

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

UNITED STATES OF AMERICA,)
)
 PLAINTIFF,)
)
 v.)
)
 THE STATE OF ALABAMA AND THE)
 ALABAMA DEPARTMENT OF)
 CORRECTIONS,)
)
 DEFENDANTS)

Civil No. 02:15cv368-MHT

Monitor's First 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. Specifically, 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. The first court report is due February 28, 2016 and then every six months after the initial report is filed.

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 May 28 - December 4, 2015. 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 and parties met with Judge Myron Thompson on September 29, 2015.
- 2) Monitor conducted a baseline visit/tour from September 28 to October 1, 2015. This visit included informal interviews with ADOC and Tutwiler staff. The monitor toured the entire Tutwiler facility on September 29 and 30, 2015. Details of these visits are included in the Logistics section of this report.
- 3) Monitor conducted an official compliance visit from November 30 to December 4, 2015. The monitor conducted 28 individual interviews of ADOC and Tutwiler staff who have specific responsibilities related to ADOC and Tutwiler compliance with the settlement. The monitor also conducted four (4) staff focus groups and one (1) inmate focus group of individuals randomly selected by the monitor at Tutwiler that week. The monitor observed two sessions of inmate orientation and the operations of the camera room. Details of these visits and observations are included in the Logistics section of the report.
- 4) The monitor requested and reviewed approximately 77 different sets and/or types of ADOC and Tutwiler policies and documents after the baseline visit in advance of, and in preparation for the ADOC and Tutwiler compliance interviews and the tours. The monitor requested and reviewed more documents during the visit. Additionally, the monitor requested 20 additional documents (sets) after the completion of the compliance visit. All of these documents were used to inform the monitor's ratings for compliance, as well

as information learned during the interviews and observations made during the tours.

- 5) The monitor has had multiple discussions with ADOC, the United States Department of Justice, and the leadership for Tutwiler concerning the settlement provisions and compliance requirements.

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 attached monitoring tool report is the set of documents detailing specific actions taken by ADOC and Tutwiler and the extent of their compliance with the requirements of each provision. For each set of requirements, there are six separate areas (boxes) for the monitor to complete. The monitor has one box to discuss "The Steps Taken by ADOC and Tutwiler Towards Implementation", and a separate box to discuss the "Extent to which ADOC and Tutwiler have Complied with the Agreement". The

monitor uses the interviews, review of documents, and on-site observations to form the discussions.

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 completed this initial 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 five (5) 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

ADOC and Tutwiler have made steady progress since the effective date of the settlement agreement, May 28, 2015. Further, information received and reviewed reflects positive actions taken by ADOC in 2014, prior to the settlement, to address the Prison Rape Elimination Act (PREA) standards in training, policy development and to address concerns regarding sexual safety at Tutwiler, some of which are required to be continued by the settlement terms.

The settlement has a number of sections, lettered A-M, with each containing specific sub-sections, citing requirements for ADOC and Tutwiler to address in order to achieve substantial compliance by the listed date. The assessment period for this first compliance report is May 28 - December 4, 2015. The monitor applied the terms and definitions for compliance as listed in the agreement. The chart listing the compliance ratings for each section/sub-section is on page 21 of this report.

The monitor notes that ADOC requested a 3-month extension for the compliance dates for Section A.1-5 and Section D. 1-5, and the monitor granted both extensions. The extensions are noted on the Compliance Chart. ADOC and Tutwiler are in the process of reviewing and revising the PREA policy and numerous SOP's at Tutwiler, and are revising the training curriculum to include the finalized policy. The SOP's are being reviewed in view of gender responsive principles, required in the settlement.

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.

Executive leadership from Governor Robert Bentley.

The governor has publicly committed to compliance with PREA and the settlement agreement, and has responded to the challenges identified and affecting the ADOC and Tutwiler by retaining expert national resources, The Moss Group, Inc., for managing PREA compliance. The contract with The Moss Group was initiated in March, 2014 and renewed in September, 2015. The Moss Group and its role will be discussed in more detail below. The governor's public commitment to compliance is a great asset to ADOC leadership in accomplishing the culture change needed to achieve compliance with PREA and the settlement agreement.

