates and avoid patrolling areas they perceive to be unsafe. All too frequently, staff avoid coming to work by using sick leave for stress-related disabilities or by simply abusing the sick leave system. They are also known to occasionally carry their own personal and prohibited weapons, and some have tried to buy personal safety from inmates by granting special favors. Housing units should be designed to maximize what is known as "protectable space" to reinforce the officers' safety as well as their perception of safety on the unit.

## **PRINCIPLE 5: MANAGEABLE AND COST-EFFECTIVE OPERATIONS**

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One very practical consideration for any facility is that it be manageable and cost-effective. Many jurisdictions are already spending more on detention than they consider proportionate to their tax base without achieving their correctional objectives. The effective application of the following six sub-principles will enable the facility to fulfill its mission and, at the same time, reduce costs and improve manageability.

### **A. Reduced Construction and Furnishing Costs**

The initial costs savings in a direct supervision facility are those related to construction. The absence of vandal-proof and security -style furnishings, fixtures, and finishes throughout 90% of the facility is the major contributor to lower construction costs. Experience with commercial-grade material in direct supervision facilities since 1975 has demonstrated that administrators may confidently select less-costly alternatives to security/vandal-proof components without concern that replacement costs will cancel out initial savings.

### **B. Wider Range of Architectural Options**

In a facility where inmate behavior is managed so that vandalism is minimal, the architect is free to select a wider range of materials to improve the facility's manageability. For example, good acoustics are critical to the daily operations of a detention facility. Good acoustical qualities facilitate officers' communication with inmates, and enable them to hear radio communications clearly, as well as aid in the detection of security breaches. The use of carpeting in the dayroom area is one way to improve acoustics. Carpeting also reduces slippage on wet floor surfaces, which is a major cause of staff injury. Wooden cell doors do not expand like steel doors in a fire and are less likely to impede safe evacuation. This option can be selected without concern that the doors will be defaced.

### **C. Reduced Vandalism**

Operating costs can be dramatically reduced by curtailing vandalism. The virtual absence of graffiti and vandalism in a direct supervision facility is achieved by making inmates accountable for their behavior and by promptly restoring any area that has been vandalized. Since graffiti and vandalism are two environmental indicators of the absence of control, it is important that they are not visible in a correctional facility.

### **D. Anticipation of Fundamental Needs**

As indicated previously, much negative inmate behavior results from efforts to fulfill human needs. Proactive managers can use their knowledge of how human needs affect behavior to achieve the behavioral response they are seeking. They must engineer the dynamics of the living unit so that the fulfillment of the inmates' human needs can only be achieved through positive behavior. If inmates understand that most of their fundamental needs can be fulfilled in a general population housing unit, then they have a very important investment in remaining on the unit.

### **E. Sanitation and Orderliness**

The activities involved in maintaining a clean and orderly unit are important devices for managing a direct supervision housing unit. These activities promote a healthy interaction between staff and inmates in which the inmates become conditioned to responding positively to the officer's directives. Equally important is the frequent opportunity provided for inmates to resist the officer's directives. These instances continually verify that the inmate is compliant enough to function on a direct supervision unit. The orderly state of the unit is also a constant visual reminder that the officer is actively controlling the unit. Competition among units for a prize awarded to the cleanest can produce positive results in maintaining a high standard of sanitation and orderliness. The pursuit of high sanitary objectives also provides an important structured opportunity for officers to develop their leadership skills

### **F. Opportunities for Reintegration**

This sixth sub-principle, reintegration or redirection, has evolved since the original development of the principles of direct supervision. Rehabilitation to any degree has not traditionally been a function of detention facilities, which hold primarily pre-trial inmates. The rehabilitation of even sentenced offenders has been considered a questionable goal. In direct supervision facilities, however, there has been increased focus on developing rehabilitative programs and activities because many of the day-to-day inmate management problems, which previously consumed much of the administrators' attention, have been significantly reduced.

## **PRINCIPLE 6: EFFECTIVE COMMUNICATION**

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Effective communication is a critical ingredient in the operational strategy of all human enterprises. Jails are not exceptions, and management must be sensitive to the important impact of the three sub-principles of this principle.

### **A. Frequent Inmate and Staff Communication**

Communication skills are essential to the officers' leadership position in the housing unit. Management, then, should structure the unit officer's duties so that frequent communication with all inmates is a requirement of the post and not merely left up to the initiative of the officer.

### **B. Communication Among Staff Members**

Because individual officers are assigned to separate units, management must be especially careful to facilitate communications among staff members. Unit officers who work effectively with inmates sometimes find that the obstructions they encounter appear to be placed there by other staff members. This can be prevented by establishing good channels of communication between shifts and among assignments. Arrange lunch breaks to be taken with other unit officers. Good communications can also be achieved through shift roll calls, timely and clear policy and procedure statements, post orders, and unit logs. Team meetings with unit officers have also been found effective in providing the necessary opportunities for staff communication.

### **C. Communication Skills Training**

Staff should receive thorough training in interpersonal communication skills. The techniques of effective communication will greatly assist unit officers in achieving their objectives.

## **PRINCIPLE 7: CLASSIFICATION AND ORIENTATION**

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The classification and orientation of inmates must be an integral part of the day-to-day operations of direct supervision facilities.

### **A. Knowing With Whom You Are Dealing**

Officers must know with whom they are dealing and should have the benefit of as much information about each inmate as possible. While it is true that detention facilities often receive many prisoners about whom little information exists, they also receive many repeaters whose confinement records should detail, among other things, their behavior patterns in confinement.

### **B. Orientation**

Inmates should be told during the admission process what is expected of them. For most people a correctional facility is an unfamiliar environment, and a direct supervision facility is unique among correctional facilities. A carefully structured orientation program will save time and prevent misunderstandings. A videotaped orientation presentation in the languages frequently encountered among admitted inmates has proven extremely effective.

### **C. Assumption of Rational Behavior**

Human behavior is amazingly responsive to expectations communicated. This has been demonstrated frequently in educational settings and has been the object of considerable research. When we convey to people the kind of behavior we expect from them, either verbally or non-verbally, their tendency is to respond to these cues.

### **D. Maximum Supervision During Initial Hours of Confinement**

Special attention during the orientation period is indicated since the first 24 to 48 hours of confinement are a critical period in the detention process. The highest rate of suicide occurs during this time, accounting for nearly half the total jail suicides. Intensive supervision at this phase of the detention process and the prompt identification of inmates with self-destructive tendencies will contribute to a lower suicide rate.

## **PRINCIPLE 8: JUSTICE AND FAIRNESS**

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Justice is a fundamental aspect of correctional facility management. Because of the many implications of this issue on jail operations and its significance to jail management, it is regarded as an operational principle. The application of the following four sub-principles will help to achieve this concept.



### **A. Mission and Public Policy**

A critical part of the mission of most detention facilities is the provision of just custody. This is in recognition of the fundamental obligation to comply with constitutional standards and other applicable codes and court decisions. Despite widespread public confusion regarding the role of the detention facility, there is a public expectation that inmates should be treated fairly and in accordance with the law.

### **B. Consistent Root Cause of Collective Violence**

The level of violence in our society has reached such alarming proportions that there have been two Presidential commissions appointed to study this phenomenon. After examining the history of collective violence in the United States, they were able to identify a set of root causes present in all of the many occurrences. One consistent root cause, which is particularly relevant to the correctional setting, is that in every such event there was strong feeling by the participants that they had been treated unfairly. As a principle of inmate management, it is not sufficient for management to be just and fair; it is also vitally important that management's actions are *perceived* by the inmate population as just and fair.

### **C. Critical Leadership Quality**

As referred to previously, the officer's role as the leader of the unit is important in exerting positive control over the inmate population. A critical quality of any leader is a keen sense of fairness that subordinates can consistently depend upon. Any compromise of officers' reputation for fairness will seriously jeopardize their operational effectiveness.

### **D. Formal Administrative Remedy (Grievance) and Disciplinary System**

There will always be cases where an inmate does not accept the officer's position. Regardless of the basis for the inmate's disagreement, a formal administrative procedure should exist to channel such disputes. A creditable third-party review is not only a good pressure release mechanism, but it also serves as a monitoring system to ensure consistent equitable treatment. Disciplinary systems to deal with inmate rule violators should be structured and fair.

## **THE MEASURABLE ELEMENTS OF DIRECT SUPERVISION**

The measurable elements of direct supervision are specific indicators that have been defined for each of the principles of direct supervision. The chart of measurable elements arranges the indicators according to these principles and their sub-principles. The chart also provides the following information:

### **Reference Number**

Measurable element number (remains constant throughout the self-audit instrument)

### **DS Principle**

Principle and sub-principle of direct supervision

### **Measurable Element**

Measurable indicator of whether the sub-principle is in effect

### **Administrative Questionnaire**

Indicates whether there is a question about this element for administrators

### **Officer Questionnaire**

Indicates whether there is a question about this element for officers

### **Inmate Questionnaire**

Indicates whether there is a question about this element for inmates

### **Document Review**

Document that would verify that the element is in place

### **Linkage**

Shows if the element relates to another element elsewhere in the chart

**Principle 1: EFFECTIVE CONTROL**

**Sub-Principle: 1 A. Total Control**

<b>Ref. Number</b>	<b>DS Sub-Principle</b>	<b>Measurable Element</b>	<b>Admin. Quest.</b>	<b>Officer Quest.</b>	<b>Inmate Quest.</b>	<b>Document Review</b>	<b>Linkage</b>
1-A-1	Total Control	An officer is present on housing unit at all times when inmates are out of their cells	yes	yes	yes	P&P/Staff Schedule	
1-A-2	Total Control	Inmates are never placed in a position of control or influence over other inmates	no	yes	yes	P&P	
1-A-3	Total Control	Housing unit officers believe they are in full control of the inmates on their units	yes	yes	no		
1-A-4	Total Control	Officers are not reluctant to patrol any area of their unit	yes	yes	no		
1-A-5a	Total Control	Officers patrol all the areas of their unit. They do not remain at their stations.	yes	yes	yes		
1-A-5b	Total Control	Assigned tasks do not take the officer out of the unit	yes	yes	no		
1-A-6	Total Control	Disciplinary housing is available whenever it is needed	yes	yes	no		
1-A-7	Total Control	Officers can and do remove non-compliant inmates from the unit	yes	yes	yes	P&P/Inmate handbook	
1-A-8	Total Control	Officers are scheduled 24/7 in dormitory units and units with multiple occupancy cells	yes	no	no	P&P/Staff Schedule	
1-A-9	Total Control	A minimum number of officers is assigned to each housing unit during each day	yes	no	no	P&P/Staff Schedule	
1-A-10	Total Control	Only one officer is assigned to the unit at any one time	yes	no	no	P&P/Staff Schedule	
1-A-11	Total Control	Officers conduct regular cell checks on the unit at least once per shift	yes	yes	yes	P&P	

### Measurable Elements of Direct Supervision

Sub-Principle 1 B. Sound Perimeter Security							
Ref. Number	DS Sub-Principle	Measurable Element	Admin. Quest.	Officer Quest.	Inmate Quest.	Document Review	Linkage
1-B-1a	Sound Perimeter Security	The security boundaries (perimeter) of the housing unit are clearly defined	yes	yes	no	Incident reports	
1-B-1b	Sound Perimeter Security	The recreation areas and program spaces are included within these boundaries (perimeter)	yes	no	no		
1-B-1c	Sound Perimeter Security	Periodic security audits of the units are conducted	yes	no	no		
1-B-2	Sound perimeter Security	Housing unit officers on each shift conduct regular security checks of the perimeter. Officers make frequent patrols to check for inmate attempts to breach the security perimeter	yes	yes	no	P&P	
1-B-3	Sound Perimeter Security	Housing unit officers do not have the ability to directly open doors that would facilitate an inmate's escape from the facility. Exit doors are controlled from a secure control unit.	yes	yes	no	P&P	
1-B-4a	Sound Perimeter Security	The exterior perimeter of the jail is checked at least once each shift.	yes	no	no	P&P	
1-B-4b	Sound Perimeter Security	The exterior perimeter of the jail is thoroughly inspected regularly	yes	no	no	P&P	
Sub-Principle 1 C. Population Divided into Manageable Groups							
1-C-1	Population Divided into Manageable Groups	The number of inmates in any activities conducted off the units is not so large as to compromise the officers' ability to control them	yes	no	no	P&P	
1-C-2	Population Divided into Manageable Groups.	Unit sizes do not exceed 72 inmates* *see Chapter 2: Annotated Principles of Direct Supervision, p. 2.2	yes	no	no		
1-C-3	Population Divided into Manageable Groups	Housing units do not operate above design capacity	yes	no	no	P&P	

Ref. Number	DS Sub-Principle	Measurable Element	Admin. Quest.	Officer Quest.	Inmate Quest.	Document Review	Linkage
1-C-4	Population Divided into Manageable Groups	Officers feel the unit inmate population is a manageable size	no	yes	no		
1-C-5	Population Divided into Manageable Groups	Inmates feel the officer manages the unit	no	no	yes		
1-C-6	Population Divided into Manageable Groups	Officers have the opportunity to interact with most inmates during their shift	no	yes	yes		
1-C-7	Population Divided into Manageable Groups	Officers know which inmates belong in which cells	no	yes	no		
1-C-8	Population Divided into Manageable Groups	Officers aware of inmates' individual moods	no	yes	no		
1-C-9	Population Divided into Manageable Groups	The maximum number of inmates in a housing unit and the ratio of officer to inmates are determined by the classification of the inmates	yes	no	no	P&P	
<b>Sub-Principle 1 D. Easily Surveillable Areas</b>							
1-D-1	Easily Surveillable Areas	Housing unit officers have an unobstructed view of all cell doors and the unit entrance from the officers station as well as from the dayroom by taking a few steps	no	no	no	Facility Checklist	
1-D-2	Easily Surveillable Areas	Inmates have a clear view of the cell fronts while they are in the dayroom	no	no	no	Facility Checklist	
1-D-3	Easily Surveillable Areas	All areas of the unit can be accessed and observed by the officer without losing sight of the control station	no	no	no	Facility Checklist	
1-D-4	Easily Surveillable Areas	Excluding individual cells, there are no blind spots or alcoves that are not easily surveillable by the officer	no	no	no	Facility Checklist	

### Measurable Elements of Direct Supervision

Sub-Principle 1 E. Accountability for Behavior							
Ref. Number	DS Sub-Principle	Measurable Element	Admin. Quest.	Officer Quest.	Inmate Quest.	Document Review	Linkage
1-E-1	Accountability for Behavior	Individual cells are maintained free of vandalism and graffiti	yes	yes	no	Facility Checklist	
1-E-2a	Accountability for Behavior	Inmates are required to complete a cell inspection report when they are assigned to a cell	yes	yes	no	P&P/Inmate handbook	
1-E-2b	Accountability for Behavior	Inmates are held accountable for any damage or graffiti that occurs during their occupancy	yes	yes	no	P&P/Inmate handbook	
1-E-3	Accountability for Behavior	The housing unit officer instructs all new inmates on the rules of the unit upon arrival	yes	yes	yes	P&P	
1-E-4	Accountability for Behavior	Housing unit rules and consequences for violation are posted in the unit	no	no	no	Facility Checklist	
1-E-5	Accountability for Behavior	Officers know the rules and are consistent in their enforcement of those rules	yes	yes	yes		
Sub-Principle 1 F. Maximizing Inmates' Self-Control							
1-F-1	Maximizing Inmates' Self Control	Inmates generally conform to established/desired behavioral norms of the facility	no	yes	yes		
1-F-2	Maximizing Inmates' Self Control	Inmates are held accountable for negative behavior	no	yes	yes	Inmate handbook	
1-F-3	Maximizing Inmates' Self Control	All cells are single cells	yes	no	no		
1-F-4	Maximizing Inmates' Self Control	Programs are available to all inmates in direct supervision general population housing units	yes	yes	no		5-D-7
1-F-5	Maximizing Inmates' Self Control	Outdoor or indoor recreation is available every day for every inmate in general population	yes	yes	no		
1-F-6	Maximizing Inmates' Self Control	Officers are always present on the unit when any inmates are out of their cell	no	no	no		1-A-1, 1-A-8

**PRINCIPLE 2: EFFECTIVE SUPERVISION**

**Sub-Principle 2 A. Staff to Inmate Ratio**

<b>Ref. Number</b>	<b>DS Sub-Principle</b>	<b>Measurable Element</b>	<b>Admin. Quest.</b>	<b>Officer Quest.</b>	<b>Inmate Quest.</b>	<b>Document Review</b>	<b>Linkage</b>
2-A-1	Staff to Inmate Ratio	The number of inmates on a housing unit can be adequately supervised by one housing unit officer	no	no	no		1-A-3,1-C-3, 1-C-4
2-A-2	Staff to Inmate Ratio	Housing unit officers know the names of almost all of the inmates on their units	yes	yes	yes		
2-A-3	Staff to Inmate Ratio	All the inmates on the unit can be adequately supervised in the dayroom at one time	yes	yes	no		
2-A-4	Staff to Inmate Ratio	The officer/inmate ratio is based on inmate classification and behavior	no	no	no		1-C-9
2-A-5	Staff to Inmate Ratio	One officer at a time works in the unit	no	no	no		1-A-10
2-A-6	Staff to Inmate Ratio	Officers are able to interact with inmates on a daily basis	no	no	no		6-C-6
<b>Sub-Principle 2 B. Officer in Control of Unit</b>							
2-B-1	Officer in Control of Unit	Inmates who are not compliant with the orders of the housing unit officer or are disrespectful of the officer are promptly removed from the unit	no	no	no		1-A-7
2-B-2	Officer in Control of Unit	Officers have the authority to administer informal discipline such as counseling or reprimand, extra clean-up duty, and suspension of dayroom privileges for up to 24 hours.	yes	yes	no	P&P/Inmate handbook	
2-B-3	Officer in Control of Unit	Acoustics permit the officer's verbal communications to be heard by the inmates under his/her supervision without the need for shouting	yes	yes	yes		
2-B-4	Officer in Control of Unit	Administrators and supervisors do not undermine the officer's control of his/her unit	yes	yes	no		
2-B-5	Officer in Control of Unit	Officers are consistently assigned to the same unit for a period of no less than 90 days	yes	no	no		

### Measurable Elements of Direct Supervision

Ref. Number	DS Sub-Principle	Measurable Element	Admin. Quest.	Officer Quest.	Inmate Quest.	Document Review	Linkage
2-B-6	Officer in Control of Unit	Officers receive training in Interpersonal Communication in the Correctional Setting (IPC) and regular in-service follow-up	yes	no	no	Training Records	
2-B-7	Officer in Control of Unit	The officer has the capability to segregate an inmate for a disciplinary situation on the unit	no	no	no		1-A-6, 1-A-7
2-B-8	Officer in Control of Unit	The special housing unit always has a cell for an inmate who requires removal from a DS housing unit.	no	no	no		1-A-6
<b>Sub-Principle 2 C. Unit Officer's Leadership Role</b>							
2-C-1	Unit Officer's Leadership Role	Officers are trained in the leadership skills necessary for managing inmates on a housing unit	yes	no	no	Training Records	
2-C-2	Unit Officer's Leadership Role	Informal inmate leaders are not permitted to compete with the officers leadership role	no	yes	yes		
2-C-3	Unit Officer's Leadership Role	Officers hold daily group meetings with inmates on the unit to convey behavioral expectations and to reinforce positive behavior	yes	yes	no		
2-C-4	Unit Officer's Leadership Role	Officers know the names of almost all of the inmates on their unit	no	no	no		2-A-2
2-C-5	Unit Officer's Leadership Role	Officers are trained in and conversant with policies, procedures and post orders	yes	yes	no	Training Records	
2-C-6	Unit Officer's Leadership Role	Only one officer is assigned to each unit so that he/she is the leader of that unit	no	no	no		1-A-10
2-C-7	Unit Officer's Leadership Role	Officers stay on the unit and are easily accessible by the inmates and talk with them	no	no	no		1-A-1, 1-A-5
2-C-8	Unit Officer's Leadership Role	The officers have the flexibility within the framework of the operational guidelines to make decisions—be creative—in managing the unit	yes	yes	no		
2-C-9	Unit Officer's Leadership Role	The officer spends the entire shift on the housing unit	no	no	no		1-A-1, 1-A-5



Ref. Number	DS Principle	Measurable Element	Admin. Quest.	Officer Quest.	Inmate Quest.	Document Review	Linkage
2-C-10	Unit Officer's Leadership Role	Inmates are comfortable talking with the housing unit officer	no	yes	yes		
2-C-11	Unit Officer's Leadership Role	Inmate leaders do not run any aspect of unit operations	no	no	no		2-C-2
2-C-12	Unit Officer's Leadership Role	Inmates do not challenge the officer's leadership role	no	no	no		2-C-2
<b>Sub-Principle 2 D. Frequent Supervision by Management</b>							
2-D-1	Frequent Supervision by Management	The jail administrator visits all housing units at least once each week	yes	no	no		
2-D-2	Frequent Supervision by Management	First line supervisors visit all housing units at least once each shift	yes	yes	no	P&P	
2-D-3	Frequent Supervision by Management	When conducting unit inspections, managers and supervisors evaluate officers using consistent performance expectations, enabling administrative staff to express genuine support for the unit officers	yes	no	no		
2-D-4	Frequent Supervision by Management	Unit inspections do not undermine the officer's desired level of authority on the unit	no	no	no		2-B-4
2-D-5	Frequent Supervision by Management	Management implements a structured procedure for resolving inconsistencies between shifts	yes	yes	no		
2-D-6	Frequent Supervision by Management	Mid-managers supervise the same personnel on a regular basis	yes	yes	no		
2-D-7	Frequent Supervision by Management	Supervisors evaluate the performance of housing unit officers	yes	no	no	P&P	
2-D-8	Frequent Supervision by Management	Supervisors are trained in how to supervise unit officers in direct supervision	yes	no	no	Training records	
<b>Sub-Principle 2 E. Techniques of Effective Supervision and Management</b>							
2-E-1	Techniques of Effective Supervision and Management	A portion of the of the training that officers receive in direct supervision is devoted to leadership skills	no	no	no		2-C-1

