

IN THE UNITED STATES DISTRICT COURT
FOR THE MIDDLE DISTRICT OF ALABAMA, NORTHERN DIVISION

UNITED STATES OF AMERICA,	)	
	)	
PLAINTIFF,	)	
	)	
v.	)	Civil No. 02:15cv368-MHT
	)	
THE STATE OF ALABAMA AND THE	)	
ALABAMA DEPARTMENT OF	)	
CORRECTIONS,	)	
	)	
DEFENDANTS	)	

Monitor’s Second Compliance Report

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Introduction

The State of Alabama and the United States Department of Justice entered into a settlement agreement on May 28, 2015. The agreement involves a comprehensive set of provisions regarding the safety and security of the female offenders housed at the Tutwiler Prison for Women (Tutwiler). The purpose for the compliance report is to document the progress of the actions of the Alabama Department of Correction (ADOC) and Tutwiler in response to the specific requirements of the provisions in the settlement. This is the second required court report, due August 28, 2016.

The parties agreed on the selection of Jennie Lancaster as an objective settlement monitor to evaluate the ADOC and Tutwiler level of compliance with the requirements detailed in the settlement. The monitor began her responsibilities on September 17, 2015. The court has the resume of Ms. Lancaster and her 36 years of experience in the North Carolina Department of Correction.

This report will describe the actions taken by the monitor to determine compliance, as required by the settlement. The period of evaluation is January 1 – June 24, 2016. The settlement uses four (4) levels of measurements for compliance: Substantial Compliance, Partial Compliance, Non-Compliance and Not Applicable (N/A). The settlement definitions for these terms are included in the compliance summary section of this report, along with a chart summarizing the compliance status with each provision.

Specific Actions to Evaluate Compliance

Specific actions taken by the monitor to evaluate compliance were as follows:

- 1) The monitor conducted a compliance visit with the Alabama Department of Correction (ADOC) and Tutwiler from June 20-24, 2016. The monitor

conducted 14 interviews with ADOC staff, including top leadership and section managers, who have responsibilities related to the ADOC and Tutwiler compliance with the settlement. The monitor conducted 14 interviews at Tutwiler, including top leadership, staff with specific settlement responsibilities and the Institutional PREA Compliance Manager (IPCM). In addition, the monitor conducted the following group/individual interviews:

- a. Four staff focus groups, 4 employees per group, from the A and B 12 hour shift rotations. These staff were diverse in gender and race. The monitor randomly selected these staff from daily rosters.
 - b. Two shift commanders, a Lieutenant and a Sergeant, randomly selected by the monitor.
 - c. One inmate focus group with 12 inmates, randomly selected by the monitor from various housing units at Tutwiler.
 - d. Five individual inmate interviews , selected by the monitor.
- 2) The monitor reviewed 128 individual and sets of documents during this reporting period. These documents included ADOC and Tutwiler draft policy reviews, inmate classification and inmate polling drafts, sent by ADOC, and documents requested by the monitor. The monitor requested documents prior to the compliance visit to prepare for staff interviews. After the visit, the monitor requested data, documents and forms as a result of the interviews and tours. The monitor uses all of the documents to substantiate and access the progress of the work and actions taken by ADOC and Tutwiler in response to the requirements of each section of the settlement

- 3) The monitor received 24 inmate letters during this reporting period. Tutwiler posted a notice, throughout the facility, with a correspondence address for the monitor . The monitor responded confidentially to each letter and scanned copies of the inmate letters, to ADOC and DOJ.
- 4) The monitor participated in several conference calls with ADOC and DOJ. In addition, the monitor had numerous phone calls with Deputy Commissioner Williams during this reporting period.
- 5) The monitor contacted ADOC on occasion, to request investigative summaries, regarding questions in either inmate correspondence received or inmate grievances reviewed by the monitor. ADOC provided timely and thorough responses for each request.