Governor Bentley has expressed commitment for the construction of a new facility to house female inmates; specifically, in his State of the State address he declared that "...by constructing a brand new female prison facility, the State of Alabama will permanently slam the door on Tutwiler Prison for Women." It is apparent to the monitor that a new prison for the female inmates is an obvious, current necessity for planning in

Alabama. The projected timeline for a new facility is lengthy and contains several critical milestones. It is expected that it will take 3-4 years to eventually have a new prison for women. ADOC will remain focused on the settlement agreement; it's requirements, timetables, and all the necessary actions to achieve full compliance with the agreement.

Alabama Department of Correction

The monitor is impressed with the knowledge, professionalism and energy in the top leadership of ADOC. Commissioner Jefferson S. Dunn has committed to providing all of the agency resources and staff necessary to comply with the settlement, and to take the management of women's services to a level of national recognition.

ADOC made a critical and timely decision in April, 2014 to create the position of Deputy Commissioner for Women's Services on the executive team. Dr. Wendy Williams was selected for this position and she is providing outstanding leadership to ADOC, Tutwiler and the other female facilities.

The monitor interviewed 15 members of the ADOC top administration and found them knowledgeable of their roles regarding the settlement implementation and committed to the successful implementation of the settlement.

Tutwiler Prison for Women

The monitor met the Tutwiler leadership team, which was assembled mid-2014, during the baseline visit in September, 2015. The primary purpose of the leadership staff is to provide a safe and secure environment for the staff, inmates and general public. The monitor was impressed with Warden Bobby Barrett and his strong leadership that directs the facility's efforts to comply with the agreement. Additionally, he has a strong

executive team, which includes two assistant wardens, Gwendolyn Tarrance and Deidra Wright, Captain LaGreta McClain, and Lieutenant Yvette Young. The monitoring tool report mentions these individuals frequently, as they have significant responsibilities at Tutwiler for PREA compliance and training, and adherence to the terms in the settlement affecting daily operations. This team is positive, energetic, and knowledgeable. Importantly, they "believe" in what they are doing and this helps set a positive tone with staff and inmates. Additionally, based on experienced observation and information provided by inmates, Warden Barrett has a positive relationship with the Tutwiler inmates. Further, and critically important, the staff respects him.

The monitor notes for the court that in her experience the presence of a strong, positive and competent executive team is a critical stabilizing factor when a prison is subjected to the many institutional challenges that occur when it is involved in the level of change Tutwiler is and has been facing. The quality of leadership provided by the executive team is and will continue to be an important factor in the successful implementation of "change" necessary for compliance over the length of this agreement.

The Moss Group, Inc.

The monitor makes reference to actions by Moss Group consultants in various sections of the monitoring report. The ADOC executed a contract with the Moss Group, Inc. in March 2014 to provide support and technical assistance prior to the effective date of the settlement. The areas of expertise include training and policy development reflecting gender responsive principles, implementation of the PREA standards and strategic planning for women offenders. The contract continues in 2016.

Strategic Planning Committee

ADOC initiated a strategic planning process to provide the foundation for prioritization and implementation of a comprehensive, multi-year, gender responsive, strategic plan for the agency. It was designed to develop a plan that will integrate the work completed through the Bureau of Justice Assistance PREA grant that was received in 2014 and 2015, as well as the resources provided by The Moss Group, and the on-going work within ADOC women's services. Development of the settlement implementation plan (underway) and strategic planning for all of the ADOC women's services will:

- a) Articulate a vision and mission for gender responsiveness in ADOC, consistent with its mission.
- b) Include both agency-wide and individual facility strategies to implement and sustain goals.
- c) Address functional areas such as leadership, facility culture, assessment and classification, case management, programming, services, discipline and sanctions, sexual safety.
- d) Sequence strategies, training, resources and time frames - so the ultimate goal of sustainability is achieved and maintained.
- e) Address and prioritize all settlement agreement issues.
- f) Provide a detailed work plan to achieve each goal, including specific tasks, responsibilities, and timelines.
- g) Specify performance measures and a strategy for gathering information to inform those measures.