### Measurable Elements of Direct Supervision

Ref. Number	DS Sub-Principle	Measurable Element	Admin. Quest.	Officer Quest.	Inmate Quest.	Document Review	Linkage
2-E-2	Techniques of Effective Supervision and Management	Housing unit officers are fully trained, monitored and evaluated in Interpersonal Communication (IPC) skills.	no	no	no		2-B-6
2-E-3	Techniques of Effective Supervision and Management	Staff are trained in the techniques of effective supervision	no	no	no		2C1
<b>PRINCIPLE 3: COMPETENT STAFF</b>							
<b>Sub-Principle 3 A. Recruiting Qualified Staff</b>							
3-A-1	Recruiting Qualified Staff	Eligibility qualifications require high school level literacy, as well as normal hearing and speaking capabilities	yes	no	no	Job description	
3-A-2	Recruiting Qualified Staff	Recruits must demonstrate the ability to comprehend training and to apply what they have learned	yes	no	no		
3-A-3	Recruiting Qualified Staff	There is a meaningful probationary period to insure that only demonstrably capable staff are retained	yes	no	no		
<b>Sub-Principle 3 B. Effective Training</b>							
3-B-1	Effective Training	All officers receive at least 48 hours of Direct Supervision training before being independently assigned to a direct supervision housing unit, including IPC	yes	no	no	P&P/Training records	
3-B-2	Effective Training	Annual in-service training includes an update on direct supervision and IPC	yes	no	no	P&P/Training records	2B6
3-B-3	Effective Training	Officers are tested on their knowledge of direct supervision principles, IPC and supervision and leadership	yes	no	no	P&P/Training records	
3-B-4	Effective Training	All support staff who work directly with inmates are trained in direct supervision and IPC	yes	no	no	P&P/Training records	

<b>Sub-Principle 3 C. Effective Leadership by Management</b>							
<b>Ref. Number</b>	<b>DS Sub-Principle</b>	<b>Measurable Element</b>	<b>Admin. Quest.</b>	<b>Officer Quest.</b>	<b>Inmate Quest.</b>	<b>Document Review</b>	<b>Linkage</b>
3-C-1	Effective Leadership by Management	Managers and supervisors are trained in direct supervision with specific emphasis on their role as supervisors and managers	yes	no	no	P&P/Training records	
3-C-2	Effective Leadership by Management	Administration continues to provide the tools and training necessary to implement direct supervision	no	no	no		2-B-1, 3-B-2, 3-B-3, 3-B-4, 3-C-1
<b>PRINCIPLE 4: SAFETY OF STAFF AND INMATES</b>							
<b>Sub-Principle 4 A. Mission and Public Expectations</b>							
4-A-1	Mission and Public Expectations	There is an agency mission statement that reflects the importance of staff and inmate safety	yes	no	no	Mission Statement/ Facility Checklist	
<b>Sub-Principle 4 B. Life Safety Codes</b>							
4-B-1	Life Safety Codes	The facility receives regular fire and life safety inspections and keeps them on file	yes	no	no	fire & life safety inspection reports	
4-B-2	Life Safety Codes	All violations & citations are immediately documented and corrected	yes	no	no	fire drill doc	
4-B-3a	Life Safety Codes	Fire drills are held regularly.	yes	no	no	fire drill doc	
4-B-3b	Life Safety Codes	Fire drills are debriefed to fine tune evacuation procedures and code compliance	yes	no	no		
<b>Sub-Principle 4 C. Personal Liability</b>							
4-C-1	Personal Liability	The facility is regularly evaluated for liability issues and reports are kept on file	yes	no	no	Liability eval report (risk mgmt)	
4-C-2	Personal Liability	All potential liability issues/conditions are documented and corrected	yes	no	no	Liability documentation	

### Measurable Elements of Direct Supervision

Sub-Principle 4 D. Inmates' Response to Unsafe Surroundings							
Ref. Number	DS Sub-Principle	Measurable Element	Admin. Quest.	Officer Quest.	Inmate Quest.	Document Review	Linkage
4-D-1	Inmates' Response to Unsafe Surroundings	Weapons are not found in contraband searches	yes	yes	yes	Incident reports	
4-D-2	Inmates' Response to Unsafe Surroundings	Gangs do not influence inmate behavior on the housing unit	yes	yes	yes	Incident reports	
4-D-3	Inmates' Response to Unsafe Surroundings	Inmate-on-inmate assaults do not occur frequently on the unit	yes	yes	yes	Incident reports	
4-D-4	Inmates' Response to Unsafe Surroundings	Excluding individual cells, the officer can clearly see all areas of the housing unit at all times	yes	yes	yes		
4-D-5	Inmates' Response to Unsafe Surroundings	Sexual assaults are rare on the units	yes	yes	yes	Incident reports	
4-D-6a	Inmates' Response to Unsafe Surroundings	Inmates do not have to "purchase" security from other inmates	no	yes	yes		
4-D-6b	Inmates' Response to Unsafe Surroundings	Inmates feel safe on the unit	no	no	yes		
Sub-Principle 4 E. Staff Response to Unsafe Working Conditions							
4-E-1	Staff Response to Unsafe Working Conditions	Unit staff do not avoid patrolling areas in the unit because they feel unsafe in those areas	no	no	no		1-A-4
4-E-2	Staff Response to Unsafe Working Conditions	Housing unit officers use less sick leave than other officers in the facility	yes	no	no		
4-E-3	Staff Response to Unsafe Working Conditions	Housing unit officers do not generally express the need for some kind of defensive weapon while on the unit	yes	yes	no		
4-E-4	Staff Response to Unsafe Working Conditions	Inmate-on-officer assaults occur less frequently in direct supervision housing units than they do in other areas of the facility	yes	no	no	Incident report	

Ref. Number	DS Sub-Principle	Measurable Element	Admin. Quest.	Officer Quest.	Inmate Quest.	Document Review	Linkage
4-E-5	Staff Response to Unsafe Working Conditions	Staff do not carry unauthorized protective weapons	yes	yes	no		
<b>PRINCIPLE 5: MANAGEABLE AND COST-EFFECTIVE OPERATIONS</b>							
<b>Sub-Principle 5 A. Reduced Construction and Furnishing Costs</b>							
5-A-1	Reduced Construction and Furnishing Costs	General population units do not have secure furnishings bolted to the floor in the DS dayrooms	no	no	no	Facility checklist	
5-A-2	Reduced Construction and Furnishing Costs	Commercial-grade toilet and lavatory fixtures are used	no	no	no	Facility checklist	
5-A-3	Reduced Construction and Furnishing Costs	Commercial grade furnishings and fixtures are used in the dayrooms and the cells/sleeping areas	no	no	no	Facility checklist	
<b>Sub-Principle 5 B. Wider Range of Architectural Options</b>							
5-B-1	Wider Range of Architectural Options	Housing unit acoustics are such that they do not impede communication between staff and inmates	no	no	no		2-B-3
5-B-2	Wider Range of Architectural Options	Materials were selected in anticipation of positive inmate behavior	yes	no	no		
5-B-3	Wider Range of Architectural Options	Carpet is used to reduce noise levels on the unit	yes	no	no		
<b>Sub-Principle 5 C. Reduced Vandalism</b>							
5-C-1	Reduced Vandalism	Vandalism or graffiti does not occur on the housing units	no	no	no		1-E-1
5-C-2	Reduced Vandalism	When vandalism or graffiti occurs, it is promptly repaired	yes	yes	no		
5-C-3	Reduced Vandalism	Cells are inspected before and after assignment to an inmate. Inmates are held accountable for vandalism, graffiti, etc.	no	no	no		1-E-2

### Measurable Elements of Direct Supervision

Sub-Principle 5 D. Anticipation of Fundamental Needs							
Ref. Number	DS Sub-Principle	Measurable Element	Admin. Quest.	Officer Quest.	Inmate Quest.	Document Review	Linkage
5-D-1	Anticipation of Fundamental Needs	Inmates are locked down for no more than 10 hours a day	yes	yes	no	Schedule	
5-D-2	Anticipation of Fundamental Needs	Outdoor exercise is accessible to inmates as an extension of the dayroom	Yes	no	no		
5-D-3a	Anticipation of Fundamental Needs	Inmates have access to telephones in dayrooms to contact significant others in the community.	yes	yes	yes		
5-D-3b	Anticipation of Fundamental Needs	The cost of making a phone call is not so high as to discourage phone use	no	no	yes		
5-D-4	Anticipation of Fundamental Needs	Inmates have regular visiting	yes	no	yes	P&P	
5-D-5	Anticipation of Fundamental Needs	The jail provides safe storage of inmates' private property on the unit	yes	yes	yes		
5-D-6	Anticipation of Fundamental Needs	Sufficient television viewing areas are available to keep noise down and to be responsive to different cultural needs	no	yes	no		
5-D-7	Anticipation of Fundamental Needs	Programs to avoid idleness are available on the housing unit	no	no	yes		1-F-4
5-D-8	Anticipation of Fundamental Needs	Industrial/work opportunities are available to inmates	yes	no	no		
5-D-9	Anticipation of Fundamental Needs	The housing units have individual showers	yes	no	no	Facility Checklist	
5-D-10a	Anticipation of Fundamental Needs	Quality food service is a priority on the unit	yes	yes	yes		
5-D-10b	Anticipation of Fundamental Needs	Quantity of food served is adequate	no	yes	yes		
5-D-11	Anticipation of Fundamental Needs	Inmates feel safe on the unit	no	no	no		4-D-8

<b>Sub-Principle 5 E. Sanitation and Orderliness</b>							
<b>Ref. Number</b>	<b>DS Sub-Principle</b>	<b>Measurable Element</b>	<b>Admin. Quest.</b>	<b>Officer Quest.</b>	<b>Inmate Quest.</b>	<b>Document Review</b>	<b>Linkage</b>
5-E-1	Sanitation and Orderliness	Housing units are maintained in a clean and orderly fashion	no	no	no	Facility Checklist/ Inspection Reports	
5-E-2	Sanitation and Orderliness	Formal housing inspections are conducted weekly; cells are inspected daily	yes	yes	yes		1-A-11
5-E-3	Sanitation and Orderliness	In addition to weekly sanitation inspections, unit officers inspect for a number of predetermined, agreed-upon standards that can be easily checked with a quick glance	yes	yes	no		
5-E-4	Sanitation and Orderliness	Unit officers have access to sufficient supplies and equipment to achieve desired sanitary standards	yes	yes	no		
<b>Sub-Principle 5 F. Opportunities for Reintegration</b>							
5-F-1	Opportunities for Reintegration	Inmates have the opportunity to participate in programs of self-improvement	no	no	no		1-F-7
5-F-2	Opportunities for Reintegration	A stated goal of the facility is to provide rehabilitative opportunities for inmates	yes	no	no	P&P	
5-F-3	Opportunities for Reintegration	The jail makes efforts to link inmates to community services prior to release	yes	no	no	P&P	
<b>PRINCIPLE 6: EFFECTIVE COMMUNICATION</b>							
<b>Sub-Principle 6 A. Frequent Inmate and Staff Communication</b>							
6-A-1	Frequent Inmate and Staff Communication	The administration requires unit officers to make a proactive effort to engage inmates on their unit in conversation	no	no	no		1-C-6, 2-A-6, 2-C-3, 2-C-12, 2-E-2
6-A-2	Frequent Inmate and Staff Communication	Officers move about the housing unit and engage inmates in conversation	no	no	no		1-A-5, 1-C-6
6-A-3	Frequent Inmate and Staff Communication	Officers hold group meetings with inmates on their units on a daily basis	no	no	no		2-C-3

### Measurable Elements of Direct Supervision

Ref. Number	DS Sub-Principle	Measurable Element	Admin. Quest.	Officer Quest.	Inmate Quest.	Document Review	Linkage
6-A-4	Frequent Inmate and Staff Communication	No barriers exist that would inhibit inmates from communicating with officers. This includes tape around control stations	yes	yes	no		
6-A-5	Frequent Inmate and Staff Communication	Officers do not spend most of their time at the control station	no	no	no		1-A-5
<b>Sub-Principle 6 B. Communication Among Staff Members</b>							
6-B-1	Communication Among Staff members	The administration structures officer assignments to units to function as an integrated team	no	no	no		1-A-10, 2-B-5, 2-D-7
6-B-2	Communication Among Staff members	Officers are encouraged to take breaks with other unit officers	yes	no	no		
6-B-3	Communication Among Staff members	Briefing times at shift change are structured so that staff can receive instruction from the earlier shift	yes	no	no		
6-B-4	Communication Among Staff members	A log book is maintained that documents events on the unit	yes	no	no	P&P	
6-B-5	Communication Among Staff members	There are clear policy and procedure statements that are followed by staff	no	no	no		2-C-6
<b>Sub-Principle 6 C. Communication Skills Training</b>							
6-C-1	Communication Skills Training	Unit officers receive formal interpersonal communications (IPC) skills training	no	no	no		2-B-6
6-C-2	Communication Skills Training	Supervisors receive formal interpersonal communication (IPC) skills training	no	no	no		2-C-1
6-C-3	Communication Skills Training	Supervisors regularly assess, monitor and evaluate the unit officers' interpersonal communication (IPC) skills	no	no	no		3-B-3, 3-B-4



Ref. Number	DS Sub-Principle	Measurable Element	Admin. Quest.	Officer Quest.	Inmate Quest.	Document Review	Linkage
6-C-4	Communication Skills Training	There are roll call training and in-service training modules to reinforce IPC skills	no	no	no		2-B-6
<b>PRINCIPLE 7: CLASSIFICATION AND ORIENTATION</b>							
<b>Sub-Principle 7 A. Knowing With Whom You Are Dealing</b>							
7-A-1	Knowing With Whom You are Dealing	Inmates are assessed to identify mental and emotional stability, escape history, history of assaultive behavior, medical status, age, enemies of record before being assigned to a housing unit	yes	no	no	P&P	
7-A-2	Knowing With Whom You are Dealing	Inmate identity and gang affiliation are verified before assignment to a housing unit	yes	no	no	P&P	
7-A-3	Knowing With Whom You are Dealing	Medical and mental health screening include suicide screening	yes	no	no	P&P	
<b>Sub-Principle 7 B. Orientation</b>							
7-B-1	Orientation	Inmates are thoroughly oriented to the behavioral expectations of the facility and the unit officers before being assigned to a regular housing unit	no	no	no	P&P	1-E-3, 1-E-4
7-B-2	Orientation	Rules are explained in the inmate's primary language by a non-inmate	yes	yes	yes	P&P	
7-B-3	Orientation	Inmate orientation is documented	yes	no	no		1-E-3, 1-E-4
7-B-4	Orientation	There is an inmate manual that contains all the orientation information	yes	no	no		1-E-4
<b>Sub-Principle 7 C. Assumption of Rational Behavior</b>							
7-C-1	Assumption of Rational Behavior	The facility uses an open booking system. Inmates are placed in open settings while awaiting booking/intake	yes	no	no		
7-C-2	Assumption of Rational Behavior	Commercial-grade furnishings are used in the general population housing units	no	no	no		5-A-3

## Measurable Elements of Direct Supervision

Ref. Number	DS Sub-Principle	Measurable Element	Admin. Quest.	Officer Quest.	Inmate Quest.	Document Review	Linkage
7-C-3	Assumption of Rational Behavior	Inmates are addressed by their last names preceded by the appropriate Mr. or Ms. or collectively as "gentlemen" or "ladies"	yes	yes	yes		
<b>Sub-Principle 7 D. Maximum Supervision During Early Hours of Confinement</b>							
7-D-1	Maximum Supervision During Early Hours of Confinement	Inmate booking and admission units provide for continuous observation of inmates during initial 72 hours of confinement	yes	no	no		
7-D-2	Maximum Supervision During Early Hours of Confinement	Adequate cell capacity exists to hold inmates under constant observation during the first 8 hours of confinement	yes	no	no		
7-D-3	Maximum Supervision During Early Hours of Confinement	Counselors are available to speak with inmates on intake units	yes	no	no		
7-D-4	Maximum Supervision During Early Hours of Confinement	Classification occurs within the first 72 hours	yes	no	no	P&P	
<b>PRINCIPLE 8: JUSTICE AND FAIRNESS</b>							
<b>Sub-Principle 8 A. Mission and Public Policy</b>							
8-A-1	Mission and Public Policy	There is a Mission Statement that reflects the facility will be operated justly and fairly	no	no	no	P&P/Agency Mission Statement	
<b>Sub-Principle 8 B. Consistent Root Cause of Collective Violence</b>							
8-B-1	Consistent Root Cause of Collective Violence	Inmates believe that the facility treats them justly and fairly	no	yes	yes		

Ref. Number	DS Sub-Principle	Measurable Element	Admin. Quest.	Officer Quest.	Inmate Quest.	Document Review	Linkage
8-B-2	Consistent Root Cause of Collective Violence	Inmates follow the rules	no	no	no		1-F-2
8-B-3	Consistent Root Cause of Collective Violence	All inmates are treated equally	no	no	no		1-E-5
8-B-4	Consistent Root Cause of Collective Violence	Administration reviews all disciplinary actions, grievances and classification assignments to insure that all inmates are treated fairly	yes	no	no	P&P	
8-B-5	Consistent Root Cause of Collective Violence	Hearings are prompt	no	no	no	P&P	
8-B-6	Consistent Root Cause of Collective Violence	Rules are enforced the same way on all shifts	no	no	no		1-E-5, 2-B-5, 2-D-6
<b>Sub-Principle 8 C. Critical Leadership Quality</b>							
8-C-1	Critical Leadership Quality	Inmates feel that housing unit officers treat them justly and fairly	no	no	no		8-B-1
<b>Sub-Principle 8 D. Formal Administrative Remedy (Grievance) and Disciplinary System</b>							
8-D-1	Formal Administrative Remedy (Grievance) & Disciplinary System	Administration promulgates a formal administrative remedy (grievance) procedure for inmates	yes	no	no	P&P	
8-D-2	Formal Administrative Remedy (Grievance) & Disciplinary System	Administration establishes formal disciplinary policy and procedures for inmates	yes	no	no	P&P	
8-D-3	Formal Administrative Remedy (Grievance) & Disciplinary System	Trained staff conduct hearings	yes	no	no		
8-D-4	Formal Administrative Remedy (Grievance) & Disciplinary System	There is a formal review process for grievance and disciplinary hearing findings	yes	no	no	P&P	

### Measurable Elements of Direct Supervision

8-D-5	Formal Administrative Remedy (Grievance) & Disciplinary System	Inmates are aware of their administrative options	no	yes	yes	P&P/Inmate Handbook	
Ref. Number	DS Sub-Principle	Measurable Element	Admin. Quest.	Officer Quest.	Inmate Quest.	Document Review	Linkage
8-D-6	Formal Administrative Remedy (Grievance) & Disciplinary System	There are no reprisals for instituting the administrative grievance or disciplinary appeal processes	no	yes	yes		

## **INSTRUCTION SHEET**

### **Administering the Administrator/Management/Supervisory Questionnaire**

#### **General**

The Administrator/Management/Supervisory Questionnaire is intended for all levels above the line staff including first line supervisors, managers, and administrators. It is desirable that as many individuals as possible in these positions complete the questionnaire. However, it is not necessary that every individual in these categories complete the questionnaire. The Administrator/Management/Supervisory Questionnaire is significantly longer than either the officer or the inmate questionnaire, and may take from 20 to 30 minutes to complete.

#### **Administering the Administrator/Management/Supervisory Questionnaire**

1. Determine which administrative, management, and supervisory staff will complete the questionnaires
2. Determine when and where the questionnaires will be administered.
3. Distribute the questionnaires.
4. Provide instructions for those taking the questionnaire.
5. Determine how the questionnaires will be collected.
6. Tally and score the questionnaires (see Sections 9 and 10).

The questionnaire is designed to be self-administered. Give the questionnaire to the designated supervisory and management staff. They should complete the form and return it without any discussion of the specific questions either with the person distributing the questionnaire, or with other individuals who are also completing the questionnaire. At this point, the *individual* responses are important—not consensus or assisted responses.

Once the selected individuals receive the questionnaire, they should be given the following instructions:

1. Read each question carefully.
2. Check the response you feel best answers the question based on your experience. All questions are “yes/no” questions.
3. Do not ask questions of the person distributing the questionnaire or discuss questions with other supervisors or managers who are completing the same questionnaire.
4. If you have any questions or comments on any of the questions, write them on the comment sheet provided.
5. Individual names are not required on the forms, but all respondents should indicate their rank in the appropriate space.

It may be effective to distribute the questionnaires at the beginning of a shift and have them turned in as they are completed during the shift.

The person assigned to collect the responses should put all responses in an envelope and return them to a central collection point. This person should not review the responses.

## **INSTRUCTION SHEET**

### **Administering the Officer Questionnaire**

#### **General**

The Officer Questionnaire is intended for line staff assigned as housing unit officers in direct supervision housing units. It is not practical or necessary that all staff assigned to these units complete the questionnaire. It is important that a sizeable group of housing unit officers from each shift complete the questionnaire. It is not necessary to follow random sampling techniques since no statistical calculations will be performed on the data generated from the questionnaires.

As a general rule, at least 25% of the staff assigned as housing unit officers in direct supervision units should complete the questionnaire. For smaller jails, either 25% of the staff, or a minimum of 20 staff members, should complete the questionnaire, whichever is larger. If possible, the respondents should be evenly distributed by percentage among all the direct supervision units and among the shifts assigned to those units.

The officer questionnaire takes 10–15 minutes to complete.

#### **Administering the Officer Questionnaire**

1. Determine which officers will complete the questionnaire.
2. Determine when and where the questionnaire will be administered.
3. Distribute the questionnaire.
4. Provide instructions for those taking the questionnaire.
5. Determine how the questionnaires will be collected.
6. Tally and score the questionnaires (see Sections 9 and 10).

The questionnaire is designed to be self-administered. Give the questionnaire to the designated officers. They should complete the form and return it without any discussion of the specific questions either with the person distributing the questionnaire, or with other officers who are completing the questionnaire. At this point, the *individual* responses are important—not consensus or assisted responses.

Once the selected individuals receive the questionnaire, they should be given the following instructions:

1. Read each question carefully.
2. Check the response you feel best answers the question based on your experience.
3. Do not ask questions of the person distributing the questionnaire or discuss questions with other officers who are completing the same questionnaire.
4. If you have any questions or comments on any of the questions, write them on the comment sheet provided.

5. Individual names and housing units are not required on the forms, but the shift designation should be on all responses.

It may be effective to distribute the questionnaires at the beginning of a shift and have them turned in as they are completed during the shift.

The person assigned to collect the responses should put all responses in an envelope and return them to a central collection point. This person should not review the responses.



## **INSTRUCTION SHEET**

### **Administering the Inmate Questionnaire**

#### **General**

The Inmate Questionnaire is intended for inmates housed in direct supervision housing units. It is not practical or necessary that all inmates in these units complete the questionnaire. It is important that a sizeable group from each direct supervision housing unit complete the questionnaire. It is not necessary to follow random sampling techniques since no statistical calculations will be performed on the data generated from the questionnaires.

As a general rule, at least 25% of the inmates in direct supervision should complete the questionnaire. For smaller jails, either 25% of the inmates or a minimum of 50 inmates should complete the questionnaire, whichever is larger. If possible, the respondents should be evenly distributed, by percentage, among all the direct supervision units.