Monitoring Tool

The parties agreed on a "monitoring tool" format for each of the provisions and their subsections. The front page of each provision in the tool includes both the specific requirements for that section and the dates for ADOC compliance. The settlement provides, for most requirements, that: ADOC create a policy; the staff is trained in that policy; and the policy is implemented in the regular activities at Tutwiler and the ADOC. Specifically, an approved ADOC policy must first be published for operational practice in a facility. At Tutwiler, the facility will develop a written "Standard Operating Procedure" (SOP) to apply ADOC policy and to direct specific operational practices at the prison. The second step is to train all staff subject to the policy and SOP using an approved training

curriculum. The third step is to then implement these policies and SOP's in the actual practice of the directives at the facility.

The monitor evaluates each section and its specific requirements through the interviews, total documents reviewed, tour of the facility areas, visit observations (orientation, camera room operations), communication with the parties through calls and emails, and a review of the first court report. The monitor documents her findings for each section in the box "Monitors Discussion " in the report and chooses the compliance rating appropriate, via her assessment. The monitor was required to, and did, establish the "Measures of Compliance" for each provision in the monitoring tool prior to the compliance visit. The monitor identified the documents and interviews to be used to assess compliance on the visit and listed them in this box. ADOC responded to these requests by submission of the documents prior to the visit, and setting the agenda for interviews during the visit.

Executive Summary

Intent of the Report

This report is to inform the court and the parties of the monitor's assessment of the current progress and status of the ADOC and Tutwiler compliance with the settlement provisions and requirements. The monitor provides detailed feedback for ADOC and Tutwiler in each section. The monitor includes a number of recommendations in most of the report sections for ADOC and Tutwiler actions over the next reporting period.

The monitor completed this report through the following actions:

- 1) Examining the settlement agreement, its provisions and the specific requirements listed in the monitoring tool.

- 2) Requesting and examining specific documents to identify and assess the extent of the ADOC and Tutwiler actions in response to the agreement requirements. Examples include: staff rosters for training; staff reports and spreadsheets to document actions; inmate grievances; training curricula; and policies and standard operating procedures from Tutwiler.
- 3) Selecting specific ADOC and Tutwiler staff for compliance interviews based on the individual's overall and direct responsibilities for settlement implementation.
- 4) Conducting focus groups with randomly selected staff and inmates to obtain feedback and perspective on Tutwiler activities and practices related to the settlement terms and requirements.
- 5) Reviewing any letters submitted confidentially to the monitor from inmates or staff. The monitor has received twenty-four (24) letters from inmates and has taken action, as believed appropriate, in response to each.
- 6) Using routine communication with the parties to ask for more information or clarification regarding the settlement, its terms and requirements.

Alabama Department of Correction: Progress, Strengths and Challenges

Progress

The monitor observed steady progress by ADOC and Tutwiler during this reporting period. There are several highlights of this progress.

- 1) The previous court report documented the extension granted to ADOC for completion of the required PREA training for all Tutwiler staff, contractors, and volunteers. In addition, all staff were required to complete training on the

"Gender Responsive Principles" by February 28, 2016. The monitor saw the documentation for all of the required training, and it was completed on time. In addition, the monitor read all of the staff anonymous "evaluations" of their training experience. These evaluations were positive in both the content and awareness of the relevance of the PREA training to their daily duties.

- 2) This reporting period required the ADOC to revise or create new policies for Tutwiler "Standard Operation Procedures" (SOP). The monitor and DOJ reviewed a total of 63 out of 65 draft policies and provided comment to ADOC. These comments were considered in the final published policies. The remaining two policies are directly related to the required new gender based classification policy, reviewed by the monitor and DOJ. There was a significant delay in ADOC receiving the comments about the classification plan. These two policies are gender based discipline and segregation procedures. The basic revised PREA policies and procedures were finalized and implemented at Tutwiler during this reporting period.
- 3) The monitor observed an awareness of PREA policy and procedures by Tutwiler staff and inmates. The monitor documents these observations throughout the audit report.
- 4) The monitor observed an increased awareness of their PREA and settlement responsibilities by ADOC section managers. These observations included the review of documents and the individual interviews conducted during the visit.
- 5) The monitor discussed her observations of ADOC challenges with the current population numbers of inmates at Tutwiler with Commissioner Dunn. The