It is the monitor's strong opinion, and experience, that the development of a strategic plan, as described, is often a critical missing element in agency change related to managing women offenders. ADOC has established a pathway for sustainability in this process that can inform external stakeholders for support and resource allocation.

Alabama Challenges

Tutwiler prison facility challenges

The Tutwiler facility was opened in 1942 at a cost of \$350,000. It has remained the main prison for women in the state of Alabama. The original design had an operating capacity of 350 and the annex was rated at 128. Currently, the operational capacity is 700 for the main campus and 250 at the annex. It is noted that Tutwiler is at almost twice its designed capacity - every day.

The monitor observed a well-used, old physical plant, which has been occupied by scores of female inmates for years. It is evident that Tutwiler receives routine maintenance attention, and that crisis physical plant situations are handled, but the persistent problems inherent in old public facilities will continue.

The most difficult facility problems at Tutwiler are with crowded housing areas, minimal or sparse day room space in the dorms, minimal spaces for classes, recreation programs, activities, medical housing and treatment rooms for groups, etc. The crowded housing areas make the sight and sound supervision more challenging for the assigned officers. This is a safety and security issue. The monitor has experience with similar crowding at an older female prison that was eventually replaced with new structures. The implementation of the PREA standards at Tutwiler require routine staff supervision and

the monitor observed officers moving around the dorms, answering phones, checking bathrooms, interacting with inmates; however, it is a daily challenge.

Ideally, the state requires a facility with the ability to house together different populations such as new admissions, pregnant women, substance abuse treatment, kitchen workers, etc., and to separate inmates from each other due to behavior issues. It is a common dilemma that states that have one main facility have faced for receiving and housing the higher custody inmates. The new gender based classification system that is required in the settlement will address housing and programming and ADOC needs the ability to respond to the classification recommendations, including housing and programming. The classification expert, Dr. Pat Van Voorhis, started her plan development in January, 2016.

Staffing Challenges

The monitor reviewed staffing rosters, employee separations from Tutwiler, the use of overtime staff from other prisons and the vacancy rates they routinely have in their daily operations. ADOC and Tutwiler discussed their ongoing concerns about the rate of vacancies in security staffing, which average about 50% of the staffing pattern. The monitor requested a current daily census of the vacancies for this report. On February 16, there were 160 officer positions, with 74 occupied and 86 vacant. ADOC has addressed this critical issue in recruiting efforts, review of separations, and now in the APOSTC physical fitness standards in new recruit basic training. The monitor's discussions in Section III.C.1,2 of the agreement describe the ADOC efforts and the requirements of the settlement to conduct a staffing analysis, address the staffing pattern, physical standards and related information to the PREA standards guiding staffing a facility.

The staffing analysis, required in the settlement, began in January 2016. The monitor will review the results of this analysis once completed. ADOC will continue to work with the consultants who are conducting the analysis in developing a plan for implementation of any recommendations.

The chronic officer vacancy problem at Tutwiler affects operations. It also burdens the current staff as they perform their daily responsibilities and respond to various settlement requirements for implementation of PREA policies and procedures.

Data Analysis

There are settlement provisions that require the reporting of data. Overall, the monitor and all parties recognize the importance of data for analysis, where possible, in evaluating ADOC and Tutwiler compliance. The Deputy Commissioner for Women's services is actively working with ADOC Information Systems to provide electronic methods of collecting data. In the monitor's experience, it is important to electronically report work, program, and training data, share information between ADOC and Tutwiler entities, and to have the ability to collect data in a central ADOC location. ADOC has convened a working group to address the "Quality Improvement and Data Collection", as required in Section IV of the settlement. The identification of all settlement requirements for which electronic data collection would be beneficial, and the implementation of an electronic data collection system will be valuable to the assessment process and for future court reports.