The inmate questionnaire takes 10–15 minutes to complete.

#### **Administering the Inmate Questionnaire**

1. Determine which inmates will complete the questionnaire.
2. Determine when and where the questionnaires will be administered.
3. Distribute the questionnaire.
4. Provide instructions for those taking the questionnaire.
5. Determine how the questionnaires will be collected.
6. Tally and score the questionnaires (see Sections 9 and 10).

The questionnaire is designed to be self-administered. Give the questionnaire to the designated inmates. They should complete the form and return it without any discussion of the specific questions either with the person distributing the questionnaire, or with other inmates who are completing the questionnaire. At this point, the *individual* responses are important—not consensus or assisted responses.

Once the selected individuals receive the questionnaire, they should be given the following instructions:

1. Read each question carefully.
2. Check the response you feel best answers the question based on your experience.
3. Do not ask questions of the person distributing the questionnaire or discuss questions with other inmates who are completing the same questionnaire.
4. If you have any questions or comments on any of the questions, write them on the comment sheet provided.
5. Inmate names are not required on the forms, but housing unit should be on all responses.

It may be effective to bring selected inmates out to the dayroom to complete the questionnaire while other inmates are on a routine lockdown, or you may wish to give the questionnaires to selected inmates prior to lockdown and collect them when lockdown is over.

Inmates should be instructed to give the questionnaire to the designated person as soon as they are completed.

The person assigned to collect the responses should put all responses in an envelope and return them to a central collection point. This person should not review the responses.

## **INSTRUCTION SHEET**

### **Completing the Document Review Questionnaire**

Before you begin the document review questionnaire, have the documents indicated below available for review. If not all the indicated documentation is available, complete the Document Review Questionnaire with the documents you do have available. If the agency anticipates an ongoing periodic audit process, this list serves as a clear indicator of the kinds and types of documentation that are required for thorough audits.

As you complete the Document Review Questionnaire, identify the source document that you used to answer each question, or note that the documentation does not exist or is not readily available.

The document reviewer should have the following items available for review:

1. Agency mission statement
2. Fire and life safety inspection reports
3. Fire-drill documentation
4. Incident reports or incident report log
5. Inmate rulebook
6. Liability (risk management) evaluation reports
7. Officer evaluation form
8. Officer job description
9. Policy and procedure manual
10. Staffing schedules
11. Training records
12. Weekly housing unit inspection report form

### **Completing the Facility Checklist**

Complete the Facility Checklist by selecting “yes” or “no” for each question.

## Administrator/Management/Supervisory Questionnaire

The National Institute of Corrections has developed a self-audit instrument for direct supervision jails. This questionnaire is designed to gather the administrators', managers' and supervisory staff's observations about how direct supervision units are functioning. To complete the questionnaire:

- Fill in today's date in the space provided.
- Indicate your rank and the length of time you have held that rank in the space provided.
- Answer the questions to the best of your knowledge.
- Use the comment sheet provided if you have additional input.
- Return the completed questionnaire and comment sheet to the designated collection person.

Date \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

Rank \_\_\_\_\_ Length of time in rank \_\_\_\_\_ years \_\_\_\_\_ months

Position \_\_\_\_\_ Length of time in position \_\_\_\_\_ years \_\_\_\_\_ months

### 1. EFFECTIVE CONTROL

#### 1-A. Total Control

(1-A-1) Are officers scheduled to be present at all times on housing units when inmates are out of their cells?

yes    no  
   

(1-A-3) Do you believe that the housing unit officers are in full control of the inmates?

yes    no  
   

(1-A-4) Are housing unit officers reluctant to patrol any areas of their unit?

yes    no  
   

(1-A-5a) Do officers frequently patrol all areas of their unit?

yes    no

(1-A-5b) Are officers ever assigned tasks that require them to leave the unit unsupervised?

yes      no  
     

---

(1-A-6) Is there sufficient segregation housing for inmates who do not comply with officer instructions?

yes      no  
     

---

(1-A-7) Do housing unit officers have the ability and authority to remove inmates who are disrespectful or non-compliant with the orders of the housing officer?

yes      no  
     

---

(1-A-8) Are officers scheduled 24/7 in all dormitories and units with multiple occupancy cells?

yes      no  
     

---

(1-A-9) Are a minimum number of officers assigned to each housing unit i.e. no more than four officers in a 24 hour period?

yes      no  
     

---

(1-A-10) Is only one officer assigned to a general population housing unit at one time?

yes      no  
     

---

(1-A-11) Do officers conduct regular cell checks at least once each shift?

yes      no  
     

---

**1-B. Sound Perimeter Security**

(1-B-1a) Are the secure boundaries of the housing units clearly defined?

yes      no  
     

---

(1-B-1b) Are the recreation areas and program spaces included within the secure boundaries of the housing unit?  
yes no

---

(1-B-1c) Do you conduct periodic security audits of the units?  
yes no

---

(1-B-2) Do the housing unit officers on each shift conduct regular security inspections of the interior perimeter of the unit to check for attempts to breach the security perimeter?  
yes no

---

(1-B-3) Do housing unit officers have the ability to directly open any doors that would facilitate an inmate's escape from the facility?  
yes no

---

(1-B-4a) Is the outer perimeter of the jail checked at least once each shift?  
yes no

---

(1-B-4b) Is the outer perimeter of the jail thoroughly inspected regularly?  
yes no

---

### **1-C. Population Divided into Manageable Groups**

(1-C-1) Are any inmate activities conducted in areas outside the housing unit where the number of inmates involved is so large as to compromise the officer's ability to control inmate behavior?  
yes no

---

(1-C-2) Do unit sizes exceed 72 inmates?  
yes no

---

(1-C-3) Do housing units operate above their design capacity?  
yes no

---

- (1-C-9) Is the maximum number of inmates in a housing unit and the ratio of officers to inmates determined by the classification of inmates?  
yes no
- 

**1-E. Accountability for Behavior**

- (1-E-1) Are individual cells maintained free of vandalism and graffiti?  
yes no
- 

- (1-E-2a) Are inmates required to complete a cell inspection report when they are assigned to a cell?  
yes no
- 

- (1-E-2b) Are inmates held accountable for any damage or graffiti that occurs during their occupancy?  
yes no
- 

- (1-E-3) Are the housing unit officers required to instruct all new inmates on the rules of the unit upon arrival?  
yes no
- 

- (1-E-5) Do housing unit officers know the rules and are they consistent in their enforcement?  
yes no
- 

**1-F. Maximizing Inmates' Self-Control**

- (1-F-3) Are all cells single cells?  
yes no
- 

- (1-F-4) Are programs available to all inmates housed in direct supervision, general population housing units?  
yes no
-

- (1-F-5) Is indoor or outdoor recreation available for every inmate every day?  
yes no
- 

## 2. EFFECTIVE SUPERVISION

### 2-A. Staff to Inmate Ratio

- (2-A-2) Are housing unit officers expected to know the names of almost all of the inmates on their units?  
yes no
- 

- (2-A-3) Can all of the inmates on the unit be adequately supervised in the dayroom at the same time?  
yes no
- 

### 2-B. Officer in Control of Unit

- (2-B-2) Does the housing unit officer have the authority to administer informal discipline such as counseling and reprimand, extra clean-up duty, and suspension of dayroom privileges for a period not to exceed 24 hours?  
yes no
- 

- (2-B-3) Do the acoustics on the unit permit the officers' verbal commands to be heard without his/her need to shout?  
yes no
- 

- (2-B-4) Do administrators and/or supervisors undermine the officer's control of his/her unit?  
yes no
- 

- (2-B-5) Are the same housing unit officers consistently assigned to the same housing units for a period no less than 90 days?  
yes no
-



- (2-B-6) Do officers receive formal training in Interpersonal Communications in the Correctional Setting (IPC)?  
yes no
- 

**2-C. Unit Officer's Leadership Role**

- (2-C-1) Are officers trained in special leadership skills for managing inmates on a housing unit?  
yes no
- 

- (2-C-3) Do officers hold daily group meetings with inmates on the unit to convey behavioral expectations and to reinforce positive behavior?  
yes no
- 

- (2-C-5) Are all officers trained and conversant with policies, procedures and post (unit) orders?  
yes no
- 

- (2-C-8) Do the housing unit officers have flexibility within the framework of operational guidelines to make creative decisions in managing the unit?  
yes no
- 

**2-D. Frequent Supervision by Management**

- (2-D-1) Does the jail administrator visit all housing units once each week?  
yes no
- 

- (2-D-2) Do the first-line supervisors visit all housing units at least once each shift?  
yes no
- 

- (2-D-3) Do managers and supervisors evaluate officers using consistent performance expectations, enabling administrative staff to express genuine support for the unit officers?  
yes no
-

(2-D-5) Has management implemented a formal procedure for resolving inconsistencies between shifts?  
yes      no  
     

---

(2-D-6) Do mid-managers supervise the same personnel on a consistent basis?  
yes      no  
     

---

(2-D-7) Do supervisors formally evaluate the performance of the housing unit officers?  
yes      no  
     

---

(2-D-8) Have supervisors been trained in how to supervise housing unit officers in direct supervision?  
yes      no  
     

---

### 3. COMPETENT STAFF

#### 3-A. Recruiting Qualified Staff

(3-A-1) Do eligibility qualifications for new staff require high school level literacy, as well as normal hearing and speaking capabilities?  
yes      no  
     

---

(3-A-2) Are recruits required to demonstrate that they comprehend their training and have the ability to apply what they have learned?  
yes      no  
     

---

(3-A-3) Does your agency have a meaningful probationary period to insure that you retain only demonstrably competent staff?  
yes      no  
     

---

### 3-B. Effective Training

(3-B-1) Do all officers receive at least 48 hours of direct supervision training, which includes IPC (16 hrs.), before being independently assigned to a direct-supervision housing unit?

yes no

---

(3-B-2) Does annual in-service training include refresher training on direct supervision management?

yes no

---

(3-B-3) Are officers tested on their knowledge of direct supervision, IPC skills, supervision and leadership?

yes no

---

(3-B-4) Are all support staff (non-sworn) who interact with inmates trained in Direct Supervision principles and Interpersonal Communications?

yes no

---

### 3-C. Effective Leadership by Management

(3-C-1) Have all managers and supervisors received at least 48 hours of instruction in direct supervision with specific emphasis on their role as supervisors and managers?

yes no

---

## 4. SAFETY OF STAFF AND INMATES

### 4-A. Mission and Public Expectations

(4-A-1) Does the agency Mission Statement reflect the importance of staff and inmate safety?

yes no

---

**4-B. Life Safety Codes**

(4-B-1) Does the facility receive regular fire and life safety inspections and are they kept on file?  
yes no

---

(4-B-2) Are all violations immediately documented and corrected?  
yes no

---

(4-B-3a) Are fire drills held regularly?  
yes no

---

(4-B-3b) Are fire drills debriefed to fine-tune evacuation procedures and code compliance?  
yes no

---

**4-C. Personal Liability**

(4-C-1) Is the facility regularly evaluated against liability issues?  
yes no

---

(4-C-2) Are all potential liability issues/conditions documented and corrected?  
yes no

---

**4-D. Inmates' Response to Unsafe Surroundings**

(4-D-1) Are weapons found in contraband searches?  
never rarely sometimes often always

---

(4-D-2) Do gangs influence inmate behavior on the housing unit?  
yes no

---

(4-D-3) Do inmate on inmate assaults occur on housing units?  
never rarely sometimes often always

---

(4-D-4) Excluding individual cells, are all areas in the housing unit in clear view of the officer so that inmates cannot use them to violate the rules?

yes no

---

(4-D-5) Are the units relatively free of sexual assaults?

yes no

---

#### **4-E. Staff Response to Unsafe Working Conditions**

(4-E-2) Do housing officers use more sick leave than other officers in the facility?

yes no

---

(4-E-3) Do unit officers express a need for some kind of weapon while on the unit?

yes no

---

(4-E-4) Do inmate-on-officer assaults occur less frequently in direct supervision housing units than they do in other areas of the facility?

yes no

---

(4-E-5) Do staff carry unauthorized weapons?

yes no

---

### **5. MANAGEABLE AND COST-EFFECTIVE OPERATIONS**

#### **5-B. Wider Range of Architectural Options**

(5-B-2) Were furnishings, fixtures and materials selected primarily in anticipation of positive inmate behavior?

yes no

---

(5-B-3) Do you have carpet in general population housing units?

yes no

---

**5-C. Reduced Vandalism**

- (5-C-2) When vandalism or graffiti does occur, is it promptly repaired or removed?  
yes no
- 

**5-D. Anticipation of Fundamental Needs**

- (5-D-1) Are inmates locked down for more than 10 hours a day?  
yes no
- 

- (5-D-2) Is outdoor exercise accessible to inmates as an extension of the dayroom?  
yes no
- 

- (5-D-3a) Do inmates have access to telephones in the dayroom to contact significant others in the community?  
yes no
- 

- (5-D-4) Do inmates have regular visitation available to them?  
yes no
- 

- (5-D-5) Is appropriate safe storage of inmates' personal property provided on the unit?  
yes no
- 

- (5-D-8) Are industrial/work opportunities available to the inmates in general population?  
yes no
- 

- (5-D-9) Does the unit have single shower stalls that are clearly observable by staff?  
yes no
-

- (5-D-10a) Is quality food service a priority in the institution and on the housing units?  
yes no
- 

### 5-E. Sanitation and Orderliness

- (5-E-2) Are formal housing inspections conducted weekly, and cell inspections conducted daily?  
yes no
- 

- (5-E-3) In addition to weekly sanitation inspections, have you established a fixed number of pre-defined and agreed-upon factors that can be easily checked by officers in a quick glance?  
yes no
- 

- (5-E-4) Do unit officers have access to sufficient supplies and equipment to achieve desired sanitary standards?  
yes no
- 

### 5-F. Opportunities for Reintegration

- (5-F-2) Is one of the stated goals of the facility to provide rehabilitative opportunities to inmates?  
yes no
- 

- (5-F-3) Does the jail make efforts to link inmates to community services prior to release?  
yes no
- 

## 6. EFFECTIVE COMMUNICATION

### 6-A. Frequent Inmate and Staff Communication

- (6-A-4) Have all barriers been eliminated, including tape around control stations, that would discourage inmates from communicating with housing unit officers?  
yes no
-

**6-B. Communication Among Staff Members**

(6-B-2) Are officers encouraged to take breaks with other unit officers?  
yes no

---

(6-B-3) Are briefing times at shift change structured so that staff can receive information from the earlier shift?  
yes no

---

(6-B-4) Is there a logbook that documents significant events on the unit?  
yes no

---

**7. CLASSIFICATION AND ORIENTATION**

**7-A. Knowing With Whom You Are Dealing**

(7-A-1) Are inmates assessed so as to identify mental and emotional stability, escape history, history of assaultive behavior, medical status, age and enemies of record, before being assigned to a housing unit?  
yes no

---

(7-A-2) Is the inmate's identity and gang affiliation verified before assignment is made to a housing unit?  
yes no

---

(7-A-3) Are medical and mental health screenings, including suicide screening, provided at intake?  
yes no

---

**7-B. Orientation**

(7-B-2) Are the facility and housing unit rules explained in the inmate's primary language?  
yes no

---



(7-B-3) Is inmate orientation documented?  
yes no

---

(7-B-4) Do inmates receive a manual that contains all the orientation information?  
yes no

---

**7-C. Assumption of Rational Behavior**

(7-C-1) Are inmates placed in an open setting while awaiting booking/intake?  
yes no

---

(7-C-3) Are inmates addressed by their last names preceded by the appropriate Mr. or Ms. or collectively as “gentlemen” or “ladies”?  
yes no

---

**7-D. Maximum Supervision During Initial Hours of Confinement**

(7-D-1) Do the inmate booking and admission units provide for continuous observation of inmates during the initial 72 hours of confinement?  
yes no

---

(7-D-2) Does adequate cell capacity exist to hold inmates under constant observation during the first 8 hours of confinement?  
yes no

---

(7-D-3) Are counselors available to talk to inmates on intake units?  
yes no

---

(7-D-4) Do inmates receive an initial classification within the first 72 hours?  
yes no

---

**8. JUSTICE AND FAIRNESS**

**8-B. Consistent Root Cause of Collective Violence**

- (8-B-4) Are administrative reviews conducted on all disciplinary actions, grievances and classification assignments to insure that all inmates are being treated equally?
- yes      no
- 

**8-D. Formal Administrative Remedy (Grievance) and Disciplinary System**

- (8-D-1) Does the facility have a formal administrative remedy policy for inmates (grievance procedure)?
- yes      no
- 

- (8-D-2) Does the facility have formal disciplinary policy and procedures for inmates?
- yes      no
- 

- (8-D-3) Do qualified staff conduct hearings?
- yes      no
- 

- (8-D-4) Is there a formal review process for grievance and disciplinary hearing findings?
- yes      no
-

**Comment Sheet**

Question Number	Comment

## Officer Questionnaire

The National Institute of Corrections has developed a self-audit instrument for direct supervision jails. This questionnaire is designed to gather the housing unit officers' observations about how direct supervision units are functioning. To complete the questionnaire:

- Fill in today's date in the space provided.
- Fill in your shift in the space provided.
- In the space provided, indicate the length of time you have been assigned to a direct supervision housing unit in this jail.
- Answer the questions to the best of your knowledge.
- Use the comment sheet provided if you have additional input.
- Return the completed questionnaire and comment sheet to the designated collection person.

Date \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

Shift \_\_\_\_\_

Length of time in a direct supervision housing unit \_\_\_\_\_ years \_\_\_\_\_ months

### 1. EFFECTIVE CONTROL

#### 1-A. Total Control

(1-A-1) Is an officer present when the inmates on your unit are out of their cells?  
never rarely sometimes often always

(1-A-2) Are inmates on your unit ever assigned to supervise other inmates?  
yes no

(1-A-3) Do you believe that you are in control of the inmates on your unit?  
never rarely sometimes often always

(1-A-4) Are there areas on your unit that you are reluctant to patrol?  
yes no

(1-A-5a) Do you spend most of your time circulating about the unit when inmates are out of their cells?

yes no

---

(1-A-5b) Are you ever assigned tasks that require you to leave your unit unsupervised?

yes no

---

(1-A-6) Is disciplinary housing available whenever it is needed?

yes no

---

(1-A-7) Do you have the ability and authority to remove inmates who are disrespectful or non-compliant with your orders?

never rarely sometimes often always

---

(1-A-11) Do you inspect cells for compliance with established requirement at least once each shift?

never rarely sometimes often always

---

### 1-B. Sound Perimeter Security

(1-B-1a) Are the security boundaries (perimeter) of the housing unit clearly defined?

yes no

---

(1-B-2) Do you conduct interior perimeter security inspections (windows, doors, vents, etc.) on your unit at least once each shift?

yes no

---

(1-B-3) While assigned to a housing unit, do you carry the keys to any doors that provide access to outside the security perimeter?

yes no

---

**1-C. Population Divided into Manageable Groups**

(1-C-4) Is the number of inmates assigned to your housing unit a manageable size for one officer to supervise?  
yes no

---

(1-C-6) Do you interact with most of the inmates on your unit during your shift?  
never rarely sometimes often always

---

(1-C-7) Do you know the cell assignment of almost all inmates on your unit without checking your records?  
yes no

---

(1-C-8) Do you feel that you are sufficiently aware of individual inmate's moods and behaviors that you can be proactive in resolving problems?  
yes no

---

**1-E. Accountability for Behavior**

(1-E-1) Are the cells on your unit maintained free of vandalism and graffiti?  
never rarely sometimes often always

---

(1-E-2a) Is a cell inspection report completed when an inmate is assigned to a cell on your unit?  
yes no

---

(1-E-2b) Are inmates held accountable for any damage or graffiti that occurs in their cell during their occupancy?  
yes no

---

(1-E-3) Are all new inmates instructed on the rules of the unit upon arrival?  
yes no

---

(1-E-5) Does inconsistent enforcement of inmate rules by other unit officers create problems for you in supervising the unit?  
never rarely sometimes often always

---

**1-F. Maximizing Inmates' Self-Control**

(1-F-1) Do inmates on your unit generally conform to the established and desired behavioral norms of the unit?  
never rarely sometimes often always

---

(1-F-2) Are inmates on your unit held accountable for negative behavior?  
never rarely sometimes often always

---

(1-F-4) Are inmate programs, such as educational classes and religious activities, available to all inmates on your unit?  
yes no

---

(1-F-5) Is outdoor or indoor recreation available everyday for every inmate in your unit?  
yes no

---

**2. EFFECTIVE SUPERVISION**

**2-A. Staff to Inmate Ratio**

(2-A-2) Do you know the names of almost all of the inmates on your unit?  
yes no

---

(2-A-3) Can all of the inmates assigned to your unit be adequately supervised in the dayroom at the same time?  
yes no

---

**2-B. Officer in Control of Unit**

(2-B-2) Do you have the authority to administer informal discipline such as counseling, reprimand, extra clean-up duty, and suspension of dayroom privileges for a limited period of time?

yes no

---

(2-B-3) Does the noise level on your unit interfere with your ability to communicate verbally with the inmates effectively?

never rarely sometimes often always

---

(2-B-4) Do supervisors and/or administrators undermine your authority when they visit your unit?

never rarely sometimes often always

---

**2-C. Unit Officer's Leadership Role**

(2-C-2) Are informal inmate leaders ever permitted to compete with your leadership role on the unit?

yes no

---

(2-C-3) Do you hold a group meeting with the inmates on your unit each day to convey expectations and to reinforce positive behavior?

yes no

---

(2-C-5) Have you been trained in policies and procedures relevant to your duties as unit officer?

yes no

---

(2-C-8) Do you have flexibility within the framework of operational guidelines to make decisions and be creative in managing the unit?

yes no

---

(2-C-10) Are inmates comfortable talking to you?

never rarely sometimes often always

---



---

**2-D. Frequent Supervision by Management**

(2-D-2) Does a first-line supervisor visit all housing units at least once each shift?  
yes no

---

(2-D-5) Is there a structured procedure for resolving inconsistencies between shifts?  
yes no

---

(2-D-6) Are the same housing unit officers assigned to each unit for at least 90 days?  
yes no

---

**4. SAFETY OF STAFF AND INMATES**

**4-D. Inmates' Response to Unsafe Surroundings**

(4-D-1) Are weapons found when you make contraband searches on your unit?  
never rarely sometimes often always

---

(4-D-2) Does the presence of gangs on the housing unit create supervision problems for you?  
never rarely sometimes often always

---

(4-D-3) Do inmate-on-inmate assaults occur on your housing unit?  
never rarely sometimes often always