Commissioner shared some of the actions he had initiated to address this issue. The monitor and DOJ have been informed that some of these actions have been initiated in July and August 2016 and are having positive impacts at Tutwiler. The monitor commends the leadership and advocacy of the ADOC commissioner, that continues to support the successful implementation of the settlement agreement.

- 6) Tutwiler completed their first required PREA audit successfully in May 2016. An independent certified PREA auditor completed the audit, and the audit is documented in the monitors report. The audit is available on the ADOC website.
- 7) The first court report found ADOC and Tutwiler in "substantial compliance " in 12 sections of the audit report. The monitor has found ADOC and Tutwiler in "substantial compliance " in a total of 37 sections of the agreement in this second report. There is a compliance chart attachment for this narrative summary. The monitor notes that her findings of "substantial compliance " are specific to her observations and findings of fact regarding the ADOC and Tutwiler compliance with the requirements of the various sections. The monitor understands these compliance responses, required by ADOC and Tutwiler, reflect a "continuum " of staff actions that will be evaluated in each court report. The monitor expects that these practices can and should be enhanced and revised according to the actual experience of ADOC and Tutwiler and the future observations by the monitor. The definitions for compliance are addressed in this summary.

Alabama Strengths

Alabama has a strong foundation for continued progress in reaching all of the goals outlined and compliance terms required in the settlement agreement.

Leadership from the Alabama Department of Correction

The monitor observed that Commissioner Dunn continues to provide the agency leadership for his staff and Tutwiler, for a successful continued implementation of the settlement agreement. The monitor worked very closely with Deputy Commissioner Williams through this reporting period. Dr. Williams communicated regularly with the monitor regarding any events occurring at Tutwiler of note in the settlement requirements. Dr. Williams sought suggestions from the monitor on a variety of issues operationally at Tutwiler. The monitor commends Dr. Williams for her consistent directions, actions taken and support given to the warden and staff at Tutwiler. She is the pivotal leader for ADOC in managing their settlement compliance. In addition, in the interviews with ADOC managers, the monitor found a working knowledge of their PREA and settlement related responsibilities

Tutwiler Leadership

The monitor continued to observe outstanding leadership by Warden Barrett and his executive team at Tutwiler during this reporting period. The institutional PREA compliance manager, Lieutenant Young, performed her responsibilities consistently and documented all of her required responsibilities. The Tutwiler leadership team actions are well documented throughout the audit report.

It is noted that Warden Barrett retired on July 1, 2016. It was clear to the monitor that warden Barrett worked closely with Warden II Wright over several months of planned transition, by Dr. Williams and the warden, to prepare her for the role as interim warden.

Warden Wright participated fully and knowledgeably in the "warden interviews" during the visit. The monitor has confidence in Warden Wright and her leadership at Tutwiler for staff and inmates as they continue to follow and implement the settlement.

In this visit, the monitor observed, again, the dedication of the working staff at Tutwiler to follow PREA policies, in spite of challenging staffing issues, such as the number of vacancies.

ADOC Consultants

The ADOC and Tutwiler continued to use their consultants in several specific areas of expertise for this reporting period. Specifically, expert consultants participated with ADOC in the development of the gender based classification plan, the draft staffing analysis, the inmate polling/survey process, data collection and the gender responsive review of draft policies.

ADOC Strategic Planning Committee

ADOC continued to meet and use the Strategic Planning committee to review and guide their efforts for creating sustainability models/practices/tools for their operations, future plans and mission for female offenders in Alabama.