Classification and Disciplinary Program Changes

The settlement requires the development of a gender responsive classification system for the women and a gender responsive discipline and sanctions policy. The work

has been initiated for the classification system. The development of both programs will utilize national expertise and models.

The revisions for a new classification system and, eventually, a new gender responsive disciplinary system will have significant impact, in the monitor's experience, directly in the female facilities and indirectly in the ADOC system as a whole. It is extremely important that the various stakeholders in ADOC be engaged as these processes are developed, and that they stay informed and involved in regular discussions with Deputy Commissioner Williams. There are housing and programming implications in a new classification system. There will be many questions that arise as a result of the revision of the discipline system. The Tutwiler staff will be the most impacted but other ADOC staff also will be impacted. Classification and disciplinary processes are fundamental processes in every prison system. These changes must be approached incrementally and it is critically important to successful implementation of changes that staff and stakeholders are appropriately informed and educated. The need for staff education is vital to successful implementation in the monitor's opinion and experience.

Logistics

Baseline Visit

The monitor began her work in mid-September, 2015. The parties arranged for a baseline visit/tour for the monitor from September 28 to October 1, 2015. The agenda included the following schedule:

- 1) September 28: Meeting in the Alabama Department of Corrections executive office.

Monitor met Commissioner Dunn, General Counsel Anne Hill, ADOC attorney Bart Harmon, Deputy Commissioner for Women's Services Dr. Wendy Williams, and

U.S. Department of Justice attorneys, Ms. Julie Abbate, Mr. Aaron Fleisher, and Ms. Andie Moss of The Moss Group. This group received a lengthy presentation from Dr. Williams on “Tutwiler’s Journey”. This was a very informative session for the monitor to review the pre-settlement actions and the settlement process that occurred in Alabama. The attorneys briefed the monitor on the settlement process and the various provisions of the settlement agreement.

- 2) September 29: The attorneys and the monitor met with Judge Myron Thompson. This was an informative dialogue between Judge Thompson and the monitor. After the court visit, the parties went to Tutwiler. The monitor was at Tutwiler on September 29 and 30th.
- 3) During the two days at Tutwiler the monitor’s visit included:
 - a) Touring the Tutwiler main campus housing and the annex. The main facility has 11 general housing areas, a mental health dorm, a medical dorm, a 15-cell segregation area and five (5) death row cells. The operational capacity for the main facility is 700. The annex houses inmates in a separate fenced area with several buildings. The annex has two (2) housing areas and one (1) multi-purpose building. A law library is at the annex. The operational capacity is 250.
 - b) Touring the kitchen, auditorium, medical infirmary, dental office, pharmacy area, the building for community college classes, chapel, control center, camera room, intake area, laundry and clothing storage, admissions gate, canteen storage, and various offices.
 - c) Meeting with Warden Barrett and his institution management team. The monitor met with Warden Barrett and his executive team, who are primarily responsible

for managing the settlement and PREA compliance. The monitor discussed her background and her role as a monitor and asked about the different responsibilities of the executive team.

- d) The monitor suggested meeting with a group of inmates to discuss her role and, thereby, increase the general inmate awareness of who she was and her role. Tutwiler suggested that the facility convene a meeting of “long term inmates” for the monitor and the monitor readily agreed. Tutwiler selected these inmates from among those with whom the warden meets occasionally and who have been at the facility for 8 years or longer. The monitor has a great deal of experience in her career working with long term female inmates and knows their ability to communicate broadly to other inmates within a female facility. The monitor notes that any subsequent inmate meetings will be selected solely by the monitor, through either random selection or selected for a specific purpose.
 - e) During the two days of walking around the entire facility, the monitor routinely talked with officers assigned to housing areas and to inmates in those dorms. These inmates either approached the monitor or the monitor went over to group areas.
- 4) On October 1, the monitor met with Dr. Williams in the ADOC Central Office to go over a number of draft policies that had been recently given to the monitor for her review.