---

(4-D-4) Except for individual cells, are there any areas on your unit that you do not have a clear view of, where inmates violate the rules?  
yes no

---

(4-D-5) To the best of your knowledge, have any inmates on your unit been sexually assaulted during the past twelve months?  
yes no

---

(4-D-6a) Do you believe that some inmates on your unit pay other inmates for protection?  
yes no

---

#### 4-E. Staff Response to Unsafe Working Conditions

(4-E-3) Do you feel a need to carry a weapon when working on your housing unit?  
yes no

---

(4-E-5) Are you aware of any staff who carry unauthorized weapons when assigned to a housing unit?  
yes no

---

### 5. MANAGEABLE AND COST-EFFECTIVE OPERATIONS

#### 5-C. Reduced Vandalism

(5-C-2) When vandalism or graffiti occurs on your unit, is it promptly repaired?  
yes no

---

#### 5-D. Anticipation of Fundamental Needs

(5-D-1) How many hours during the normal weekday are inmates on your unit allowed access to the dayroom?  
0-5 6-7 8-10 11-13 14 or more

---

(5-D-3a) Do inmates on your unit have access to telephones in the dayroom to contact significant others in the community?  
yes no

---

(5-D-5) Is appropriate safe storage of inmate's personal property provided on the unit?  
yes no

---

(5-D-6) Are there sufficient television viewing areas available to keep noise down and be responsive to different cultural needs?  
yes no

---

(5-D-10a) Does the quality of the food service create problems in managing your unit?  
yes no

---

(5-D-10b) Does the quantity of the food served create problems in managing your unit?  
yes no

---

**5-E. Sanitation and Orderliness**

(5-E-2) Are formal housing inspections conducted weekly?  
yes no

---

(5-E-3) When patrolling your unit, do you continually check cells for approximately five pre-defined and agreed upon factors that can be easily checked in a quick glance?  
yes no

---

(5-E-4) Do you have access to sufficient supplies and equipment to achieve desired sanitary standards on your unit?  
yes no

---

## 6. EFFECTIVE COMMUNICATION

### 6-A. Frequent Inmate and Staff Communication

- (6-A-4) Do any barriers exist on your unit that discourage inmates from communicating with you?
- yes      no
- 

## 7. CLASSIFICATION AND ORIENTATION

### 7-B. Orientation

- (7-B-2) Are the facility and housing unit rules explained in the inmate's primary language?
- yes      no
- 

### 7-C. Assumption of Rational Behavior

- (7-C-3) Do you address inmates by their last names preceded by the appropriate Mr. or Ms. or collectively as "gentlemen" or "ladies"?
- never   rarely   sometimes   often   always
- 

## 8. JUSTICE AND FAIRNESS

### 8-B. Consistent Root Cause of Collective Violence

- (8-B-1) Do most of the inmates on your unit believe that the facility treats them fairly and justly?
- yes      no
- 

### 8-D. Formal Administrative Remedy (Grievance) and Disciplinary System

- (8-D-5) Are most of the inmates on your unit aware of the administrative remedy options?
- yes      no
- 

- (8-D-6) Do inmates on your unit ever receive reprisals for submitting an administrative grievance?
- yes      no
-

**Comment Sheet**

Question Number	Comment

## Inmate Questionnaire

The National Institute of Corrections has developed a self-audit instrument for direct supervision jails. This questionnaire is designed to gather the inmates' observations about how direct supervision units are functioning. To complete the questionnaire:

- Fill in today's date in the space provided.
- In the space provided, indicate the length of time you have been assigned to a direct supervision housing unit in this jail.
- Answer the questions to the best of your knowledge.
- Use the comment sheet provided if you have additional input.
- Return the completed questionnaire and comment sheet to the designated collection person.

Date \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

I have been assigned to a direct supervision unit in this jail for:

- Less than 3 days     3–10 days     11–20 days     More than 20 days

---

(1-A-1)            Is an officer present in the dayroom when any inmates are out of their cells?  
yes      no  
     

---

(1-A-2)            Do inmates ever tell other inmates on the housing unit what to do?  
yes      no  
     

---

(1-A-5a)            While you are in the dayroom, do unit officers move about the unit interacting with inmates?  
never    rarely    sometimes    often    always  
               

---

(1-A-7)            Can and do officers promptly remove inmates from the unit if they are non-compliant or disrespectful to the housing officer?  
never    rarely    sometimes    often    always  
               

---

(1-A-11) Do officers regularly conduct cell inspections?  
never rarely sometimes often always

---

(1-C-5) Do the officers, not the inmates, manage the unit?  
yes no

---

(1-C-6) Do the officers interact with most of the inmates during each shift?  
never rarely sometimes often always

---

(1-E-3) Were you instructed on the rules of the unit during your first day on this unit?  
yes no

---

(1-E-5) Are the unit rules consistently enforced on this unit?  
never rarely sometimes often always

---

(1-F-1) Do most inmates on this unit comply with the unit rules without being ordered by the officer to do so?  
never rarely sometimes often always

---

(1-F-2) Are inmates held accountable for negative behavior?  
never rarely sometimes often always

---

(2-A-2) Do most of the unit officers know you by your name?  
yes no

---

(2-B-3) Most of the time are the noise levels on the unit quiet enough so that you can easily hear the unit officer's instructions without the officer having to shout?  
yes no

---

Self-Audit Instrument for Administrators of Direct Supervision Jails

---

(2-C-2) Are inmates prohibited from competing with the officer's leadership role?  
yes no

---

(2-C-10) Are you comfortable talking with the unit officers?  
never rarely sometimes often always

---

(4-D-1) Do you feel you need a defensive weapon for your personal safety?  
yes no

---

(4-D-2) Do gangs influence how inmates behave in the housing unit?  
yes no

---

(4-D-3) Do inmates assault other inmates on your unit?  
never rarely sometimes often always

---

(4-D-4) Is there a place on the unit, not including a cell, where an inmate can hide in order to violate unit rules?  
yes no

---

(4-D-5) Do you know of sexual assaults on inmates occurring on this unit?  
yes no

---

(4-D-6a) Do you know of any inmates on this unit that pay other inmates for protection?  
yes no

---

(4-D-6b) Do inmates feel safe in the housing unit?  
yes no

---



(5-D-3a) Do you have access to a telephone on the unit to contact friends and relatives?  
yes no

---

(5-D-3b) Is the cost of a telephone call reasonable enough that you are able to use the phones on this unit?  
yes no

---

(5-D-4) Do you have an opportunity to visit regularly with your family and friends?  
yes no

---

(5-D-5) Are appropriate bins provided for safe storage of each inmate's personal property?  
yes no

---

(5-D-7) Do you have an opportunity to participate in programs of self-improvement on this unit?  
yes no

---

(5-D-10a) Is the quality of the food satisfactory for most inmates?  
yes no

---

(5-D-10b) Is the quantity of the food satisfactory for most inmates?  
yes no

---

(5-E-2) Are you required to keep your sleeping area or cell neat and clean?  
yes no

---

(7-B-2) As far as you know, are the rules explained in the inmate's primary language?  
yes no

---

Self-Audit Instrument for Administrators of Direct Supervision Jails

---

(7-C-3) Do housing officers address inmates by their last names preceded by the appropriate Mr. or Ms. or collectively as “gentlemen” or “ladies”?

never rarely sometimes often always

---

(8-B-1) Do you believe you are being treated fairly and justly on this unit?

never rarely sometimes often always

---

(8-D-5) Are you aware of your grievance options and how to appeal a disciplinary action?

yes no

---

(8-D-6) Do you know inmates on this unit that have been punished for filing a grievance?

yes no

---

**Comment Sheet**

Question Number	Comment

## Document Review Questionnaire

The document reviewer should have the following items available for review:

- 
- |   |  |
|---|--|
| 1. Agency mission statement                       | 7. Officer evaluation form                     |
| 2. Fire and life safety inspection reports        | 8. Officer job description                     |
| 3. Fire-drill documentation                       | 9. Policy and procedure manual                 |
| 4. Incident reports or incident report log        | 10. Staffing schedules                         |
| 5. Inmate rulebook                                | 11. Training records                           |
| 6. Liability (risk management) evaluation reports | 12. Weekly housing unit inspection report form |
- 

Date \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

---

(1-A-1) Staffing schedules indicate that an officer is scheduled on housing units at all times when inmates are out of cells.  
yes      no  
            source document number \_\_\_\_\_

---

(1-A-1) Policy and procedure states that an officer is present on housing units at all times when inmates are out of cells.  
yes      no  
            source document number \_\_\_\_\_

---

(1-A-2) Policy and procedure states that inmates are never placed in a position of control or influence over the behavior of other inmates.  
yes      no  
            source document number \_\_\_\_\_

---

(1-A-7) The inmate rulebook states that inmates who are not compliant with the orders of the housing officer or are disrespectful of the officer can be removed from the unit.  
yes      no  
            source document number \_\_\_\_\_

---

(1-A-7) Policy and procedure states that inmates that are not compliant with the orders of the housing officer or are disrespectful of the officer are promptly removed from the unit.

yes no  
  source document number \_\_\_\_\_

---

(1-A-8) Policy and procedure states that officers are scheduled 24/7 in dormitory units and multiple occupancy cell units.

yes no  
  source document number \_\_\_\_\_

---

(1-A-8) Staffing schedules indicate that an officer is scheduled 24/7 in dormitory units and multiple occupancy cell units.

yes no  
  source document number \_\_\_\_\_

---

(1-A-9) Staffing schedules indicate that a minimum number of officers are scheduled to work in the unit(no more than four different officers are assigned to work in one unit in any 24 hour period).

yes no  
  source document number \_\_\_\_\_

---

(1-A-9) Policy and procedure states that a minimum number of officers work in the unit.

yes no  
  source document number \_\_\_\_\_

---

(1-A-10) Staffing schedules indicate that only one officer is scheduled to manage the unit at one time.

yes no  
  source document number \_\_\_\_\_

---

(1-A-10) Policy and procedure states that only one officer manages the unit at one time.

yes no  
  source document number \_\_\_\_\_

---

(1-A-11) Policy and procedure states that officers conduct regular cell checks.

yes no  
  source document number \_\_\_\_\_

---

(1-B-1a) Incident reports concerning escape indicate that the circumstances of the escape do not relate to a failure of the perimeter of the housing unit.

yes no  
  source document number \_\_\_\_\_

---

(1-B-1b) Incident reports concerning contraband indicate that the circumstances of the incident do not relate to a failure of the perimeter of the housing unit.

yes no  
  source document number \_\_\_\_\_

---

(1-B-2) Policy and procedure states that housing unit officers conduct security inspections at least once each shift of the perimeter of the unit to assure that security design features are in place are functional.

yes no  
  source document number \_\_\_\_\_

---

(1-B-3) Policy and procedure states that housing unit officers do not have the ability to directly open doors that would facilitate an inmate's escape from the facility.

yes no  
  source document number \_\_\_\_\_

---

(1-B-4a) Policy and procedure states that the exterior perimeter of the jail is checked at least once each shift.

yes no  
  source document number \_\_\_\_\_

---

(1-B-4b) Policy and procedure states that the exterior perimeter of the jail is thoroughly inspected regularly.

yes no  
  source document number \_\_\_\_\_

---

(1-C-1) Policy and procedure states that no inmate activities outside housing units are conducted in areas where the number of inmates involved in such activities compromise the officer's ability to control inmates.  
yes no  
  source document number \_\_\_\_\_

---

(1-C-3) Policy and procedure states that housing units do not operate above designed capacity.  
yes no  
  source document number \_\_\_\_\_

---

(1-C-9) Policy and procedure states that the ratio of officers to inmates is based on inmate classification.  
yes no  
  source document number \_\_\_\_\_

---

(1-E-2a) Inmate rulebook states that a cell inspection report is completed when an inmate is assigned to a cell.  
yes no  
  source document number \_\_\_\_\_

---

(1-E-2a) Policy and procedure states that cell inspection reports are completed when an inmate is assigned to a cell.  
yes no  
  source document number \_\_\_\_\_

---

(1-E-2b) Inmate rulebook states that inmates are held accountable for any damage or graffiti that occurs during their occupancy.  
yes no  
  source document number \_\_\_\_\_

---

(1-E-2b) Policy and procedure states that inmates are held accountable for any damage or graffiti that occurs during their occupancy.  
yes no  
  source document number \_\_\_\_\_

---

(1-E-3) Policy and procedure states that the housing unit officer instructs all new inmates on the rules of the unit upon arrival.  
yes no  
  source document number \_\_\_\_\_

---

(1-F-2) The inmate rulebook informs inmates that they are held accountable for negative behavior.  
yes no  
  source document number \_\_\_\_\_

---

(2-B-2) The inmate rulebook informs inmates that the officer has the authority to administer informal discipline such as counseling and reprimand, extra clean-up duty, and suspension of dayroom privileges for a period not to exceed 24 hours.  
yes no  
  source document number \_\_\_\_\_

---

(2-B-2) Policy and procedure states that the officer has the authority to administer informal discipline such as counseling and reprimand, extra clean-up duty, and suspension of dayroom privileges for a period not to exceed 24 hours.  
yes no  
  source document number \_\_\_\_\_

---

(2-B-6) Training records indicate that all officers who work in housing units are trained in interpersonal communications.  
yes no  
  source document number \_\_\_\_\_

---

(2-C-1) Training records indicate that all officers are trained in the leadership skills necessary to lead inmates on a housing unit.  
yes no  
  source document number \_\_\_\_\_

---

(2-C-5) Training records indicate that all officers are trained in policy and procedure.  
yes no  
  source document number \_\_\_\_\_

---

(2-D-2) Policy and procedure states that first line supervisors visit all housing units at least once each shift.  
yes no  
  source document number \_\_\_\_\_

---



(2-D-7) Evaluation records indicate that supervisors formally evaluate the performance of the housing unit officers.  
yes no  
  source document number \_\_\_\_\_

---

(2-D-7) Policy and procedure states that supervisors evaluate the performance of the housing unit officers.  
yes no  
  source document number \_\_\_\_\_

---

(2-D-8) Training records indicate that supervisors have been trained in how to supervise housing unit officers in direct supervision.  
yes no  
  source document number \_\_\_\_\_

---

(3-A-1) Job description indicates that officer eligibility qualifications require high school diploma.  
yes no  
  source document number \_\_\_\_\_

---

(3-B-1) Training records indicate that all officers receive at least 48 hours of direct supervision training before being independently assigned to direct supervision(32, including introduction, leadership, and running the housing unit, plus 16 interpersonal communications).  
yes no  
  source document number \_\_\_\_\_

---

(3-B-1) Policy and procedure states that all officers receive at least 48 hours of direct supervision training before being independently assigned to a direct supervision housing unit, which includes interpersonal communications.  
yes no  
  source document number \_\_\_\_\_

---

(3-B-2) Policy and procedure states that there is annual in-service training on direct supervision.  
yes no  
  source document number \_\_\_\_\_

---

Self-Audit Instrument for Administrators of Direct Supervision Jails

---

(3-B-2) Training records indicate that annual in-service training includes a direct supervision refresher.  
yes no  
  source document number \_\_\_\_\_

---

(3-B-3) Training records indicate that officers are tested on their knowledge of direct supervision, interpersonal communications, and leadership.  
yes no  
  source document number \_\_\_\_\_

---

(3-B-3) Policy and procedure states that officers are tested on their knowledge of direct supervision, interpersonal communications, and leadership.  
yes no  
  source document number \_\_\_\_\_

---

(3-B-4) Policy and procedure states that support staff who interact with inmates are trained in direct supervision and interpersonal communications.  
yes no  
  source document number \_\_\_\_\_

---

(3-B-4) Training records indicate that support staff who interact with inmates are trained in direct supervision and interpersonal communications.  
yes no  
  source document number \_\_\_\_\_

---

(3-C-1) Training records indicate that managers and supervisors are trained in direct supervision, including interpersonal communication.  
yes no  
  source document number \_\_\_\_\_

---

(3-C-1) Policy and procedure states that managers and supervisors receive instruction in direct supervision, including interpersonal communications.  
yes no  
  source document number \_\_\_\_\_

---

(4-A-1) There is an agency mission statement that reflects the importance of staff and inmate safety.

yes      no  
            source document number \_\_\_\_\_

---

(4-B-1) Documentation is kept on file that regular fire and life safety inspections in accordance with all applicable codes are conducted.

yes      no  
            source document number \_\_\_\_\_

---

(4-B-2) Documentation is kept on file that all violations noted in fire and life safety inspections are immediately corrected.

yes      no  
            source document number \_\_\_\_\_

---

(4-B-3a) Documentation is kept on file that fire drills are held regularly.

yes      no  
            source document number \_\_\_\_\_

---

(4-C-1) Documentation is kept on file that the facility is regularly evaluated against liability(risk management) issues.

yes      no  
            source document number \_\_\_\_\_

---

(4-C-2) Documentation is kept on file that all potential liability issues or conditions are corrected.

yes      no  
            source document number \_\_\_\_\_

---

(4-D-1) Incident reports indicate that weapons are found in contraband searches.

yes      no  
            source document number \_\_\_\_\_

---

(4-D-2) Incident reports indicate that gangs influence inmate behavior on the housing unit.

yes      no  
            source document number \_\_\_\_\_

---

Self-Audit Instrument for Administrators of Direct Supervision Jails

---

(4-D-3) Incident reports indicate that inmate on inmate assaults occur frequently on housing units.  
yes no  
  source document number \_\_\_\_\_

---

(4-D-5) Incident reports indicate that there are sexual assaults on the units.  
yes no  
  source document number \_\_\_\_\_

---

(4-E-4) Incident reports indicate that inmate-on-officer assaults occur less frequently in direct supervision housing units than they do in other areas of the facility.  
yes no  
  source document number \_\_\_\_\_

---

(5-D-1) Inmate activity schedule indicates that inmates are locked down for no more than 10 hours a day.  
yes no  
  source document number \_\_\_\_\_

---

(5-D-4) Policy and procedure states that inmates have regular visitation.  
yes no  
  source document number \_\_\_\_\_

---

(5-E-1) Documentation, in the form of weekly inspection reports, is kept on file that housing units are maintained in a clean and orderly fashion.  
yes no  
  source document number \_\_\_\_\_

---

(5-F-2) Policy and procedure states that a goal of the facility is to provide rehabilitative opportunities to inmates.  
yes no  
  source document number \_\_\_\_\_

---

(5-F-3) Policy and procedure states that the jail makes efforts to link inmates to community services prior to release.  
yes no  
  source document number \_\_\_\_\_

---

(6-B-4) Policy and procedure states that a logbook is maintained that documents events on the unit.  
yes no  
  source document number \_\_\_\_\_

---

(7-A-1) Policy and procedure states that inmates are classified to identify mental and emotional stability, escape history, history of assaultive behavior, medical status, age and enemies of record, before being assigned to a regular housing unit.  
yes no  
  source document number \_\_\_\_\_

---

(7-A-2) Policy and procedure states that inmate identity and gang affiliation are verified before assignment to a housing unit.  
yes no  
  source document number \_\_\_\_\_

---

(7-A-3) Policy and procedure states that medical and mental health screenings include a suicide screening.  
yes no  
  source document number \_\_\_\_\_

---

(7-B-1) Policy and procedure states that inmates are thoroughly oriented to the behavioral expectations of the facility and unit officers before being assigned to a regular housing unit.  
yes no  
  source document number \_\_\_\_\_

---

(7-B-2) Policy and procedure states that rules are explained in the inmate's primary language.  
yes no  
  source document number \_\_\_\_\_

---

(7-D-4) Policy and procedure states that classification occurs within the first 72 hours.  
yes no  
  source document number \_\_\_\_\_

---

(8-A-1) There is a mission statement that reflects that the facility will be operated justly and fairly.  
yes no  
  source document number \_\_\_\_\_

---

Self-Audit Instrument for Administrators of Direct Supervision Jails

---

(8-B-4) Policy and procedure states that administration reviews all disciplinary actions, grievances, and classification assignments to ensure that all inmates are being treated equally.

yes no  
  source document number \_\_\_\_\_

---

(8-B-5) Policy and procedure states that inmate disciplinary hearings are prompt.

yes no  
  source document number \_\_\_\_\_

---

(8-D-1) Policy and procedure states that there is a formal administrative remedy policy for inmates.

yes no  
  source document number \_\_\_\_\_

---

(8-D-2) Policy and procedure states that there is a formal disciplinary policy for inmates.

yes no  
  source document number \_\_\_\_\_

---

(8-D-4) Policy and procedure states that there is a formal review process for grievance and disciplinary hearing findings.

yes no  
  source document number \_\_\_\_\_

---

(8-D-5) The inmate handbook informs inmates of their administrative options.

yes no  
  source document number \_\_\_\_\_

---

(8-D-5) Policy and procedure states that inmates have and are made aware of their administrative options.

yes no  
  source document number \_\_\_\_\_

---

## Facility Checklist

(1-D-1) Housing unit officers have an unobstructed view of all cell doors and the unit entrance from the officer's station as well as from the dayroom by taking a few steps.

yes      no  
     

---

(1-D-2) Inmates have a clear view of cell fronts while they are in the dayroom.

yes      no  
     

---

(1-D-3) All areas of the unit can be accessed and observed by the officer without losing sight of the work station.

yes      no  
     

---

(1-D-4) There are no alcoves or blind spots in the unit that are not easily surveillable.

yes      no  
     

---

(1-E-1) Cells are maintained free of vandalism and graffiti.

yes      no  
     

---

(1-E-4) Unit rules and consequences for violation are posted in the unit.

yes      no  
     

---

(4-A-1) There is a clearly posted agency mission statement that reflects the importance of staff and inmate safety.

yes      no  
     

---

(5-A-1) General population units do not have secure furnishings bolted to the floor in the direct supervision dayrooms.

yes      no  
     

---

(5-A-2) Commercial grade toilet and lavatory fixtures are used.  
yes      no  
     

---

(5-A-3) Commercial grade furnishings and fixtures are used in the dayrooms and the cells/sleeping areas.  
yes      no  
     

---

(5-D-9) Individual showers are on the units; showers are observable by staff.  
yes      no  
     

---

(5-E-1) Housing units are maintained in a clean and orderly fashion.  
yes      no  
     

---



## Instruction Sheet

### Completing the Tally Sheets for the Questionnaires

#### **General**

There is a separate tally sheet for each questionnaire. The scoring grid for each question corresponds to the answer choices for that question. Note also that the numbering system is the same for all three questionnaires and the document checklist. That is, Question **1-A-1** refers to that item in the **Measurable Elements** and is the same for all questionnaires. This makes it easy to cross-reference administrative/management/supervisory responses with staff and inmate responses.