Tutwiler Culture

The monitor noted the positive culture for change existing at Tutwiler in the last report. This culture continues at Tutwiler, in general, amid the staffing challenges and the

pending retirement of Warden Barrett. The staff and inmates respect the PREA policy and practices and are knowledgeable. The inmates "trust" that leadership will act in their behalf if a PREA incident occurs. The monitor discussed the "transition" time at Tutwiler as a result of the retirement of the warden. It can bring anxiety for both staff and inmates, in the experience of the monitor. This is natural response with a strong respected leader like Warden Barrett, leaving the facility. The monitor recommended that interim warden Wright meet frequently with staff and inmates over the first several months.

Alabama Challenges

Tutwiler Facility

The monitor continues to note the restrictions that the aging current prison presents for leadership. Specifically, the space for programs, medical and mental health spaces, housing options, and the day room areas are limited by the old design. The monitor notes that the governor and ADOC presented a comprehensive construction package of prison building reforms, "The Alabama Prison Transformation Initiative" in the last legislative session. This bond package provided for the building of new large male prisons and a new prison for women, replacing Tutwiler. The monitor was informed by Commissioner Dunn that the governor and ADOC will re-introduce a modified bond package for three new large male prisons and the new prison for women in the early 2017 legislative session. The commissioner is a strong advocate for the positive system changes these prisons will make for ADOC.

Population Capacity

The monitor notes that the chronic problems with the actual planned prison capacity at Tutwiler and their average population numbers are a continued problem. The current population numbers are almost double their rated capacity, on a daily basis. The future plans, and settlement requirement, for a gender based classification system at Tutwiler will be impacted by the population issues at Tutwiler. Specifically, the plan will require various housing options for separating groups of inmates, via the classification review, that will be difficult to maintain as bed space must be allocated according new admission requirements. In addition, the classification system will prescribe a number of program offerings that should be available for the inmates, based on a needs assessment. The current program available space is limited. The monitor discussed these issues during the visit and with Commissioner Dunn.

It is noted that the population numbers at Tutwiler have decreased significantly in July and August 2016 due to a parole review currently underway. Dr. Williams has been updating the monitor and DOJ about this reduction as it occurs. The bed vacancies occurring as a result of these actions can provide more options for Tutwiler in housing and staffing deployments.

Staffing Challenges

The monitor notes that the current and chronic levels of staff vacancies are the most significant level of concern for ADOC and Tutwiler. The monitor noted the problem with a daily vacancy level of almost 50% of authorized positions in the first court report. This problem has continued and the monitor discusses its impacts specifically in III. C. 1 and

C.2 in the audit report. Two significant events have occurred during this reporting period regarding staffing :

- 1) The settlement required a professional staffing analysis during this reporting period, C.2, and for a plan to be presented to ADOC and Tutwiler. The monitor discusses this analysis and draft plan in detail in III. C.2 in the report. The draft analysis and plan received extensive comments from DOJ and the monitor. These comments and questions were given to the expert consultants, who conducted the analysis, and the parties continue in consultation over a final draft.

The analysis noted the vacancy problem as a significant issue that impacted the ability to provide a comprehensive draft plan. The consultants recommended several initial actions for ADOC to take at Tutwiler regarding a review of the shift schedules and deployment of staff in different alignments.

The monitor will review the final draft of the staffing plan and provide feedback to ADOC about any recommended actions to take during the reporting period. This is a very essential component of the settlement and Tutwiler safe and secure operations. The monitor has recommended that this process of review and actions be deliberate and interactive between the parties and the monitor

- 2) Tutwiler leadership implemented a "mandatory overtime " policy during the last months of this reporting period, to address the critical vacancies and the problem with "calls outs" (staff not reporting to duty) occurring frequently.

This policy has caused stress and concern among the officers interviewed by the monitor during the visit. The monitor discusses this issue in detail in III.C.1 in the audit report.