#### **Tallying**

Each of the three sets of questionnaires must be tallied separately, as follows:

1. Add up the total number of questionnaires. This is the **N** for that set of questionnaires.
2. Tally up the total number (#) of responses to each question. You can do this using tick marks (///) on the tally sheets in the appropriate box.
3. Total the number of responses (tick marks) for each question.
4. Move this number to the score sheet.

## Administrator/Management/Supervisory Tally Sheet

This tally sheet is provided so that you can score the responses provided on the Administrator/Management/Supervisory questionnaire. The numbers gathered from this sheet will be used to complete the score sheet.

1. Add up the total number of questionnaires. This is the “N” for that set of questionnaires.
2. Tally up the total number (#) of each of the responses to each question. You can do this using tick marks (///) on the tally sheets in the appropriate box.
3. Total the number of responses (tick marks) for each response.
4. Move this number to the score sheet.

Total number of questionnaires (N) \_\_\_\_\_

### 1. EFFECTIVE CONTROL

#### 1-A. Total Control

**(1-A-1)** Are officers scheduled to be present at all times on housing units when inmates are out of their cells?

Yes	Total # Yes	No	Total # No

**(1-A-3)** Do you believe that the housing unit officers are in full control of the inmates?

Yes	Total # Yes	No	Total # No

**(1-A-4)** Are housing unit officers reluctant to patrol any areas of their unit?

Yes	Total # Yes	No	Total # No

**(1-A-5a)** Do officers frequently patrol all areas of their unit?

Yes	Total # Yes	No	Total # No

**(1-A-5b)** Are officers ever assigned tasks that require them to leave the unit unsupervised?

Yes	Total # Yes	No	Total # No

**(1-A-6)** Is there sufficient maximum-security housing for inmates who do not comply with officer instructions?

Yes	Total # Yes	No	Total # No

**(1-A-7)** Do housing unit officers have the ability and authority to remove inmates who are disrespectful or non-compliant with the orders of the housing officer?

Yes	Total # Yes	No	Total # No

**(1-A-8)** Are officers scheduled 24/7 in all dormitories and units with multiple occupancy cells?

Yes	Total # Yes	No	Total # No

**(1-A-9)** Is a minimum number of officers assigned to each housing unit—i.e., no more than four officers in a 24-hour period?

Yes	Total # Yes	No	Total # No

**(1-A-10)** Is only one officer assigned to a general population housing unit at one time?

Yes	Total # Yes	No	Total # No

**(1-A-11)** Do officers conduct regular cell checks at least once each shift?

Yes	Total # Yes	No	Total # No

**1-B. Sound Perimeter Security**

**(1-B-1a)** Are the secure boundaries of the housing units clearly defined?

Yes	Total # Yes	No	Total # No

**(1-B-1b)** Are the recreation areas and program spaces included within the secure boundaries of the housing units?

Yes	Total # Yes	No	Total # No

**(1-B-1c)** Do you conduct periodic security audits of the units?

Yes	Total # Yes	No	Total # No

**(1-B-2)** Do the housing unit officers on each shift conduct regular security inspections of the interior perimeter of the unit to check for attempts to breach the security perimeter?

Yes	Total # Yes	No	Total # No

**(1-B-3)** Do housing unit officers have the ability to directly open any doors that would facilitate an inmate's escape from the facility?

Yes	Total # Yes	No	Total # No

**(1-B-4a)** Is the outer perimeter of the jail checked at least once each shift?

Yes	Total # Yes	No	Total # No

**(1-B-4b)** Is the outer perimeter of the jail inspected regularly?

Yes	Total # Yes	No	Total # No

**1-C. Population Divided into Manageable Groups**

**(1-C-1)** Are any inmate activities conducted in areas outside the housing unit where the number of inmates involved is so large as to compromise the officer's ability to control inmate behavior?

Yes	Total # Yes	No	Total # No

**(1-C-2)** Do unit sizes exceed 72 inmates?

Yes	Total # Yes	No	Total # No

**(1-C-3)** Do housing units operate above their design capacity?

Yes	Total # Yes	No	Total # No

**(1-C-9)** Is the maximum number of inmates in a housing unit and the ratio of officers to inmates determined by the classification of inmates?

Yes	Total # Yes	No	Total # No

**1-E. Accountability for Behavior**

**(1-E-1)** Are individual cells maintained free of vandalism and graffiti?

Yes	Total # Yes	No	Total # No

**(1-E-2a)** Are inmates required to complete a cell inspection report when they are assigned to a cell?

Yes	Total # Yes	No	Total # No

**(1-E-2b)** Are inmates accountable for any damage or graffiti that occurs during their occupancy?

Yes	Total # Yes	No	Total # No

**(1-E-3)** Are the housing unit officers required to instruct all new inmates on the rules of the unit upon arrival?

Yes	Total # Yes	No	Total # No

**(1-E-5)** Do housing unit officers know the rules and are they consistent in their enforcement?

Yes	Total # Yes	No	Total # No

**1-F. Maximizing Inmates' Self Control**

**(1-F-3)** Are all cells single cells?

Yes	Total # Yes	No	Total # No

**(1-F-4)** Are programs available to all inmates housed in direct supervision, general population housing units?

Yes	Total # Yes	No	Total # No

**(1-F-5)** Is indoor or outdoor recreation available for every inmate every day?

Yes	Total # Yes	No	Total # No

**2. EFFECTIVE SUPERVISION**

**2-A. Staff to Inmate Ratio**

**(2-A-2)** Are housing unit officers expected to know the names of almost all of the inmates on their units?

Yes	Total # Yes	No	Total # No

**(2-A-3)** Can all of the inmates on the unit be adequately supervised in the dayroom at the same time?

Yes	Total # Yes	No	Total # No

**2-B. Officer in Control of Unit**

**(2-B-2)** Does the housing unit officer have the authority to administer informal discipline such as counseling and reprimand, extra clean-up duty, and suspension of dayroom privileges for a period not to exceed 24 hours?

Yes	Total # Yes	No	Total # No

**(2-B-3)** Do the acoustics on the unit permit the officers' verbal commands to be heard without his/her need to shout?

Yes	Total # Yes	No	Total # No

**(2-B-4)** Do administrators and/or supervisors undermine the officer's control of his/her unit?

Yes	Total # Yes	No	Total # No

**(2-B-5)** Are the same housing unit officers consistently assigned to the same housing units for a period of no less than 90 days?

Yes	Total # Yes	No	Total # No

**(2-B-6)** Do officers receive formal training in Interpersonal Communications in the Correctional Setting (IPC)?

Yes	Total # Yes	No	Total # No



**2-C. Unit Officer's Leadership Role**

(2-C-1) Are officers trained in the special leadership skills for managing inmates on a housing unit?

Yes	Total # Yes	No	Total # No

(2-C-3) Do officers hold daily group meetings with inmates on the unit to convey behavioral expectations and to reinforce positive behavior?

Yes	Total # Yes	No	Total # No

(2-C-5) Are all officers trained and conversant with policies, procedures and post (unit) orders?

Yes	Total # Yes	No	Total # No

(2-C-8) Do the housing unit officers have flexibility within the framework of operational guidelines to make creative decisions in managing the unit?

Yes	Total # Yes	No	Total # No

**2-D. Frequent Supervision by Management**

(2-D-1) Does the jail administrator visit all housing units once each week?

Yes	Total # Yes	No	Total # No

**(2-D-2)** Do the first line supervisors visit all housing units at least once each shift?

Yes	Total # Yes	No	Total # No

**(2-D-3)** Do the unit inspections by managers and supervisors conform to consistent performance expectations that provide an opportunity for genuine expressions of support for the unit officers?

Yes	Total # Yes	No	Total # No

**(2-D-5)** Has management implemented a formal procedure for resolving inconsistencies between shifts?

Yes	Total # Yes	No	Total # No

**(2-D-6)** Has management developed a team approach to unit management—do mid-managers supervise the same personnel on a consistent basis?

Yes	Total # Yes	No	Total # No

**(2-D-7)** Do supervisors formally evaluate the performance of the housing unit officers?

Yes	Total # Yes	No	Total # No

**(2-D-8)** Have supervisors been trained in how to supervise housing unit officers in direct supervision?

Yes	Total # Yes	No	Total # No

**3. COMPETENT STAFF**

**3-A. Recruiting Qualified Staff**

**(3-A-1)** Do eligibility qualifications for new staff require high school level literacy, as well as normal hearing and speaking capabilities?

Yes	Total # Yes	No	Total # No

**(3-A-2)** Are recruits required to demonstrate that they comprehend their training and have the ability to apply what they have learned?

Yes	Total # Yes	No	Total # No

**(3-A-3)** Does your agency have a meaningful probationary period to insure that you retain only demonstrably competent staff?

Yes	Total # Yes	No	Total # No

**3-B. Effective Training**

**(3-B-1)** Do all officers receive at least 48 hours of direct supervision training, which includes IPC(16 hrs.), before being independently assigned to a direct-supervision housing unit?

Yes	Total # Yes	No	Total # No

**(3-B-2)** Does annual in-service training include refresher training on direct supervision management?

Yes	Total # Yes	No	Total # No

**(3-B-3)** Are officers tested on their knowledge of direct supervision, IPC skills, supervision and leadership?

Yes	Total # Yes	No	Total # No

**(3-B-4)** Are all support staff (non-sworn) who interact with inmates trained in Direct Supervision principles and Interpersonal Communications?

Yes	Total # Yes	No	Total # No

**3-C. Effective Leadership by Management**

**(3-C-1)** Have all managers and supervisors received at least 48 hours of instruction in direct supervision with specific emphasis on their role as supervisors and managers?

Yes	Total # Yes	No	Total # No

**4. SAFETY OF STAFF AND INMATES**

**4-A. Mission and Public Expectations**

**(4-A-1)** Does the agency Mission Statement reflect the importance of staff and inmate safety?

Yes	Total # Yes	No	Total # No

**4-B. Life Safety Codes**

**(4-B-1)** Does the facility receive regular fire and life safety inspections and are they kept on file?

Yes	Total # Yes	No	Total # No

**(4-B-2)** Are all violations immediately documented and corrected?

Yes	Total # Yes	No	Total # No

**(4-B-3a)** Are fire drills held regularly?

Yes	Total # Yes	No	Total # No

**(4-B-3b)** Are fire drills debriefed to fine tune evacuation procedures and code compliance?

Yes	Total # Yes	No	Total # No

**4-C. Personal Liability**

**(4-C-1)** Is the facility regularly evaluated against liability issues?

Yes	Total # Yes	No	Total # No

**(4-C-2)** Are all potential liability issues/conditions documented and corrected?

Yes	Total # Yes	No	Total # No

**4-D. Inmates' Response to Unsafe Surroundings**

**(4-D-1)** Are weapons found in contraband searches?

	Never	Rarely	Sometimes	Often	Always
Total #					

**(4-D-2)** Do gangs influence inmate behavior on the housing unit?

Yes	Total # Yes	No	Total # No

**(4-D-3)** Do inmate-on-inmate assaults occur on housing units?

	Never	Rarely	Sometimes	Often	Always
Total #					

**(4-D-4)** Excluding individual cells, are all areas in the housing unit in clear view of the officer so that inmates cannot use them to violate the rules?

Yes	Total # Yes	No	Total # No

**(4-D-5)** Are the units relatively free of sexual assaults?

Yes	Total # Yes	No	Total # No

**4-E. Staff Response to Unsafe Working Conditions**

**(4-E-2)** Do housing officers use more sick leave than other officers in the facility?

Yes	Total # Yes	No	Total # No

**(4-E-3)** Do unit officers express a need for some kind of weapon while on the unit?

Yes	Total # Yes	No	Total # No

**(4-E-4)** Do inmate-on-officer assaults occur less frequently in direct supervision housing units than they do in other areas of the facility?

Yes	Total # Yes	No	Total # No

**(4-E-5)** Do staff carry unauthorized weapons?

Yes	Total # Yes	No	Total # No

**5. MANAGEABLE AND COST EFFECTIVE OPERATIONS**

**5-B. Wider Range of Architectural Options**

**(5-B-2)** Were furnishings, fixtures and materials selected in anticipation of positive inmate behavior?

Yes	Total # Yes	No	Total # No

**(5-B-3)** Do you have carpet in general population housing units?

Yes	Total # Yes	No	Total # No

**5-C. Reduced Vandalism**

**(5-C-2)** When vandalism or graffiti do occur, is it promptly repaired or removed?

Yes	Total # Yes	No	Total # No

**5-D. Anticipation of Fundamental Needs**

**(5-D-1)** Are inmates locked down for more than 10 hours a day?

Yes	Total # Yes	No	Total # No

**(5-D-2)** Is outdoor exercise accessible to inmates as an extension of the dayroom?

Yes	Total # Yes	No	Total # No

**(5-D-3a)** Do inmates have access to telephones in the dayroom to contact significant others in the community?

Yes	Total # Yes	No	Total # No

**(5-D-4)** Do inmates have regular visitation available to them?

Yes	Total # Yes	No	Total # No

**(5-D-5)** Is appropriate safe storage of inmates' personal property provided on the unit?

Yes	Total # Yes	No	Total # No

**(5-D-8)** Are industrial/work opportunities are available to the inmates in general population?

Yes	Total # Yes	No	Total # No



**(5-D-9)** Does the unit have single shower stalls that are clearly observable by staff?

Yes	Total # Yes	No	Total # No

**(5-D-10a)** Is quality food service a priority in the institution and on the housing units?

Yes	Total # Yes	No	Total # No

**5-E. Sanitation and Orderliness**

**(5-E-2)** Are formal housing inspections conducted weekly, and cell inspections conducted daily?

Yes	Total # Yes	No	Total # No

**(5-E-3)** In addition to weekly sanitation inspections, have you established a fixed number of pre-defined and agreed-upon factors that can be easily checked by officers in a quick glance?

Yes	Total # Yes	No	Total # No

**(5-E-4)** Do unit officers have access to sufficient supplies and equipment to achieve desired sanitary standards?

Yes	Total # Yes	No	Total # No

**5-F. Opportunities for Reintegration**

**(5-F-2)** Is one of the stated goals of the facility to provide rehabilitative opportunities to inmates?

Yes	Total # Yes	No	Total # No

**(5-F-3)** Does the jail make efforts to link inmates to community services prior to release?

Yes	Total # Yes	No	Total # No

**6. EFFECTIVE COMMUNICATION**

**6-A. Frequent Inmate and Staff Communication**

**(6-A-4)** Have all barriers been eliminated, including tape around control stations, that would discourage inmates from communicating with housing unit officers?

Yes	Total # Yes	No	Total # No

**6-B. Communication Among Staff Members**

**(6-B-2)** Are officers encouraged to take breaks with other unit officers?

Yes	Total # Yes	No	Total # No

**(6-B-3)** Are briefing times at shift change structured so that staff can receive information from the earlier shift?

Yes	Total # Yes	No	Total # No

**(6-B-4)** Is there a logbook that documents significant events on the unit?

Yes	Total # Yes	No	Total # No

**7. CLASSIFICATION AND ORIENTATION**

**7-A. Knowing With Whom You Are Dealing**

**(7-A-1)** Are inmates classified so as to identify mental and emotional stability, escape history, history of assaultive behavior, medical status, age and enemies of record, before being assigned to a regular housing unit?

Yes	Total # Yes	No	Total # No

**(7-A-2)** Is the inmate's identity and gang affiliation verified before assignment is made to a housing unit?

Yes	Total # Yes	No	Total # No

**(7-A-3)** Are medical and mental health screenings, including suicide screening, provided at intake?

Yes	Total # Yes	No	Total # No

**7-B. Orientation**

**(7-B-2)** Are the facility and housing unit rules explained in the inmate's primary language?

Yes	Total # Yes	No	Total # No

**(7-B-3)** Is inmate orientation documented?

Yes	Total # Yes	No	Total # No

**(7-B-4)** Do inmates receive a manual that contains all the orientation information?

Yes	Total # Yes	No	Total # No

**7-C. Assumption of Rational Behavior**

**(7-C-1)** Are inmates placed in an open setting while awaiting booking/intake?

Yes	Total # Yes	No	Total # No

**(7-C-3)** Are inmates addressed by their last names preceded by the appropriate Mr. or Ms. or collectively as “gentlemen” or “ladies”?

Yes	Total # Yes	No	Total # No

**7-D. Maximum Supervision During Initial Hours of Confinement**

**(7-D-1)** Do the inmate booking and admission units provide for continuous observation of inmates during initial 72 hours of confinement?

Yes	Total # Yes	No	Total # No

**(7-D-2)** Does adequate cell capacity exist to hold inmates under constant observation during the first 8 hours of confinement?

Yes	Total # Yes	No	Total # No

**(7-D-3)** Do the intake units have counselors available to talk to inmates?

Yes	Total # Yes	No	Total # No

**(7-D-4)** Do inmates receive an initial classification within the first 72 hours?

Yes	Total # Yes	No	Total # No

**8. JUSTICE AND FAIRNESS**

**8-B. Consistent Root Cause of Collective Violence**

**(8-B-4)** Are administrative reviews conducted on all disciplinary actions, grievances and classification assignments to insure that all inmates are being treated equally?

Yes	Total # Yes	No	Total # No

**8-D. Formal Administrative Remedy (Grievance) and Disciplinary System**

**(8-D-1)** Does the facility have a formal administrative remedy policy for inmates (grievance procedure)?

Yes	Total # Yes	No	Total # No

**(8-D-2)** Does the facility have formal disciplinary policy and procedures for inmates?

Yes	Total # Yes	No	Total # No

**(8-D-3)** Do qualified staff conduct hearings?

Yes	Total # Yes	No	Total # No

**(8-D-4)** Is there a formal review process for grievance and disciplinary hearing findings?

Yes	Total # Yes	No	Total # No

## Officer Tally Sheet

This tally sheet is provided so that you can score the responses provided on the Officer Questionnaire. The numbers gathered from this sheet will be used to complete the score sheet.

1. Add up the total number of questionnaires. This is the “N” for that set of questionnaires.
2. Tally up the total number (#) of each of the responses to each question. You can do this using tick marks (///) on the tally sheets in the appropriate box.
3. Total the number of responses (tick marks) for each response.
4. Move this number to the score sheet.

Total number of questionnaires (N) \_\_\_\_\_

### 1. EFFECTIVE CONTROL

#### 1-A. Total Control

**(1-A-1)** Is an officer present when the inmates on your unit are out of their cells?

	Never	Rarely	Sometimes	Often	Always
Total #					

**(1-A-2)** Are inmates on your unit ever assigned to supervise other inmates?

Yes	Total # Yes	No	Total # No

**(1-A-3)** Do you believe that you are in control of the inmates on your unit?

	Never	Rarely	Sometimes	Often	Always
Total #					

**(1-A-4)** Are there areas on your unit that you are reluctant to patrol?

Yes	Total # Yes	No	Total # No

**(1-A-5a)** Do you spend most of your time circulating about the unit when inmates are out of their cells?

Yes	Total # Yes	No	Total # No

**(1-A-5b)** Are you ever assigned tasks that require you to leave your unit unsupervised?

Yes	Total # Yes	No	Total # No

**(1-A-6)** Is disciplinary housing available whenever it is needed?

Yes	Total # Yes	No	Total # No

**(1-A-7)** Do you have the ability and authority to remove inmates who are disrespectful or non-compliant with your orders?

	Never	Rarely	Sometimes	Often	Always
Total #					

**(1-A-11)** Do you inspect cells for compliance with established requirements at least once each shift?

	Never	Rarely	Sometimes	Often	Always
Total #					



**1-B. Sound Perimeter Security**

**(1-B-1a)** Are the security boundaries (perimeter) of the housing unit clearly defined?

Yes	Total # Yes	No	Total # No

**(1-B-2)** Do you conduct interior perimeter security inspections (windows, doors, vents, etc.) on your unit at least once each shift?

Yes	Total # Yes	No	Total # No

**(1-B-3)** While assigned to a housing unit, do you carry the keys to any doors that provide access to outside the security perimeter?

Yes	Total # Yes	No	Total # No

**1-C. Population Divided into Manageable Groups**

**(1-C-4)** Is the number of inmates assigned to your housing unit a manageable size for one officer to supervise?

Yes	Total # Yes	No	Total # No

**(1-C-6)** Do you interact with most of the inmates on the unit during the shift?

	Never	Rarely	Sometimes	Often	Always
Total #					

**(1-C-7)** Do you know the cell assignment of almost all inmates on your unit without checking your records?

Yes	Total # Yes	No	Total # No

**(1-C-8)** Do you feel that you are sufficiently aware of individual inmates' moods and behaviors that you are able to be proactive in resolving problems?

Yes	Total # Yes	No	Total # No

**1-E. Accountability for Behavior**

**(1-E-1)** Are the cells on your unit maintained free of vandalism and graffiti?

	Never	Rarely	Sometimes	Often	Always
Total #					

**(1-E-2a)** Is a cell inspection report completed when an inmate is assigned to a cell on your unit?

Yes	Total # Yes	No	Total # No

**(1-E-2b)** Are inmates held accountable for any damage or graffiti that occurs in their cell during their occupancy?

Yes	Total # Yes	No	Total # No

**(1-E-3)** Are all new inmates instructed on the rules of the unit upon arrival?

Yes	Total # Yes	No	Total # No

**(1-E-5)** Does inconsistent enforcement of inmate rules by other unit officers create problems for you in supervising the unit?

	Never	Rarely	Sometimes	Often	Always
Total #					

**1-F. Maximizing Inmates' Self-Control**

**(1-F-1)** Do inmates on your unit generally conform to the established and desired behavioral norms of the unit?

	Never	Rarely	Sometimes	Often	Always
Total #					

**(1-F-2)** Are inmates on your unit held accountable for negative behavior?

	Never	Rarely	Sometimes	Often	Always
Total #					

**(1-F-4)** Are inmate programs, such as educational classes and religious activities, available to all inmates on your unit?

Yes	Total # Yes	No	Total # No

**(1-F-5)** Is outdoor or indoor recreation available everyday for every inmate in your unit?

Yes	Total # Yes	No	Total # No

**2. EFFECTIVE SUPERVISION**

**2-A. Staff to Inmate Ratio**

**(2-A-2)** Do you know the names of almost all of the inmates on your unit?

Yes	Total # Yes	No	Total # No

**(2-A-3)** Can all of the inmates assigned to your unit be adequately supervised in the dayroom at the same time?

Yes	Total # Yes	No	Total # No

**2-B. Officer in Control of Unit**

**(2-B-2)** Do you have the authority to administer informal discipline such as counseling, reprimand, extra clean-up duty, and suspension of dayroom privileges for a limited period of time?

Yes	Total # Yes	No	Total # No

**(2-B-3)** Does the noise level on your unit interfere with your ability to communicate verbally with inmates effectively?