The monitor discussed these chronic issues with the Commissioner. The monitor suggested that ADOC review every available method of enhancing hiring and retention at Tutwiler, even though it is noted that ADOC has continued to use its resources in addressing this chronic issue statewide in its prisons. The monitor recommended the development of a formal staffing survey that may provide ideas for Tutwiler. ADOC must continue to work with its consultant team to address these staffing issues in the next reporting period.

The monitor notes that the implementation of the required data collection process has begun with ADOC and Tutwiler. The ADOC will share this data with the monitor and its consultants as it becomes available.

Staff Concerns

The monitor recognized a continued problem and complaint from inmates regarding staff use of unprofessional language. These complaints involve a small number of staff and are not sexual in nature. The monitor discussed this issue in the report and also during the visit with Tutwiler leadership. ADOC is aware of these issues and takes action appropriately when the staff actions are confirmed. ADOC is planning specific staff training and interventions for these issues for the next reporting period.

Logistics

Compliance Visit

The monitor conducted a compliance visit on June 20-24, 2016. The purpose of this visit was for the monitor to acquire information and observations that will inform the second court compliance report. Specifically:

1. The monitor interviewed 14 ADOC top leadership, section/division directors and staff responsible for specific settlement functions. The monitor interviewed 14 staff at Tutwiler, including the wardens, executive leadership staff and staff responsible for specific settlement functions..
2. The monitor randomly selected officers as participants in 4 staff focus groups. The staff were from both the A and B, 12 hour shift rotations, day and night shift. These groups of 4 staff per group, were diverse in race and gender. The monitor used the same set of discussion questions for each group. In general, the monitor asked about their awareness of the PREA reporting structure, investigations, the inmate grievance system and their recent PREA and gender responsive training, occurring this reporting period. The staff groups were all interested in discussing several issues regarding the use of mandatory overtime scheduling . The monitor discussed their concerns with the executive leadership group during the week. These concerns are addressed in the ADOC challenges section of this report. The staff made a few suggestions that the monitor shared with the leadership about scheduling overtime work.
3. The monitor selected a Lieutenant and a Sergeant as shift commanders for a group interview. The monitor asked questions about PREA responsibilities for shift

commanders, concerns about staff vacancies and the process of training and orientation for new policies for officers in their shift. They made several constructive suggestions.

4. The monitor randomly selected 12 inmates, from various housing dorms, for a focus group. The monitor used a set of questions regarding their knowledge of PREA policies, reporting of allegations, the grievance system, staff /inmate professional relationships, and the availability of reporting allegations through various phone lines. The inmates discussed incidents they observed of unprofessional conduct, their use of the grievance system and their overall feeling of safety at Tutwiler. Their responses are documented in the monitor discussion in various sections of the audit report. The monitor debriefed this group discussion with the executive leadership group.
5. The monitor selected 5 individual inmates for interviews. These inmates had corresponded with the monitor during the reporting period , in letters. The monitor talked with the psychologist providing treatment for one of the inmates , prior to seeing the inmate. The monitor reported any concerns/questions from these interviews to the executive team.
6. The monitor observed the video operations in the camera room and discussed the operations with Sgt. Hartman and the operator on duty.
7. The monitor observed inmate orientation, specifically the PREA and Grievance presentations, by Lt. Young and Lt. Coleman.
8. The monitor toured the renovated housing trailer for a youthful offender.
9. The monitor visited the two dorms at the annex and talked with inmates and staff.

10. The monitor visited dorm A and had a discussion with a large group of new admission inmates.
11. The monitor visited/interviewed all of the death row inmates. The monitor discussed their individual awareness of the PREA policy, how to report allegations, and the use of the grievance system.
12. The monitor visited the segregation unit and talked with all of the inmates housed there.
13. The monitor walked through the main institution and annex.
14. The monitor conducted an exit meeting with the executive leadership group, regarding the results of the visit and the period of transition they were facing over the next few months.