	Never	Rarely	Sometimes	Often	Always
Total #					

**(2-B-4)** Do supervisors and/or administrators undermine your authority when they visit your unit?

	Never	Rarely	Sometimes	Often	Always
Total #					

**2-C. Unit Officer's Leadership Role**

**(2-C-2)** Are informal inmate leaders ever permitted to compete with your leadership role on the unit?

Yes	Total # Yes	No	Total # No

**(2-C-3)** Do you hold a group meeting with the inmates on your unit each day to convey expectations and to reinforce positive behavior?

Yes	Total # Yes	No	Total # No

**(2-C-5)** Have you been trained in policy and procedures relevant to your duties as unit officer?

Yes	Total # Yes	No	Total # No

**(2-C-8)** Do you have flexibility within the framework of operational guidelines to make decisions and be creative in managing the unit?

Yes	Total # Yes	No	Total # No

**(2-C-10)** Are inmates comfortable talking to you?

	Never	Rarely	Sometimes	Often	Always
<b>Total #</b>					

**2-D. Frequent Supervision by Management**

**(2-D-2)** Does a first line officer visit all housing units at least once each shift?

Yes	Total # Yes	No	Total # No

**(2-D-5)** Is there a structured procedure for resolving inconsistencies between shifts?

Yes	Total # Yes	No	Total # No

**(2-D-6)** Are the same housing unit officers assigned to each unit for at least 90 days?

Yes	Total # Yes	No	Total # No

**4. SAFETY OF STAFF AND INMATES**

**4-D. Inmates' Response to Unsafe Surroundings**

**(4-D-1)** Are weapons found when you make contraband searches on your unit?

	Never	Rarely	Sometimes	Often	Always
Total #					

**(4-D-2)** Does the presence of gangs on the housing unit create supervision problems for you?

	Never	Rarely	Sometimes	Often	Always
Total #					

**(4-D-3)** Do inmate-on-inmate assaults occur on your housing unit?

	Never	Rarely	Sometimes	Often	Always
Total #					

**(4-D-4)** Except for individual cells, are there any areas on your unit that you do not have a clear view of in which inmates violate the rules?

Yes	Total # Yes	No	Total # No

**(4-D-5)** To the best of your knowledge, have any inmates on your unit been sexually assaulted during the past twelve months?

Yes	Total # Yes	No	Total # No

**(4-D-6a)** Do you believe that some inmates on your unit pay other inmates for protection?

Yes	Total # Yes	No	Total # No

**4-E. Staff Response to Unsafe Working Conditions**

**(4-E-3)** Do you feel a need to carry a weapon when working on your housing unit?

Yes	Total # Yes	No	Total # No

**(4-E-5)** Are you aware of any staff who carry unauthorized weapons when assigned to a housing unit?

Yes	Total # Yes	No	Total # No

**5. MANAGEABLE AND COST-EFFECTIVE OPERATIONS**

**5-C. Reduced Vandalism**

(5-C-2) When vandalism or graffiti occurs on your unit, is it promptly repaired?

Yes	Total # Yes	No	Total # No

**5-D. Anticipation of Fundamental Needs**

(5-D-1) How many hours during the normal week-day are inmates on your unit allowed access to the dayroom?

	0-5	6-7	8-10	11-13	14 or more
Total #					

(5-D-3a) Do inmates on your unit have access to telephones in the dayroom to contact significant others in the community?

Yes	Total # Yes	No	Total # No

(5-D-5) Is appropriate safe storage of inmates' personal property provided on the unit?

Yes	Total # Yes	No	Total # No

(5-D-6) Are there sufficient television viewing areas available to keep noise down and be responsive to different cultural needs?

Yes	Total # Yes	No	Total # No



**(5-D-10a)** Does the quality of the food service create problems in managing your unit?

Yes	Total # Yes	No	Total # No

**(5-D-10b)** Does the quantity of the food served create problems in managing your unit?

Yes	Total # Yes	No	Total # No

**5-E. Sanitation and Orderliness**

**(5-E-2)** Are formal housing inspections conducted weekly?

Yes	Total # Yes	No	Total # No

**(5-E-3)** When patrolling your unit, do you continually check cells for approximately five pre-defined and agreed-upon factors that are easily checked in a quick glance?

Yes	Total # Yes	No	Total # No

**(5-E-4)** Do you have access to sufficient supplies and equipment to achieve desired sanitary standards on your unit?

Yes	Total # Yes	No	Total # No

**6. EFFECTIVE COMMUNICATION**

**6-A. Frequent Inmate and Staff Communication**

**(6-A-4)** Do any barriers exist on your unit that discourage inmates from communicating with you?

Yes	Total # Yes	No	Total # No

**7. CLASSIFICATION AND ORIENTATION**

**7-B. Orientation**

**(7-B-2)** Are rules explained in the inmate’s primary language by a non-inmate?

Yes	Total # Yes	No	Total # No

**7-C. Assumption of Rational Behavior**

**(7-C-3)** Do you address inmates by their last names preceded by the appropriate Mr. or Ms. or collectively as “gentlemen” or “ladies”?

	Never	Rarely	Sometimes	Often	Always
Total #					

**8. JUSTICE AND FAIRNESS**

**8-B. Consistent Root Cause of Collective Violence**

**(8-B-1)** Do most of the inmates on your unit believe that the facility treats them fairly and justly?

Yes	Total # Yes	No	Total # No

**8-D. Formal Administrative Remedy (Grievance) and Disciplinary System**

**(8-D-5)** Are most of the inmates on your unit aware of the administrative remedy options?

Yes	Total # Yes	No	Total # No

**(8-D-6)** Do inmates on your unit ever receive reprisals for submitting an administrative grievance?

Yes	Total # Yes	No	Total # No

## Inmate Tally Sheet

This tally sheet is provided so that you can score the responses provided on the Inmate Questionnaire. The numbers gathered from this sheet will be used to complete the score sheet.

1. Add up the total number of questionnaires. This is the “N” for that set of questionnaires.
2. Tally up the total number (#) of each of the responses to each question. You can do this using tick marks (///) on the tally sheets in the appropriate box.
3. Total the number of responses (tick marks) for each response.
4. Move this number to the score sheet.

Total number of questionnaires (N) \_\_\_\_\_

Assigned to the unit:

Less than 3 days \_\_\_\_\_ 3-10 days \_\_\_\_\_ 11-20 days \_\_\_\_\_ More than 20 days \_\_\_\_\_

### 1. EFFECTIVE CONTROL

#### 1-A. Total Control

**(1-A-1)** Is an officer present in the dayroom when any inmates are out of their cells?

Yes	Total # Yes	No	Total # No

**(1-A-2)** Do inmates ever tell other inmates on the housing unit what to do?

Yes	Total # Yes	No	Total # No

**(1-A-5a)** While you are in the dayroom, do unit officers move about the unit interacting with inmates?

	Never	Rarely	Sometimes	Often	Always
Total #					

**(1-A-7)** Can and do officers promptly remove inmates from the unit if they are non-compliant or disrespectful to the housing officer?

	Never	Rarely	Sometimes	Often	Always
Total #					

**(1-A-11)** Do officers regularly conduct cell inspections?

	Never	Rarely	Sometimes	Often	Always
Total #					

**1-C. Population Divided into Manageable Groups**

**(1-C-5)** Do the officers, not the inmates, manage the unit?

Yes	Total # Yes	No	Total # No

**(1-C-6)** Do the officers interact with most of the inmates during each shift?

	Never	Rarely	Sometimes	Often	Always
Total #					

**1-E. Accountability for Behavior**

**(1-E-3)** Were you instructed on the rules of the unit during your first day on this unit?

Yes	Total # Yes	No	Total # No

**(1-E-5)** Are the unit rules consistently enforced on this unit?

	Never	Rarely	Sometimes	Often	Always
Total #					

**1-F. Maximizing Inmates' Self-Control**

**(1-F-1)** Do most inmates on this unit comply with the unit rules without being ordered by the officer to do so?

	Never	Rarely	Sometimes	Often	Always
Total #					

**(1-F-2)** Are inmates held accountable for negative behavior?

	Never	Rarely	Sometimes	Often	Always
Total #					

**2. EFFECTIVE SUPERVISION**

**2-A. Staff to Inmate Ratio**

**(2-A-2)** Do most of the unit officers know you by your name?

Yes	Total # Yes	No	Total # No

**2-B. Officer in Control of Unit**

**(2-B-3)** Most of the time are the noise levels on the unit quiet enough so that you can easily hear the unit officer's instructions without the officer having to shout?

Yes	Total # Yes	No	Total # No

**2-C. Unit Officer's Leadership Role**

(2-C-2) Are inmates prohibited from competing with the officer's leadership role?

Yes	Total # Yes	No	Total # No

(2-C-10) Are you comfortable talking with the unit officers?

	Never	Rarely	Sometimes	Often	Always
Total #					

**4. SAFETY OF STAFF AND INMATES**

**4-D. Inmates' Response to Unsafe Surroundings**

(4-D-1) Do you feel you need a defensive weapon for your personal safety?

Yes	Total # Yes	No	Total # No

(4-D-2) Do gangs influence how inmates behave in the housing unit?

Yes	Total # Yes	No	Total # No

(4-D-3) Do inmates assault other inmates on your unit?

	Never	Rarely	Sometimes	Often	Always
Total #					

**(4-D-4)** Is there a place on the unit, not including a cell, where an inmate can hide in order to violate unit rules?

Yes	Total # Yes	No	Total # No

**(4-D-5)** Do you know of sexual assaults on inmates occurring on this unit?

Yes	Total # Yes	No	Total # No

**(4-D-6a)** Do you know of any inmates on this unit that pay other inmates for protection?

Yes	Total # Yes	No	Total # No

**(4-D-6b)** Do inmates feel safe in the housing unit?

Yes	Total # Yes	No	Total # No

## 5. MANAGEABLE AND COST-EFFECTIVE OPERATIONS

### 5-D. Anticipation of Fundamental Needs

**(5-D-3a)** Do you have access to a telephone on the unit to contact friends and relatives?

Yes	Total # Yes	No	Total # No

**(5-D-3b)** Is the cost of a telephone call reasonable enough that you are able to use the phones on this unit?

Yes	Total # Yes	No	Total # No



**(5-D-4)** Do you have an opportunity to regularly visit with your family and friends?

Yes	Total # Yes	No	Total # No

**(5-D-5)** Are appropriate bins provided for safe storage of each inmate's personal property?

Yes	Total # Yes	No	Total # No

**(5-D-7)** Do you have an opportunity to participate in programs of self-improvement on this unit?

Yes	Total # Yes	No	Total # No

**(5-D-10a)** Is the quality of the food satisfactory for most inmates?

Yes	Total # Yes	No	Total # No

**(5-D-10b)** Is the quantity of the food satisfactory for most inmates?

Yes	Total # Yes	No	Total # No

**5-E. Sanitation and Orderliness**

**(5-E-2)** Are you required to keep your sleeping area or cell neat and clean?

Yes	Total # Yes	No	Total # No

**7. CLASSIFICATION AND ORIENTATION**

**7-B. Orientation**

(7-B-2) As far as you know, are the rules explained in the inmate’s primary language?

Yes	Total # Yes	No	Total # No

**7-C. Assumption of Rational Behavior**

(7-C-3) Do housing officers address inmates by their last names preceded by the appropriate Mr. or Ms. or collectively as “gentlemen” or “ladies”?

	Never	Rarely	Sometimes	Often	Always
Total #					

**8. JUSTICE AND FAIRNESS**

**8-B. Consistent Root Cause of Collective Violence**

(8-B-1) Do you believe you are being treated fairly and justly on this unit?

	Never	Rarely	Sometimes	Often	Always
Total #					

**8-D. Formal Administrative Remedy (Grievance) and Disciplinary System**

**(8-D-5)** Are you aware of your grievance options and how to appeal a disciplinary action?

Yes	Total # Yes	No	Total # No

**(8-D-6)** Do you know inmates on this unit that have been punished for filing a grievance?

Yes	Total # Yes	No	Total # No

## Instruction Sheet

### Completing the Score Sheets for the Questionnaires

#### General

There is one score sheet which combines the information from all the tally sheets, including the Document Review Questionnaire and the Facility Checklist.

#### Scoring

Each of the three sets of questionnaires must be scored separately, as follows:

1. Enter the total number of responses for each question (from the tally sheet) in the appropriate box.
2. Divide the number of responses to each question by the **N** for that questionnaire (number of questionnaires) to get the percentage (%) for that response.

**Example:** There are 50 “Yes” answers and 150 “No” answers to a certain question, and the total number of questionnaires was 200.

$$N = 200$$

$$\text{Yes \#} = 50 \quad \text{Yes \%} = 50/200 = 25\%$$

$$\text{No \#} = 150 \quad \text{No \%} = 150/200 = 75\%$$

3. Computing the percentage distribution makes it easier to compare responses from different questionnaires with varying sizes of **N**.

## Interpreting Results

### Evaluating the Score Sheet

When you have compiled all of your data on the score sheet, you can begin analyzing your results. The score sheet does not provide an overall “grade” or tell you that you are or are not a direct supervision jail; instead, the score sheet helps you determine if each principle of direct supervision is in place operationally in your jail. Responses consistent with the principles of direct supervision are shaded in gray on the score sheet. As you analyze the score sheet, you are looking for three indicators of potential problems:

1. Responses inconsistent with the principles of direct supervision.

It is important to analyze the score sheet to see if there are any measurable elements with responses outside of the expected (gray) range. For example, all responding groups (administrators, line staff, and inmates) may have a large number of individuals that indicate that the measurable element is not in place.

2. Responses that show a discrepancy **between** responding groups.

It is also important to analyze the score sheet to see if the different survey groups (administrators, line officers, and inmates) disagree in their responses. For example, administrators may indicate that a measurable element is in place while line officers or inmates indicate that it is not.

3. Responses that show a discrepancy **within** a responding group.

Finally, it is important to analyze the score sheet to see if different individuals in the same survey group have different responses for a single question. For example, line officers may be split as to whether a particular measurable element is in place.

Once you have identified all the measurable elements where responses are inconsistent with the principles, show a discrepancy between responding groups, or show a discrepancy within a responding group, you can begin to interpret these results in relation to the implementation of direct supervision in your jail. There are three steps in the interpretive process:

1. Determine if the responses reflect a problem.

Making this determination involves assessing both the number of deviant responses and the criticality of the element. For example, a single response from an inmate indicating that he or she is aware of sexual assaults occurring on the housing unit requires a different level of response than a single inmate indicating that the quantity of food is not satisfactory for most inmates.

2. Determine possible causes of any problems.

If responses seem to indicate a problem with the implementation of direct supervision, consider possible causes such as physical plant, policy and procedure, staff training, supervision of staff, or communication between staff.

3. Develop a strategy to address the problem.

Once you have identified possible causes for the problem, you can determine an appropriate response. Solutions may involve modifying physical plant, modifying policy and procedure, implementing staff training, increasing the supervision of staff, or enhancing communication among staff. If you determine that the problem is beyond the control of the facility or you choose not to address an element, you can still keep in mind its potential impact on operations. Understanding how each element contributes to direct supervision can help you make effective operational decisions to reduce the negative effects of a missing or problematic element.

The example that appears below illustrates sample responses for one measurable element of the principle of *Effective Control*, sub-principle *Total Control*. The shaded areas of the score sheet reflect the responses that are most consistent with the principles of direct supervision.

Sample responses show that most respondents believe that officers are present on the housing unit when inmates are out of their cells.

However, when evaluating this score sheet, you would also consider the disagreement between the different responding groups. When administrators/supervisors are unanimous in their belief that a policy or practice is in effect and some officers respond to the contrary, there may be a problem in policy execution. The 10% “no” responses on the Inmate Questionnaire and the 20% of officers that do not answer “*always*” may indicate an isolated policy deviation on one unit or a lack of understanding of policy and procedure. Corrective action may be needed in

terms of policy and procedure revision, staff training, and/or supervision of staff. There is a natural tendency for operational systems to deviate from original intentions over

**EXAMPLE SCORE SHEET**

**1. EFFECTIVE CONTROL**

**A. Total Control**

**(1-A-1)** An Officer is present on housing unit at all times when inmates are out of their cells.

**Admin** Are officers scheduled to be present at all times on housing units when inmates are out of their cells?

	yes	no
Total # 20	20	0
Percent	100%	%

**Officer** Is an officer present when the inmates on your unit are out of their cells?

	never	rarely	some-times	often	always
Total # 100	0	0	5	15	80
Percent	%	%	5%	15%	80%

**Inmate** Is an officer present in the dayroom when inmates are out of their cells?

	yes	no
Total # 50	45	5
Percent	90%	10%

**Document** Staffing schedules indicate that an officer is scheduled on housing units at all times when inmates are out of cells.  
 yes no

**Document** Policy and procedure states that an officer is present on housing units at all times when inmates are out of cells.  
 yes no

Recommendation/Action Supervisors to determine why 20% of staff believed an officer was not always present when inmates were out of their cells.

time. Compliance with procedures can deteriorate without the command staff being fully aware of this deterioration. One of the most important benefits of this self-audit is to reveal discrepancies in policy execution even though they may be isolated ones. Whenever a discrepancy is identified, a corrective action should be documented on the score sheet.

As you move through the score sheet, identifying and analyzing responses for each measurable element, look for patterns. Are inconsistencies and discrepancies that appear in different elements manifestations of the same problem? You may identify consistent needs in terms of physical plant, policy and procedure, staff training, staff supervision, or staff communication. Aggregating problems and identifying common solutions will allow you to create basic strategies to enhance direct supervision in your facility.

Finally, assessing your direct supervision jail is an on-going process. This self-audit should be conducted on a regular basis so that you can identify and correct problems with the implementation of direct supervision before they begin to negatively impact the effectiveness of your operations.

## Score Sheet

Prior to completing this sheet, you must tally the questionnaire responses using the “Tally Sheets”. To complete the scoring sheet:

- Divide the number of responses to each answer by the “N” for that questionnaire to get the percentage (%) for that response.

**Example:** There are 50 “Yes” answers and 150 “No” answers to a question, and the total number of responses was 200:

$$N = 200$$

$$\text{Yes \#} = 50 \quad \text{Yes \%} = 50/200 = 25\%$$

$$\text{No \#} = 150 \quad \text{No \%} = 150/200 = 75\%$$

- Computing the percentage distribution makes it easier to compare responses from different questionnaires with different size “N”.
- Enter the scores (numbers and percentages) in the spaces provided below:

Total Number of Questionnaires for Administrative: (N) \_\_\_\_\_

Total Number of Questionnaires for Officers: (N) \_\_\_\_\_

Total Number of Questionnaires for Inmates: (N) \_\_\_\_\_





**1. EFFECTIVE CONTROL**

**1-A. Total Control**

**(1-A-1)** An officer is present on housing unit at all times when inmates are out of their cells.

**Admin** Are officers scheduled to be present at all times on housing units when inmates are out of their cells?

	Yes	No
Total #		
Percent	%	%

**Officer** Is an officer present when the inmates on your unit are out of their cells?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

**Inmate** Is an officer present in the dayroom when any inmates are out of their cells?

	Yes	No
Total #		
Percent	%	%

**Document** Staffing schedules indicate that an officer is scheduled on housing units at all times when inmates are out of cells.

yes    no  
   

**Document** Policy and procedure states that an officer is present on housing units at all times when inmates are out of cells.

yes    no  
   

Recommendation/Action \_\_\_\_\_

\_\_\_\_\_

**(1-A-2)** Inmates are never placed in a position of control or influence over other inmates.

**Officer** Are inmates on your unit ever assigned to supervise other inmates?

	Yes	No
Total #		
Percent	%	%

**Inmate** Do inmates ever tell other inmates on the housing unit what to do?

	Yes	No
Total #		
Percent	%	%

**Document** Policy and procedure states that inmates are never placed in a position of control or influence over the behavior of other inmates.

yes    no  
   

Recommendation/Action \_\_\_\_\_

**(1-A-3)** Housing unit officers believe they are in full control of the inmates on their units and inmates feel the officer is in control of the unit.

**Admin** Do you believe that the housing unit officers are in full control of the inmates?

	Yes	No
Total #		
Percent	%	%

**Officer** Do you believe that you are in control of the inmates on your unit?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

Recommendation/Action \_\_\_\_\_

**(1-A-4)** Officers are not reluctant to patrol any area of their unit.

**Admin** Are housing unit officers reluctant to patrol any areas of their unit?

	Yes	No
Total #		
Percent	%	%

**Officer** Are there areas on your unit that you are reluctant to patrol?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

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**(1-A-5a)** Officers patrol all the areas of their unit. They do not remain at their stations.

**Admin** Do officers frequently patrol all areas of their unit?

	Yes	No
Total #		
Percent	%	%

**Officer** Do you spend most of your time circulating about the unit when inmates are out of their cells?

	Yes	No
Total #		
Percent	%	%

**Inmate** When you are in the dayroom, do unit officers move about the unit interacting with inmates?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

Recommendation/Action \_\_\_\_\_

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**(1-A-5b)** Officers patrol all the areas of their unit. They do not remain at their stations. Assigned tasks do not take the officer out of the unit.

**Admin** Are officers ever assigned tasks that require them to leave their unit unsupervised?

	Yes	No
Total #		
Percent	%	%

**Officer** Are you ever assigned tasks that require you to leave your unit unsupervised?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

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**(1-A-6)** Disciplinary housing is available whenever it is needed

**Admin** Is there sufficient segregation housing for inmates who do not comply with officer instructions?

	Yes	No
Total #		
Percent	%	%

**Officer** Is disciplinary housing available whenever it is needed?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

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**(1-A-7)** Officers can and do remove non-compliant inmates from the unit.

**Admin** Do housing unit officers have the ability and authority to remove inmates who are disrespectful or non-compliant with the orders of the housing officer?

	Yes	No
Total #		
Percent	%	%

**Officer** Do you have the ability and authority to remove inmates who are disrespectful or non-compliant with your orders?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

**Inmate** Can and do officers promptly remove inmates from the unit if they are non-compliant or disrespectful to the housing officer?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

**Document** The inmate rulebook states that inmates who are not compliant with the orders of the housing officer or are disrespectful of the officer can be removed from the unit.

**yes**    **no**  
   

**Document** Policy and procedure states that inmates that are not compliant with the orders of the housing officer or are disrespectful of the officer are promptly removed from the unit.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

**(1-A-8)** Officers are scheduled 24/7 in dormitory units and units with multiple-occupancy cells.

**Admin** Are officers scheduled 24/7 in all dormitories and units with multiple-occupancy cells?

	Yes	No
Total #		
Percent	%	%

**Document** Policy and procedure states that officers are scheduled 24/7 in dormitory units and multiple-occupancy cell units.

yes    no  
   

**Document** Staffing schedules indicate that an officer is scheduled 24/7 in dormitory units and multiple-occupancy cell units.

yes    no  
   

Recommendation/Action \_\_\_\_\_

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**(1-A-9)** A minimum number of officers is assigned to each housing unit.