In addition to the interviews and the physical visit to Tutwiler, the monitor reviewed a total of 128 documents (including sets of similar reports). The monitor showed various documents to staff during the interviews, for their authentication and comment. These documents included :

1. Draft Documents sent by ADOC to the monitor and DOJ, during this reporting period, for their review and comment.
2. The monitor requested a number of documents prior to the compliance visit for use in staff interviews, and these were listed in the "Measures of Compliance" box in the audit tool for each section.
3. Documents requested by the monitor as a result of her review of the 24 inmate letters received during the reporting period and the 44 monthly grievances received by the monitor.

The monitor reviewed most of these documents prior to her visit, and reviewed some documents on-site during the visit.

There is an attachment to this report listing all of these documents. The monitor referred to specific documents for each set of requirements in the audit report, in the monitors' discussion of ADOC compliance with the section.

Compliance visit interviews

Alabama Department of Correction staff

- ADOC Commissioner Jefferson Dunn
- Deputy Commissioner for Women's Services, Dr. Wendy Williams
- Deputy Commissioner Matthew Brand, Training and Development
- Associate Commissioner Ruth Naglich, Health Services
- Region Health Director, Lynn Brown
- General Counsel, Anne Hill
- Personnel Director, Bill Lawley
- PREA Coordinator, Christy Vincent
- Recruiting Manager, Captain Mark Loman
- Chief Psychologist, Dr. David Tytell
- Investigations and Intelligence Director, Arnaldo Mercado
- Investigator, Kelley Smith
- Grievance Coordinator, Tamara Jackson

Tutwiler Prison for Women staff

- Warden III Bobby Barrett
- Warden II Deidra Wright
- Captain LaGreta McClain, PREA Settlement Manager
- Lieutenant Yvette Young, Institutional PREA Compliance Manager (IPCM)
- Lieutenant Brian Coleman, Grievance Coordinator
- MHM Mental Health Site Administrator, Ms. Greer
- MHM Mental Health Counselor (MHM is the contractor for mental health)
- Psychological Associate, Dr. Scott Holmes
- Camera Room Supervisor, Sergeant Hartman
- Classification Supervisor, Chitema Westry
- Corizon Site Administrator Love (Corizon-medical contractor)

Monitoring Tool

- 1) The Monitor sent the first draft report to both parties on July 25, 2016. The agreement allows for a two-week period of review by both parties. The monitor received comments from DOJ and ADOC by August 13, 2016. The monitor reviewed the comments of both parties, in each section, and took them into consideration in her final revisions to the report sections.
- 2) The monitor will submit the completed set of audit tools report, the narrative summary and attachments, to the court by August 26, 2016.

Summary of Compliance

"Compliance" is discussed throughout this Agreement in the following terms: substantial compliance, partial compliance, and non-compliance. "Substantial Compliance" indicates that ADOC and Tutwiler have achieved material compliance with most or all components of the relevant provision of the settlement agreement. "Partial Compliance" indicates that ADOC and Tutwiler have achieved material compliance on some of the components of the relevant provision of the settlement agreement, but significant work remains. "Noncompliance" indicates that ADOC and Tutwiler have not met most or all of the components of the relevant provision of the settlement agreement. "Material Compliance" requires that, for each provision, ADOC and Tutwiler have developed and implemented a policy incorporating the requirement, trained relevant personnel on the policy, and relevant personnel are complying with the requirement in actual practice.

Closing Observations

The monitor appreciates all of the cooperation she received from ADOC and Tutwiler this reporting period. The monitor has made numerous requests for documents or information and they were always received in a thorough and timely manner. The monitor sees continual progress by ADOC and Tutwiler and a continued passionate commitment to implement the settlement and simply to "do good business" which is a fundamental good correctional practice. The culture at Tutwiler reflects awareness of PREA policies, with the inmates respecting the accountability practices demonstrated by the leadership and staff, in general. The ADOC and Tutwiler attitude regarding these challenges is a "will do" attitude. This positive pro-active attitude is their biggest asset. The steadiness of leadership continuing at ADOC and Tutwiler now is important for continued success.