**Admin** Is a minimum number of officers assigned to each housing unit; i.e., no more than four officers in a 24-hour period?

	Yes	No
Total #		
Percent	%	%

**Document** Staffing schedules indicate that a minimum number of officers is scheduled to work in the unit (no more than four different officers are assigned to work in one unit in any 24-hour period).

**yes**    **no**  
   

**Document** Policy and procedure states that a minimum number of officers work in the unit.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

**(1-A-10)** Only one officer is assigned to the unit at one time.

**Admin** Is only one officer assigned to a general population housing unit at one time?

	Yes	No
Total #		
Percent	%	%

**Document** Staffing schedules indicate that only one officer is scheduled to manage the unit at one time.

**yes**    **no**  
   

**Document** Policy and procedure states that only one officer manages the unit at one time.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

**(1-A-11)**      Officers conduct regular cell checks on the unit at least once per shift.

**Admin**            Do officers conduct regular cell checks at least once each shift?

	<b>Yes</b>	<b>No</b>
Total #		
Percent	%	%

**Officer**            Do you inspect cells for compliance with established requirements at least once each shift?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

**Inmate**            Do officers regularly conduct cell inspections?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

**Document**        Policy and procedure states that officers conduct regular cell checks.

**yes**      **no**  
     

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Recommendation/Action \_\_\_\_\_

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**1-B. Sound Perimeter Security**

**(1-B-1a)** The security boundaries (perimeter) of the housing unit are clearly defined.

**Admin** Are the secure boundaries of the housing units clearly defined?

	Yes	No
Total #		
Percent	%	%

**Officer** Are the secure boundaries of the housing units clearly defined?

	Yes	No
Total #		
Percent	%	%

**Document** Incident reports concerning escape indicate that the circumstances of the escape do not relate to a failure of the perimeter of the housing unit.

**yes**    **no**  
   

**Document** Incident reports concerning contraband indicate that the circumstances of the incident do not relate to a failure of the perimeter of the housing unit.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

**(1-B-1b)** The recreation areas and program spaces are included within these boundaries (perimeter).

**Admin** Are the recreation areas and program spaces included within the secure boundaries of the housing units?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(1-B-1c)**            Periodic security audits of the units are conducted.

**Admin**            Do you conduct periodic security audits of the units?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

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**(1-B-2)**            Housing unit officers on each shift conduct regular security checks of the perimeter. Officers make frequent patrols to check for inmate attempts to breach the security perimeter.

**Admin**            Do the housing unit officers on each shift conduct regular security inspections of the interior perimeter of the unit to check for attempts to breach the security perimeter?

	Yes	No
Total #		
Percent	%	%

**Officer**            Do you conduct interior perimeter security inspections (windows, doors, vents, etc.) on your unit at least once each shift?

	Yes	No
Total #		
Percent	%	%

**Document**        Policy and procedure states that housing unit officers conduct security inspections at least once each shift of the perimeter of the unit to assure that security design features are in place are functional.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

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**(1-B-3)** Housing unit officers do not have the ability to directly open doors that would facilitate an inmate's escape from the facility. Exit doors are controlled from a secure control unit.

**Admin** Do housing unit officers have the ability to directly open any doors that would facilitate an inmate's escape from the facility?

	Yes	No
Total #		
Percent	%	%

**Officer** While assigned to a housing unit, do you carry the keys to any doors that provide access to outside the security perimeter?

	Yes	No
Total #		
Percent	%	%

**Document** Policy and procedure states that housing unit officers do not have the ability to directly open doors that would facilitate an inmate's escape from the facility.

yes    no  
   

Recommendation/Action \_\_\_\_\_

**(1-B-4a)** The exterior perimeter of the jail is checked at least once each shift.

**Admin** Is the outer perimeter of the jail checked at least once each shift?

	Yes	No
Total #		
Percent	%	%

**Document** Policy and procedure states that the outer perimeter of the jail is checked at least once each shift.

yes    no  
   

Recommendation/Action \_\_\_\_\_

**(1-B-4b)** The exterior perimeter of the jail inspected regularly.

**Admin** Is the outer perimeter of the jail inspected regularly?

	Yes	No
Total #		
Percent	%	%

**Document** Policy and procedure states that officers make frequent patrols of the unit to inspect for inmate attempts to breach perimeter security and exterior perimeter checks are conducted.

yes    no  
   

Recommendation/Action \_\_\_\_\_

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**1-C. Population Divided into Manageable Groups**

**(1-C-1)** The number of inmates in any activities conducted off the units are not so large as to compromise the officers' ability to control them.

**Admin** Are any inmate activities conducted in areas outside the housing unit where the number of inmates involved is so large as to compromise the officer's ability to control inmate behavior?

	Yes	No
Total #		
Percent	%	%

**Document** Policy and procedure states that no inmate activities outside housing units are conducted in areas where the number of inmates involved in such activities compromise the officer's ability to control inmates.

yes    no  
   

Recommendation/Action \_\_\_\_\_

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**(1-C-2)** Unit sizes do not exceed 72 inmates.

**Admin** Do unit sizes exceed 72 inmates?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(1-C-3)** Housing units do not operate above designed capacity.

**Admin** Do housing units operate above their designed capacity?

	Yes	No
Total #		
Percent	%	%

**Document** Policy and procedure states that housing units do not operate above designed capacity.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

**(1-C-4)** Officers feel the unit inmate population is a manageable size.

**Officer** Is the number of inmates assigned to your housing unit a manageable size for one officer to supervise?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(1-C-5)** Inmates feel the officer manages the unit.

**Inmate** Do the officers, not the inmates, manage the unit?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(1-C-6)** Officers have the opportunity to interact with most inmates during their shift.

**Officer** Do you interact with most of the inmates on the unit during the shift?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

**Inmate** Do the officers interact with most of the inmates during each shift?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

Recommendation/Action \_\_\_\_\_

**(1-C-7)** Officers know which inmates belong in which cells.

**Officer** Do you know the cell assignment of almost all inmates on your unit without checking your records?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_



**(1-C-8)** Officers are aware of inmates' individual moods.

**Officer** Do you feel that you are sufficiently aware of individual inmates' moods and behaviors to be able to be proactive in resolving problems?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(1-C-9)** The maximum number of inmates in a housing unit and the ratio of officers to inmates is determined by the classification of the inmates.

**Admin** Is the maximum number of inmates in a housing unit and the ratio of officers to inmates determined by the classification of inmates?

	Yes	No
Total #		
Percent	%	%

**Document** Policy and procedure states that the ratio of officers to inmates is based on inmate classification.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

**1-D. Easily Surveillable Areas**

**(1-D-1)**

**Facility** Housing unit officers have an unobstructed view of all cell doors and unit entrance from the officer's station as well as from the dayroom by taking a few steps.

**yes**      **no**  
     

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Recommendation/Action \_\_\_\_\_

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**(1-D-2)**

**Facility** Inmates have a clear view of cell fronts while they are in the dayroom.

**yes**      **no**  
     

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Recommendation/Action \_\_\_\_\_

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**(1-D-3)**

**Facility** All areas of the unit can be accessed and observed by the officer without losing sight of the control station.

**yes**      **no**  
     

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Recommendation/Action \_\_\_\_\_

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**(1-D-4)**

**Facility** There are no alcoves or blind spots in the unit that are not easily surveillable.

**yes**      **no**  
     

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Recommendation/Action \_\_\_\_\_

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**1-E. Accountability for Behavior**

**(1-E-1)** Individuals cells are maintained free of vandalism and graffiti.

**Admin** Are individual cells maintained free of vandalism and graffiti?

	Yes	No
Total #		
Percent	%	%

**Officer** Are the cells on your unit maintained free of vandalism and graffiti?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

**Facility** Cells are maintained free of vandalism and graffiti.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

**(1-E-2a)** Inmates are required to complete a cell inspection report when they are assigned to a cell.

**Admin** Are inmates required to complete a cell inspection report when they are assigned to a cell?

	Yes	No
Total #		
Percent	%	%

**Officer** Is a cell inspection report completed when an inmate is assigned to a cell on your unit?

	Yes	No
Total #		
Percent	%	%

**Document** Inmate rulebook states that a cell inspection report is completed when an inmate is assigned to a cell.

yes    no  
   

**Document** Policy and procedure states that cell inspection reports are completed when an inmate is assigned to a cell.

yes    no  
   

Recommendation/Action \_\_\_\_\_

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**(1-E-2b)** Inmates are held accountable for any damage or graffiti that occurs during their occupancy.

**Admin** Are inmates held accountable for any damage or graffiti that occurs in their cell during their occupancy?

	Yes	No
Total #		
Percent	%	%

**Officer** Are inmates held accountable for any damage or graffiti that occurs in their cell during their occupancy?

	Yes	No
Total #		
Percent	%	%

**Document** Inmate rulebook states that inmates are held accountable for any damage or graffiti that occurs during their occupancy.

yes    no  
   

**Document** Policy and procedure states that inmates are held accountable for any damage or graffiti that occurs during their occupancy.

yes    no  
   

Recommendation/Action \_\_\_\_\_

**(1-E-3)** The housing unit officer instructs all new inmates on the rules of the unit upon arrival.

**Admin** Are the housing unit officers required to instruct all new inmates on the rules of the unit upon arrival?

	Yes	No
Total #		
Percent	%	%

**Officer** Are all new inmates instructed on the rules of the unit upon arrival?

	Yes	No
Total #		
Percent	%	%

**Inmate** Were you instructed on the rules of the unit during your first day on this unit?

	Yes	No
Total #		
Percent	%	%

**Document** Policy and procedure states that the housing unit officer instructs all new inmates on the rules of the unit upon arrival.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

**(1-E-4)** Housing unit rules and consequences for violation are posted in the unit.

**Facility** Unit rules and consequences for violation are posted in the unit.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

**(1-E-5)** Officers know the rules and are consistent in their enforcement of those rules.

**Admin** Do housing unit officers know the rules and are they consistent in their enforcement?

	Yes	No
Total #		
Percent	%	%

**Officer** Does inconsistent enforcement of inmate rules by other unit officers create problems for you in supervising the unit?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

**Inmate** Are the unit rules consistently enforced on this unit?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

Recommendation/Action \_\_\_\_\_

**1-F. Maximizing Inmates' Self-Control**

**(1-F-1)** Inmates generally conform to established/desired behavioral norms of the facility.

**Officer** Do inmates on your unit generally conform to the established and desired behavioral norms of the unit?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

**Inmate** Do most inmates on this unit comply with the unit rules without being ordered by the officer to do so?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

Recommendation/Action \_\_\_\_\_

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**(1-F-2)** Inmates are held accountable for negative behavior.

**Officer** Are inmates on your unit held accountable for negative behavior?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

**Inmate** Are inmates held accountable for negative behavior?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

**Document** The inmate rulebook informs inmates that they are held accountable for negative behavior.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

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**(1-F-3)** All cells are single cells.

**Admin** Are all cells single cells?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(1-F-4)** Programs are available to all inmates in direct supervision general population housing units.

**Admin** Are programs available to all inmates housed in direct supervision, general population housing units?

	Yes	No
Total #		
Percent	%	%

**Officer** Are inmate programs, such as educational classes and religious activities, available to all inmates on your unit?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(1-F-5)** Outdoor or indoor recreation is available every day for every inmate in general population.

**Admin** Is indoor or outdoor recreation available for every inmate every day?

	Yes	No
Total #		
Percent	%	%

**Officer** Is outdoor or indoor recreation available everyday for every inmate in your unit?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

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**2. EFFECTIVE SUPERVISION**

**2-A. Staff to Inmate Ratio**

**(2-A-2)** Housing unit officers know the names of almost all of the inmates on their units.

**Admin** Are housing unit officers expected to know the names of almost all of the inmates on their units?

	Yes	No
Total #		
Percent	%	%

**Officer** Do you know the names of almost all of the inmates on your unit?

	Yes	No
Total #		
Percent	%	%

**Inmate** Do most of the unit officers know you by your name?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(2-A-3)** All the inmates on the unit can be adequately supervised in the dayroom at one time.

**Admin** Can all of the inmates on the unit be adequately supervised in the dayroom at the same time?

	Yes	No
Total #		
Percent	%	%

**Officer** Can all of the inmates assigned to your unit be adequately supervised in the dayroom at the same time?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

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**2-B. Officer in Control of Unit**

**(2-B-2)** Officers have authority to administer informal discipline such as counseling or reprimand, extra clean-up duty, and suspension of dayroom privileges for up to 24 hours.

**Admin** Does the housing unit officer have the authority to administer informal discipline such as counseling and reprimand, extra clean-up duty, and suspension of dayroom privileges for a period not to exceed 24 hours?

	Yes	No
Total #		
Percent	%	%

**Officer** Do you have the authority to administer informal discipline such as counseling, reprimand, extra clean-up duty, and suspension of dayroom privileges for a limited period of time?

	Yes	No
Total #		
Percent	%	%

**Document** The inmate rulebook informs inmates that the officer has the authority to administer informal discipline such as counseling and reprimand, extra clean-up duty, and suspension of dayroom privileges for a period not to exceed 24 hours.

yes      no  
     

**Document** Policy and procedure states that the officer has the authority to administer informal discipline such as counseling and reprimand, extra clean-up duty, and suspension of dayroom privileges for a period not to exceed 24 hours.

yes      no  
     

Recommendation/Action \_\_\_\_\_

**(2-B-3)** Acoustics permit the officers verbal communications to be heard by the inmates under his/her supervision without the need for shouting.

**Admin** Do the acoustics on the unit permit the officers' verbal commands to be heard without his/her need to shout?

	Yes	No
Total #		
Percent	%	%

**Officer** Does the noise level on your unit interfere with your ability to communicate verbally with inmates effectively?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

**Inmate** Most of the time are the noise levels on the unit quiet enough so that you can easily hear the unit officer's instructions without the officer having to shout?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

---

**(2-B-4)** Administrators and supervisors do not undermine the officer's control of his/her unit.

**Admin** Do administrators and/or supervisors undermine the officer's control of his/her unit?

	Yes	No
Total #		
Percent	%	%

**Officer** Do supervisors and/or administrators undermine your authority when they visit your unit?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

Recommendation/Action \_\_\_\_\_

**(2-B-5)** Officers are consistently assigned to the same unit for a period of no less than 90 days.

**Admin** Are the same housing unit officers consistently assigned to the same housing units for a period of no less than 90 days?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(2-B-6)** Officers receive training in Interpersonal Communication in the Correctional Setting (IPC).

**Admin** Do officers receive formal training in Interpersonal communication in the Correctional Setting (IPC)?

	Yes	No
Total #		
Percent	%	%

**Document** Training records indicate that all officers who work in housing units are trained in interpersonal communication.

yes    no  
   

Recommendation/Action \_\_\_\_\_

**2-C. Unit Officer's Leadership Role**

**(2-C-1)** Officers are trained in the leadership skills necessary for managing inmates on a housing unit.

**Admin** Are officers trained in the special leadership skills for managing inmates on a housing unit?

	Yes	No
Total #		
Percent	%	%

**Document** Training records indicate that all officers are trained in the leadership skills necessary to lead inmates on a housing unit.

yes    no  
   

Recommendation/Action \_\_\_\_\_



**(2-C-2)** Informal inmate leaders are not permitted to compete with the officers' leadership role.

**Officer** Are informal inmate leaders ever permitted to compete with your leadership role on the unit?

	Yes	No
Total #		
Percent	%	%

**Inmate** Are inmates prohibited from competing with the officer's leadership role?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(2-C-3)** Officers hold daily group meetings with inmates on the unit to convey behavioral expectations and to reinforce positive behavior.

**Admin** Do officers hold daily group meetings with inmates on the unit to convey behavioral expectations and to reinforce positive behavior?

	Yes	No
Total #		
Percent	%	%

**Officer** Do you hold a group meeting with the inmates on your unit each day to convey expectations and to reinforce positive behavior?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(2-C-5)** Officers are trained in and conversant with policies, procedures and post orders.

**Admin** Are all officers trained in and conversant with policies, procedures and post (unit) orders?

	Yes	No
Total #		
Percent	%	%

**Officer** Have you been trained in policies and procedures relevant to your duties as unit officer?

	Yes	No
Total #		
Percent	%	%

**Document** Training records indicate that all officers are trained in policy and procedure.

**yes**    **no**  
   

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Recommendation/Action \_\_\_\_\_

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**(2-C-8)** The officers have the flexibility within the framework of the operations guidelines to make decisions—be creative—in managing the unit.

**Admin** Do the housing unit officers have flexibility within the framework of operational guidelines to make creative decisions in managing the unit?

	Yes	No
Total #		
Percent	%	%

**Officer** Do you have flexibility within the framework of operational guidelines to make decisions and be creative in managing the unit?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(2-C-10)** Inmates are comfortable talking with the housing unit officer.

**Officer** Are inmates comfortable talking to you?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

**Inmate** Are you comfortable talking with the unit officers?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

Recommendation/Action \_\_\_\_\_

**2-D. Frequent Supervision by Management**

**(2-D-1)** The jail administrator visits all housing units at least once a week.

**Admin** Does the jail administrator visit all housing units once each week?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

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**(2-D-2)** First line supervisors visit all housing units at least once each shift.

**Admin** Do the first line supervisors visit all housing units at least once each shift?

	Yes	No
Total #		
Percent	%	%

**Officer** Does a first-line supervisor visit all housing units at least once each shift?

	Yes	No
Total #		
Percent	%	%

**Document** Policy and procedure states that first line supervisors visit all housing units at least once each shift.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

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**(2-D-3)** Unit inspections by managers and supervisors conform to consistent performance expectations that provide an opportunity for genuine expressions of support for the unit officers.

**Admin** Do the unit inspections by managers and supervisors conform to consistent performance expectations that provide an opportunity for genuine expressions of support for the unit officers?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(2-D-5)** Management implements a structured procedure for resolving inconsistencies between shifts.

**Admin** Has management implemented a formal procedure for resolving inconsistencies between shifts?

	Yes	No
Total #		
Percent	%	%

**Officer** Is there a structured procedure for resolving inconsistencies between shifts?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(2-D-6)** Management develops a team approach to unit management. Mid-managers supervise the same personnel on a regular basis.

**Admin** Has management developed a team approach to unit management—do mid-managers supervise the same personnel on a consistent basis?

	Yes	No
Total #		
Percent	%	%

**Officer** Are the same housing unit officers assigned to each unit for at least 90 days?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(2-D-7)** Supervisors evaluate the performance of housing unit officers.

**Admin** Do supervisors formally evaluate the performance of the housing unit officers?

	Yes	No
Total #		
Percent	%	%

**Document** Evaluation records indicate that supervisors formally evaluate the performance of the housing unit officers.

yes    no  
   

**Document** Policy and procedure states that supervisors evaluate the performance of the housing unit officers.

yes    no  
   

Recommendation/Action \_\_\_\_\_

**(2-D-8)** Supervisors are trained in how to supervise unit officers in direct supervision.

**Admin** Have supervisors been trained in how to supervise housing unit officers in direct supervision?

	Yes	No
Total #		
Percent	%	%

**Document** Training records indicate that supervisors have been trained in how to supervise housing unit officers in direct supervision.

yes      no  
     

Recommendation/Action \_\_\_\_\_

**3. COMPETENT STAFF**

**3-A. Recruiting Qualified Staff**

**(3-A-1)** Eligibility qualifications require high school-level literacy as well as normal hearing and speaking capabilities.

**Admin** Do eligibility qualifications for new staff require high school level literacy, as well as normal hearing and speaking capabilities?

	Yes	No
Total #		
Percent	%	%

**Document** Job description indicates that officer eligibility qualifications require high school diploma.

yes      no  
     

Recommendation/Action \_\_\_\_\_

**(3-A-2)** Recruits must demonstrate the ability to comprehend training and to apply what they have learned.

**Admin** Are recruits required to demonstrate that they comprehend their training and have the ability to apply what they have learned?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

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**(3-A-3)** There is a meaningful probationary period to insure that only demonstrable capable staff are retained.

**Admin** Does your agency have a meaningful probationary period to insure that you retain only demonstrably competent staff?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

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**3-B. Effective Training**

**(3-B-1)** All officers receive at least 48 hours of Direct Supervision training before being independently assigned to a direct supervision housing unit, including IPC.

**Admin** Do all officers receive at least 48 hours of direct supervision training, which includes IPC (16 hrs.), before being independently assigned to a direct-supervision housing unit?

	Yes	No
Total #		
Percent	%	%

**Document** Training records indicate that all officers receive at least 48 hours of direct supervision training before being independently assigned to direct supervision (32, including introduction, leadership, and running the housing unit, plus 16 interpersonal communication).

**yes**      **no**  
     

**Document** Policy and procedure states that all officers receive at least 48 hours of direct supervision training before being independently assigned to a direct supervision housing unit, which includes interpersonal communication.

**yes**      **no**  
     

Recommendation/Action \_\_\_\_\_

\_\_\_\_\_

**(3-B-2)** Annual in-service training includes an update of direct supervision and interpersonal communication.

**Admin** Does annual in-service training include refresher training on direct supervision management, including interpersonal communication?

	Yes	No
Total #		
Percent	%	%

**Document** Policy and procedure states that there is annual in-service training on direct supervision.

yes    no  
   

**Document** Training records indicate that annual in-service training includes a direct supervision refresher.

yes    no  
   

Recommendation/Action \_\_\_\_\_

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**(3-B-3)** Officers are tested on their knowledge of direct supervision principles, interpersonal communication, and supervision and leadership.

**Admin** Are officers tested on their knowledge of direct supervision, interpersonal communication skills, supervision and leadership?

	Yes	No
Total #		
Percent	%	%

**Document** Training records indicate that officers are tested on their knowledge of direct supervision, interpersonal communication, and leadership.

**yes**    **no**  
   

**Document** Policy and procedure states that officers are tested on their knowledge of direct supervision, interpersonal communication, and leadership.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

**(3-B-4)** All support staff who work directly with inmates are trained in direct supervision and interpersonal communication.

**Admin** Are all support staff (non-sworn) who interact with inmates trained in Direct Supervision principles and interpersonal communication?

	Yes	No
Total #		
Percent	%	%

**Document** Policy and procedure states that support staff who work directly with inmates are trained in direct supervision and interpersonal communication.

yes      no  
     

**Document** Training records indicate that support staff who interact with inmates are trained in direct supervision and interpersonal communication.

yes      no  
     

Recommendation/Action \_\_\_\_\_

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**3-C. Effective Leadership by Management**

**(3-C-1)** Managers and supervisors are trained in direct supervision with specific emphasis on their role as supervisors and managers.