Attachment A:
List of Documents Used for Compliance Report

Monitor note: the monitor also used documents , not listed below, received / reviewed for the compilation of the first court report, filed February 28, 2016.

- Tutwiler Standard operating Procedures (SOP's)
 - o There is a separate attachment listing all of the ADOC and Tutwiler policies reviewed for this reporting period. During this reporting period , the monitor received and reviewed 63 new and revised SOP's for Tutwiler. The monitor reviewed the drafts, provided comments on each to ADOC and received the final ADOC published copies.
- Inmate Survey and Polling plan
- Tutwiler staffing updates for January-June
- Tutwiler " PREA Incident Review Committee" reports, January-June
- Inmate Survey Logistics plan
- Incident report, requested by monitor, for an April 4, 2016 incident
- Gender Responsive Classification policy (draft) and final plan
- ADOC Women's Services Classification Instruction Manual (draft)
- Summary of an investigation completed by Director Mercado for a March 2016 incident (includes letters, policy and witness statements)
- Monthly Grievances for January-June . Total 44.
- Corizon new Staff Orientation "On-boarding" training
- Corizon new employee orientation Manual
- MHM new staff training program/curriculum
- MHM PREA policy
- Tutwiler Risk Management spreadsheet, January-June
- Tutwiler Staffing Analysis and plan, draft
- New grievance form with carbon copies
- Tutwiler "PREA classification risk assessments" checklists
- Tutwiler "PREA classification risk re-assessments" checklists
- Tutwiler mental health treatment notes for initial PREA assessments
- Spreadsheets/logs for the classification checklists
- Dorm A inmate movement sheets

- ADOC written agreement with the Alabama Institute for the Deaf and Blind
- Communications log maintained by Lt. Young , regarding calls, emails, etc. with ADOC PREA coordinator Vincent
- ADOC written agreement with the Alabama Coalition Against Rape
- ADOC written agreement with the Alabama Department of Economic and Community Affairs (toll free confidential phone line available to the inmates)
- PREA hotline calls log, maintained by Lt. Young , January-June
- Tutwiler ADOC mental health referrals to MHM for PREA assessments
- Completed and published PREA audit, May 2016
- Bi-monthly PREA reports from Lt. Young to ADOC PREA Vincent
- Tutwiler classification section PREA checklists for managing the initial risk assessments
- Tutwiler staff disciplinaries: January-June
- Tutwiler spreadsheets documenting inmate disciplinary infractions , January-June
- Tutwiler Use of Force reports, April, May, 2016
- Tutwiler shift dorm assignment logs , A and B rotations April 26, 2016. (Date selected by the monitor)
- Tutwiler camera room surveillance logs, January-June
- Tutwiler annual assessment of the camera operations
- Tutwiler duty post(dorm) logs for A and B staff rotations in all housing areas for March 20 and April 26, 2016
- Correctional Officer trainee (COT), "Physical Fitness training "assessments/ reports, January-June
- Tutwiler shift duty rosters(noting overtime staff) for February-April, 2016
- Training rosters/curricula for Lt. Young in January-June
- Training evaluations from all Tutwiler staff attending the required PREA (8-12) and -Gender Responsive training
- Tutwiler contract with for private security transport of inmates off site activity
- ADOC reports for the staff physical fitness exams results, from the academy, for January-June , broken down by gender
- ADOC certification letter for the completion of all required staff PREA / gender responsive training
- The phone log of calls received from ADECA toll free line for inmates , April-June, 2016

- Tutwiler quarterly inmate education session attendance
- Tutwiler "pre-hearing segregation" log, maintained by Lt. Young and Lt. Coleman
- Inmate polling protocol
- Tutwiler "inmate on inmate harassment" allegation investigations, completed by Lt. Young, January-June
- ADOC written response to four issues raised during the PREA audit
- Inmate correspondence received by the monitor , in the reporting period. There were 24 letters
- ADOC response to monitor questions regarding a few responses made to the PREA audit. ADOC provided the information .
- Summary memo from Deputy Commissioner Brand
- The 8 PREA investigations, completed by ADOC I+I, from January-June 2016
- Tutwiler list of approved overtime employees
- Tutwiler ADOC and MHM mental health staff meetings minutes -January-June
- Information documents, used by Dr. Holmes, to assist in identifying victims or predators in PREA assessments
- Memos to shift commanders. From Captain McClain, regarding the staff training /orientation schedule for the newly published SOP's
- Resume information on the expert consultants used by ADOC and Tutwiler , January-June
- PREA Training documentation for the private transport security staff
- Training documentation for all Tutwiler staff , contractors , Volunteers, overtime staff in SOP 8-12, PREA policy and Gender Responsive principles
- Updated new /revised SOP spreadsheet for the training and implementation schedule for Tutwiler
- Medical Summary from Ms. Love, on the management of a hearing impaired inmate , who had a malfunctioning hearing aid, on admission
- Dorm A workgroup meeting minutes for this reporting period
- Curriculum for the specialized "investigator " training , occurring for ADOC I+I in July 2016

Attachment B:
List of Standard Operating Procedures

SOP	TITLE
1-1	Mission
4-1	Warden III
4-2	Warden II & Warden I
4-3	Captains
4-4	Lieutenants & Sergeants - Shift Commanders
4-5	Officers & Trainees
5-00	Dormitory Security SOP
5-01	Dormitory A Post Order
5-02	Dormitory B Post Order
5-03	Dormitory C Post Order
5-04	Dormitory D Post Order (Health Care Unit)
5-05	Dormitory F Post Order
5-06	Dormitory G & J Post Order
5-07	Dormitory I Post Order
5-08	Dormitory K&M Post Order (Death Row)
5-09	Dormitory L Post Order (Segregation Unit)
5-10	Dormitory H Post Order (Mental Health Unit)
5-11	Dormitory N & O Post Order (Annex)
5-12	Annex Backgate Post Order
5-14	Tutwiler Backgate Post Order
5-18	Sewing Factory Post Order
5-20	Trade School Security Post Order
5-21	Kitchen Security Post Order
5-22	Laundry Post Order
5-23	Gender Specific Posts
6-2	Referrals to Mental Health Services
6-4	Reception Mental Health Screening
6-6	Crisis Intervention
6-9	Mental Health Watch Procedures
6-11	Closed Residential Treatment Unit
6-12	Mental Health Unit Dormitory H Stabilization
7-3	Institutional Security, Sanitation, & Safety Inspections
7-7	Searches
7-8	Use of Force
7-9	Inmate Count Procedures
7-10	Emergency Medical Treatment
7-12	Evacuation of Inmates in Specialized Housing
7-14	Inmate Pregnancy
7-17	Security Threat Groups

SOP	TITLE
7-19	Inmate Visitation Privileges
7-20	AIM Visitation Criteria
7-29	Staff / Inmate Relationships
8-1	Reception and Orientation: Receiving Rules
8-3	Inmate Transport
8-5	Controlled Movement
8-12	Inmate Sexual Abuse and Harassment
8-13	Inmate Control Systems
8-14	Inmate Personal Property
8-17	Inmate Photographs
8-18	Inmate Drug Screening
8-19	Youthful Inmates
8-22	Inmate Grievance Procedures
8-23	Administrative Segregation
8-24	Disciplinary Segregation
8-27	Hygiene Item Issuance
8-28	Death Row
8-29	LGBTI Inmate Population
8-30	Gender Responsive Discipline and Sanctions
8-31	Hair Grooming
9-5	Overtime / Mandatory Overtime
9-6	Staffing Plan
9-7	Private Transportation Security Agents
9-9	Employee Standards of Conduct & Discipline
9-16	Institutional PREA Compliance Manager
11-1	Data Collection and Quality Improvement

Attachment C:
Summary of Compliance