**Admin** Have all managers and supervisors received at least 48 hours of instruction in direct supervision with specific emphasis on their role as supervisors and managers?

	Yes	No
Total #		
Percent	%	%

**Document** Training records indicate that managers and supervisors are trained in direct supervision.

yes    no  
   

**Document** Policy and procedure states that managers and supervisors receive instruction in direct supervision, including interpersonal communication.

yes    no  
   

Recommendation/Action \_\_\_\_\_

**4. SAFETY OF STAFF AND INMATES**

**4-A. Mission and Public Expectations**

**(4-A-1)** There is an agency mission statement that reflects the importance of staff and inmate safety.

**Admin** Does the agency mission statement reflect the importance of staff and inmate safety?

	Yes	No
Total #		
Percent	%	%

**Facility** There is a clearly posted agency mission statement that reflects the importance of staff and inmate safety.

yes      no  
     

**Document** There is an agency mission statement that reflects the importance of staff and inmate safety.

yes      no  
     

Recommendation/Action \_\_\_\_\_

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**4-B. Life Safety Codes**

**(4-B-1)** The facility receives regular fire and life safety inspections and keeps them on file.

**Admin** Does the facility receive regular fire and life safety inspections, and are the reports kept on file?

	Yes	No
Total #		
Percent	%	%

**Document** Documentation is kept on file that regular fire and life safety inspections in accordance with all applicable codes are conducted.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

**(4-B-2)** All violations and citations are immediately documented and corrected.

**Admin** Are all violations immediately documented and corrected?

	Yes	No
Total #		
Percent	%	%

**Document** Documentation is kept on file that all violations noted in fire and life safety inspections are immediately corrected.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

**(4-B-3a)** Fire drills are held regularly.

**Admin** Are fire drills held regularly?

	Yes	No
Total #		
Percent	%	%

**Document** Documentation is kept on file that fire-drills are held regularly and debriefed to fine-tune evacuation procedures and code compliance.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

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**(4-B-3b)** Fire drills are debriefed to fine tune evacuation procedures and code compliance.

**Admin** Are fire drills debriefed to fine tune evacuation procedures and code compliance?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

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**4-C. Personal Liability**

**(4-C-1)** The facility is regularly evaluated for liability issues and reports are kept on file.

**Admin.** Is the facility regularly evaluated against liability issues?

	Yes	No
Total #		
Percent	%	%

**Document** Documentation is kept on file that the facility is regularly evaluated against liability (risk management) issues.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

**(4-C-2)** All potential liability issues/conditions are documented and corrected.

**Admin** Are all potential liability issues/conditions documented and corrected?

	Yes	No
Total #		
Percent	%	%

**Document** Documentation is kept on file that all potential liability issues or conditions are corrected.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

**4-D. Inmates' Response to Unsafe Surroundings**

**(4-D-1)** Weapons are not found in contraband searches.

**Admin** Are weapons found in contraband searches?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

**Officer** Are weapons found when you make contraband searches on your unit?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

**Inmate** Do you feel you need a defensive weapon for your personal safety?

	Yes	No
Total #		
Percent	%	%

**Document** Incident reports indicate that weapons are found in contraband searches.

**yes**    **no**  
   

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Recommendation/Action \_\_\_\_\_

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**(4-D-2)** Gangs do not influence inmate behavior on the housing unit.

**Admin** Do gangs influence inmate behavior on the housing unit?

	Yes	No
Total #		
Percent	%	%

**Officer** Does the presence of gangs on the housing unit create supervision problems for you?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

**Inmate** Do gangs influence how inmates behave in the housing unit?

	Yes	No
Total #		
Percent	%	%

**Document** Incident reports indicate that gangs influence inmate behavior on the housing unit.

yes    no  
   

Recommendation/Action \_\_\_\_\_

**(4-D-3)** Inmate-on-inmate assaults occur less frequently on the unit.

**Admin** Do inmate-on-inmate assaults occur frequently on housing units?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

**Officer** Do inmate-on-inmate assaults occur on your housing unit?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

**Inmate** Do inmates assault other inmates on your unit?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

**Document** Incident reports indicate that inmate on inmate assaults occur frequently on housing units.

yes      no  
     

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Recommendation/Action \_\_\_\_\_

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**(4-D-4)** There are no areas in the housing unit that are not in clear view of the officers that inmates can exploit to violate rules, excluding cells.

**Admin** Excluding individual cells, are all areas in the housing unit in clear view of the officer so that inmates cannot use them to violate the rules?

	Yes	No
Total #		
Percent	%	%

**Officer** Except for individual cells, are there any areas on your unit that you do not have a clear view of in which inmates violate the rules?

	Yes	No
Total #		
Percent	%	%

**Inmate** Is there a place on the unit, not including a cell, where an inmate can hide in order to violate unit rules?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

\_\_\_\_\_

**(4-D-5)** Sexual assaults are rare on the unit.

**Admin** Are the units relatively free of sexual assaults?

	Yes	No
Total #		
Percent	%	%

**Officer** To the best of your knowledge have any inmates on your unit been sexually assaulted during the past twelve months?

	Yes	No
Total #		
Percent	%	%

**Inmate** Do you know of sexual assaults on inmates occurring on this unit?

	Yes	No
Total #		
Percent	%	%

**Document** Incident reports indicate that there are sexual assaults on the units.

**yes**      **no**  
     

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Recommendation/Action \_\_\_\_\_

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**(4-D-6a)** Inmates do not have to “purchase” security from other inmates.

**Officer** Do you believe that some inmates on your unit pay other inmates for protection?

	Yes	No
Total #		
Percent	%	%

**Inmate** Do you know of any inmates on this unit that pay other inmates for protection?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(4-D-6b)** Inmates feel safe on the unit.

**Inmate** Do inmates feel safe in the housing unit?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**4-E. Staff Response to Unsafe Working Conditions**

**(4-E-2)** Housing unit officers use less sick leave than other officers in the facility.

**Admin** Do housing officers use more sick leave than other officers in the facility?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(4-E-3)** Housing unit officers do not generally express the need for some kind of defensive weapon while on the unit.

**Admin** Do unit officers express a need for some kind of weapon while on the unit?

	Yes	No
Total #		
Percent	%	%

**Officer** Do you feel a need to carry a weapon when working on your housing unit?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(4-E-4)** Inmate-on-officer assaults occur less frequently in direct supervision housing units that they do in other areas of the facility.

**Admin** Do inmate-on-officer assaults occur less frequently in direct supervision housing units than they do in other areas of the facility?

	Yes	No
Total #		
Percent	%	%

**Document** Incident reports indicate that inmate-on-officer assaults occur less frequently in direct supervision housing units than they do in other areas of the facility.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_



**(4-E-5)** Staff do not carry unauthorized protective weapons.

**Admin** Do staff carry unauthorized weapons?

	Yes	No
Total #		
Percent	%	%

**Officer** Are you aware of any staff who carry unauthorized weapons when assigned to a housing unit?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**5. MANAGEABLE AND COST-EFFECTIVE OPERATIONS**

**5-A. Reduced Construction and Furnishing Costs**

**(5-A-1)** General population units do not have secure furnishings bolted to the floor in the direct supervision dayrooms.

**Facility** General population units do not have secure furnishings bolted to the floor in the direct supervision dayrooms.

yes    no  
   

Recommendation/Action \_\_\_\_\_

**(5-A-2)** Commercial grade toilet and lavatory fixtures are used.

**Facility** Commercial grade toilet and lavatory fixtures are used.

yes      no  
     

Recommendation/Action \_\_\_\_\_

**(5-A-3)** Commercial grade furnishings and fixtures are used in the dayrooms and in the cells/sleeping areas.

**Facility** Commercial grade furnishings and fixtures are used in the dayrooms and in the cells/sleeping areas.

yes      no  
     

Recommendation/Action \_\_\_\_\_

**5-B. Wider Range of Architectural Options**

**(5-B-2)** Materials were selected in anticipation of positive inmate behavior.

**Admin** Were furnishings, fixtures and materials selected primarily in anticipation of positive inmate behavior?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(5-B-3)** Carpet is used to reduce noise levels on the unit.

**Admin** Do you have carpet in general population housing units?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

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**5-C. Reduced Vandalism**

**(5-C-2)** If vandalism or graffiti occurs, it is promptly repaired.

**Admin** When vandalism or graffiti does occur, is it promptly repaired?

	Yes	No
Total #		
Percent	%	%

**Officer** When vandalism or graffiti occurs on your unit, is it promptly repaired?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

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**5-D. Anticipation of Fundamental Needs**

**(5-D-1)** Inmates are not locked down for more than 10 hours a day.

**Admin** Are inmates locked down for more than 10 hours a day?

	Yes	No
Total #		
Percent	%	%

**Officer** How many hours during the normal week-day are inmates on your unit allowed access to the dayroom?

	0-5	6-7	8-10	11-13	14 or more
Total #					
Percent	%	%	%	%	%

**Document** Inmate activity schedule indicates that inmates are not locked down for more than 10 hours a day.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

**(5-D-2)** Outdoor exercise is accessible to inmates as an extension of the dayrom.

**Admin** Is outdoor exercise accessible to inmates as an extension of the dayroom?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(5-D-3a)** Inmates have access to telephones in dayrooms to contact significant others in the community.

**Admin** Do inmates have access to telephones in the dayroom to contact significant others in the community?

	Yes	No
Total #		
Percent	%	%

**Officer** Do inmates on your unit have access to telephones in the dayroom to contact significant others in the community?

	Yes	No
Total #		
Percent	%	%

**Inmate** Do you have access to a telephone on the unit to contact friends and relatives?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

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**(5-D-3b)** The cost of making a phone call is not so high as to discourage phone use.

**Inmate** Is the cost of a telephone call reasonable enough that you are able to use the phones on this unit?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(5-D-4)** Inmates have regular visitation.

**Admin** Do inmates have regular visitation available to them?

	Yes	No
Total #		
Percent	%	%

**Inmate** Do you have an opportunity to visit regularly with your family and friends?

	Yes	No
Total #		
Percent	%	%

**Document** Policy and procedure states that inmates have regular visitation.

yes    no  
   

Recommendation/Action \_\_\_\_\_

**(5-D-5)** The jail provides appropriate safe storage of inmates' personal property on the unit.

**Admin** Is appropriate safe storage of inmates' personal property provided on the unit?

	Yes	No
Total #		
Percent	%	%

**Officer** Is appropriate safe storage of inmate's personal property provided on the unit?

	Yes	No
Total #		
Percent	%	%

**Inmate** Are appropriate bins provided for safe storage of each inmate's personal property?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(5-D-6)** Sufficient television viewing areas are available to keep noise down and to be responsive to different cultural needs.

**Officer** Are there sufficient television viewing areas available to keep noise down and be responsive to different cultural needs?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(5-D-7)** Programs to avoid idleness are available on the housing unit.

**Inmate** Do you have an opportunity to participate in programs of self-improvement on this unit?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(5-D-8)** Industrial/work opportunities are available to inmates.

**Admin** Are industrial/work opportunities are available to the inmates in general population?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(5-D-9)** The housing units have individual showers.

**Admin** Does the unit have single shower stalls that are clearly observable by staff?

	Yes	No
Total #		
Percent	%	%

**Facility** Individual showers are on the units; showers are observable by staff.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_



**(5-D-10a)** Quality food service is a priority on the unit – in the institution.

**Admin** Is quality food service a priority in the institution and on the housing units?

	Yes	No
Total #		
Percent	%	%

**Officer** Does the quality of the food create problems in managing your unit?

	Yes	No
Total #		
Percent	%	%

**Inmate** Is the quality of the food satisfactory for most inmates?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(5-D-10b)** The quantity of the food served is adequate.

**Officer** Does the quantity of food served create problems in managing your unit?

	Yes	No
Total #		
Percent	%	%

**Inmate** Is the quantity of the food satisfactory for most inmates?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**5-E. Sanitation and Orderliness**

**(5-E-1)** Housing units are maintained in a clean and orderly fashion.

**Document** Documentation, in the form of weekly inspection reports, is kept on file that housing units are maintained in a clean and orderly fashion.

**yes**    **no**  
   

**Facility** Housing units are maintained in a clean and orderly fashion.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

**(5-E-2)** Formal housing inspections are conducted weekly; cells are inspected daily.

**Admin** Are formal housing inspections conducted weekly, and cell inspections conducted daily?

	Yes	No
Total #		
Percent	%	%

**Officer** Are formal housing inspections conducted weekly?

	Yes	No
Total #		
Percent	%	%

**Inmate** Are you required to keep your sleeping area or cell neat and clean?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(5-E-3)** In addition to weekly sanitation inspections, unit officers continue to inspect for a number of predetermined, agreed upon standards, that can be easily checked with a quick glance.

**Admin** In addition to weekly sanitation inspections, have you established a fixed number of pre-defined and agreed upon factors that can be easily checked by officers in a quick glance?

	Yes	No
Total #		
Percent	%	%

**Officer** When patrolling your unit, do you continually check cells for approximately five pre-defined and agreed upon factors that can be easily checked in a quick glance?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

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**(5-E-4)** Unit officers have access to sufficient supplies and equipment to achieve desired sanitary standards.

**Admin** Do unit officers have access to sufficient supplies and equipment to achieve desired sanitary standards?

	Yes	No
Total #		
Percent	%	%

**Officer** Do you have access to sufficient supplies and equipment to achieve desired sanitary standards on your unit?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

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**5-F. Opportunities for Reintegration**

**(5-F-2)** A stated goal of the facility is to provide rehabilitative opportunities for inmates.

**Admin** Is one of the stated goals of the facility to provide rehabilitative opportunities to inmates?

	Yes	No
Total #		
Percent	%	%

**Document** Policy and procedure states that a goal of the facility is to provide rehabilitative opportunities to inmates.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

**(5-F-3)** The jail makes efforts to link inmates to community services prior to release.

**Admin** Does the jail make efforts to link inmates to community services prior to release?

	Yes	No
Total #		
Percent	%	%

**Document** Policy and procedure states that the jail makes efforts to link inmates to community services prior to release.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

**6. EFFECTIVE COMMUNICATION**

**6-A. Frequent Inmate and Staff Communication**

**(6-A-4)** Barriers do not exist to inhibit inmates from communicating with officers. This includes tape around control stations.

**Admin** Have all barriers been eliminated, including tape around control stations, that would discourage inmates from communicating with housing unit officers?

	Yes	No
Total #		
Percent	%	%

**Officer** Do any barriers exist on your unit that discourage inmates from communicating with you?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**6-B. Communication Among Staff Members**

**(6-B-2)** Officers are encourage to take breaks with other unit officers.

**Admin** Are officers encouraged to take breaks with other unit officers?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(6-B-3)** Briefing times at shift change are structured.

**Admin** Are briefing times at shift change structured so that staff can receive information from the earlier shift?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

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**(6-B-4)** A log book is maintained that documents events on the unit.

**Admin** Is there a log book that documents significant events on the unit?

	Yes	No
Total #		
Percent	%	%

**Document** Policy and procedure states that a logbook is maintained that documents events on the unit.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

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**7. CLASSIFICATION AND ORIENTATION**

**7-A. Knowing With Whom You Are Dealing**

**(7-A-1)** Inmates are assessed to identify mental and emotional stability, escape history, history of assaultive behavior, medical status, age, enemies of record before being assigned to a housing unit.

**Admin** Are inmates assessed so as to identify mental and emotional stability, escape history, history of assaultive behavior, medical status, age and enemies of record, before being assigned to a housing unit?

	Yes	No
Total #		
Percent	%	%

**Document** Policy and procedure states that inmates are assessed to identify mental and emotional stability, escape history, history of assaultive behavior, medical status, age and enemies of record, before being assigned to a housing unit.

**yes**    **no**  
   

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Recommendation/Action \_\_\_\_\_

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**(7-A-2)** Inmate identity and gang affiliation are verified before assignment to a housing unit.

**Admin** Is the inmate's identity and gang affiliation verified before assignment is made to a housing unit?

	Yes	No
Total #		
Percent	%	%

**Document** Policy and procedure states that inmate identity and gang affiliation are verified before assignment to a housing unit.

yes      no  
     

Recommendation/Action \_\_\_\_\_

**(7-A-3)** Medical and mental health screening include suicide screening.

**Admin** Are medical and mental health screenings, including suicide screening, provided at intake?

	Yes	No
Total #		
Percent	%	%

**Document** Policy and procedure states that medical and mental health screenings include a suicide screening.

yes      no  
     

Recommendation/Action \_\_\_\_\_



**7-B. Orientation**

**(7-B-1)** Inmates are thoroughly oriented to the behavioral expectations of the facility and the unit officers before being assigned to a regular housing unit.

**Document** Policy and procedure states that inmates are thoroughly oriented to the behavioral expectations of the facility and unit officers before being assigned to a regular housing unit.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

**(7-B-2)** Rules are explained in the inmate's primary language by a non-inmate.

**Admin** Are the facility and housing unit rules explained in the inmate's primary language?

	Yes	No
Total #		
Percent	%	%

**Officer** Are the facility and housing unit rules explained in the inmate's primary language?

	Yes	No
Total #		
Percent	%	%

**Inmate** As far as you know, are the rules explained in the inmate's primary language?

	Yes	No
Total #		
Percent	%	%

**Document** Policy and procedure states that rules are explained in the inmate's primary language.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

**(7-B-3)** Inmate orientation is documented.

**Admin** Is inmate orientation documented?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(7-B-4)** There is an inmate manual that contains all the orientation information.

**Admin** Do inmates receive a manual that contains all the orientation information?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

### 7-C. Assumption of Rational Behavior

**(7-C-1)** The facility uses an open booking system. Inmates are placed in open settings while awaiting booking/intake.

**Admin** Are inmates placed in an open setting while awaiting booking/intake?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(7-C-3)** Inmates are addressed by their last names preceded by the appropriate Mr. or Ms. or collectively as “gentlemen” or “ladies.”

**Admin** Are inmates addressed by their last names preceded by the appropriate Mr. or Ms. or collectively as “gentlemen” or “ladies”?

	Yes	No
Total #		
Percent	%	%

**Officer** Do you address inmates by their last names preceded by the appropriate Mr. or Ms. or collectively as “gentlemen” or “ladies”?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

**Inmate** Do housing officers address inmates by their last names preceded by the appropriate Mr. or Ms. or collectively as “gentlemen” or “ladies”?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

Recommendation/Action \_\_\_\_\_

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**7-D. Maximum Supervision During Initial Hours of Confinement**

**(7-D-1)** Inmate booking and admission units provide for continuous observation of inmates during initial 72 hours of confinement.

**Admin** Do the inmate booking and admission units provide for continuous observation of inmates during initial 72 hours of confinement?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

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**(7-D-2)** Adequate cell capacity exists to hold inmates under constant observation during the first 8 hours of confinement.

**Admin** Does adequate cell capacity exist to hold inmates under constant observation during the first 8 hours of confinement?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(7-D-3)** Intake units have counselors available to talk to inmates.

**Admin** Do the intake units have counselors available to talk to inmates?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(7-D-4)** Classification occurs within the first 72 hours.

**Admin** Do inmates receive an initial classification within the first 72 hours?

	Yes	No
Total #		
Percent	%	%

**Document** Policy and procedure states that classification occurs within the first 72 hours.

yes    no  
   

Recommendation/Action \_\_\_\_\_

**8. JUSTICE AND FAIRNESS**

**8-A. Mission and Public Policy**

**(8-A-1)** There is a mission statement that reflects the facility will be operated justly and fairly.

**Document** There is a mission statement that reflects that the facility will be operated justly and fairly.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

**8-B. Consistent Root Cause of Collective Violence**

**(8-B-1)** Inmates believe that the facility treats them justly and fairly.

**Officer** Do most of the inmates on your unit believe that the facility treats them fairly and justly?

	Yes	No
Total #		
Percent	%	%

**Inmate** Do you believe you are being treated fairly and justly on this unit?

	never	rarely	sometimes	often	always
Total #					
Percent	%	%	%	%	%

Recommendation/Action \_\_\_\_\_

**(8-B-4)** Administration reviews all disciplinary actions, grievances and classification assignments to insure that all inmates are treated fairly.

**Admin** Are administrative reviews conducted on all disciplinary actions, grievances and classification assignments to insure that all inmates are being treated equally?

	Yes	No
Total #		
Percent	%	%

**Document** Policy and procedure states that administration reviews all disciplinary actions, grievances, and classification assignments to insure that all inmates are being treated equally.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

**(8-B-5)** Hearings are prompt.

**Document** Policy and procedure states that inmate disciplinary hearings are prompt.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

**8-D. Formal Administrative Remedy (Grievance) and Disciplinary System**

**(8-D-1)** Administration promulgates a formal administrative remedy (grievance) procedure for inmates.

**Admin** Does the facility have a formal administrative remedy policy for inmates (grievance procedure)?

	Yes	No
Total #		
Percent	%	%

**Document** Policy and procedure states that there is a formal administrative remedy policy for inmates.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

**(8-D-2)** Administration establishes formal disciplinary policy and procedures for inmates.

**Admin** Does the facility have formal disciplinary policy and procedures for inmates?

	Yes	No
Total #		
Percent	%	%

**Document** Policy and procedure states that there is a formal disciplinary policy for inmates.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_

**(8-D-3)** Trained staff conduct disciplinary hearings.

**Admin** Do trained staff conduct hearings?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

**(8-D-4)** There is a formal review process for grievance and disciplinary hearing findings.

**Admin** Is there a formal review process for grievance and disciplinary hearing findings?

	Yes	No
Total #		
Percent	%	%

**Document** Policy and procedure states that there is a formal review process for grievance and disciplinary hearing findings.

**yes**    **no**  
   

Recommendation/Action \_\_\_\_\_



**(8-D-5)** Inmates are aware of their administrative options.

**Officer** Are most of the inmates on your unit aware of the administrative remedy options?

	Yes	No
Total #		
Percent	%	%

**Inmate** Are you aware of your grievance options and how to appeal a disciplinary action?

	Yes	No
Total #		
Percent	%	%

**Document** The inmate handbook informs inmates of their administrative options.

yes    no  
   

**Document** Policy and procedure states that inmates have and are made aware of their administrative options.

yes    no  
   

Recommendation/Action \_\_\_\_\_

**(8-D-6)** There are no reprisals for instituting the administrative grievance or disciplinary appeal process.

**Officer** Do inmates on your unit ever receive reprisals for submitting an administrative grievance?

	Yes	No
Total #		
Percent	%	%

**Inmate** Do you know inmates on this unit who have been punished for filing a grievance?

	Yes	No
Total #		
Percent	%	%

Recommendation/Action \_\_\_\_\_

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