Compliance Visit

The parties arranged the first compliance visit from November 30, 2015 to December 4, 2015. This purpose of this visit was for the monitor to conduct specific staff

interviews, selected by the monitor. During these interviews, the monitor showed documents to the staff members for their authentication and comment. Additionally, the monitor requested that she observe the operation of the camera room at Tutwiler, observe two sessions of the weekly inmate orientation program (PREA and Grievance system presentations), and conduct four staff focus groups and one inmate focus group, with members randomly selected by the monitor on the day of the groups.

1) In preparation for this visit, the monitor requested approximately 77 different documents (sets) from ADOC after the baseline visit. The monitor received the documents over the six-week period preceding the time of the visit. In addition to receiving them at her office, the monitor had all of these documents available to her at the Tutwiler facility. The monitor also received some documents during the course of the week during the compliance visit. The monitor made a request for approximately 20 additional documents (sets) after the compliance visit as a result of her interviews. These documents were received by mid-December. All of these documents and results of the interviews were used extensively in the preparation of the monitoring tool report. All of the documents are listed in the attachment and in all of the monitoring tool sections. They are listed in several places where they were used to evaluate the specific requirements for each individual provision. The documents used can be found in the following sections of the report:

- Monitor measures of compliance
- Steps taken by monitor to analyze conditions and access compliance
- Monitor discussion on steps taken by ADOC and Tutwiler towards implementation
- Monitor discussion on extent to which ADOC and Tutwiler have complied with agreement

See the attachment for a list of documents requested and reviewed by the monitor.

2) The monitor requested specific interviews during the compliance visits. Below is a list of all ADOC and Tutwiler staff, with their job classification, that were interviewed by the monitor during the week.

- September 30 and December 4, 2015 - ADOC staff interviews
 - Commissioner 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 Director, Christy Vincent
 - Assistant PREA Coordinator, Lieutenant TanyaArrington
 - Recruiting Manager, Captain Mark Loman
 - Chief Psychologist, Dr. David Tytell
 - Investigations and Intelligence Director, Arnaldo Mercado
 - Investigator, Kelley Smith
 - Grievance Coordinator, Tamara Jackson
 - Andie Moss, CEO, The Moss Group
 - Mara Dodson, The Moss Group
- December 1-3, 2015 - Tutwiler staff interviews
 - Warden III Bobby Barrett
 - Warden I 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
(MHM is the contractor for mental health)

- Psychological Associate, Dr. Scott Holmes
- Shift Lieutenant, Napoleon Goodson
- Shift Lieutenant, Berda Nelson
- Camera room supervisor, Sergeant Darryl Finch
- Classification Supervisor, Chitema Westry
- Hygiene Supply manager, correctional officer Monica Wheat
- Corizon Director of Nursing (Corizon-medical contractor)
- Laundry Supervisor, Ms. Cheryl Garner

There were a total of 28 compliance interviews. These staff were selected by the monitor according to the responsibilities they have for managing and implementing various parts of the agreement, directly or indirectly.

- 3) The monitor conducted four (4) staff focus groups on December 1 and 3, 2015. The monitor reviewed the daily roster of correctional officers and randomly selected five people that were a mix of male and female, racially diverse officers. The group on December 1 was from the second shift rotation staff. The staff were working in housing areas. The monitor asked the same questions to each group and then had discussions with them according to their comments.
- 4) The monitor conducted an inmate focus group on December 2, 2015. The monitor reviewed the various housing rosters of assigned inmates and randomly selected a mix of male and female, racially diverse inmates from different housing dorms. There were 21 inmates in the group. The monitor asked basic questions to them regarding their knowledge and awareness of PREA and various policies. The monitor discussed the new grievance system at length, the sexual safety culture at Tutwiler and their understanding of how to report an allegation. The monitor conducted two follow up interviews the next day with inmates on issues non-related to PREA.

Monitoring Tool

- 1) The Monitor sent the first draft report to both parties on January 20, 2016. The agreement allows for a two-week period of review by both parties.
- 2) The monitor received the comments from the Department of Justice on January 30, 2016.
- 3) The monitor received the comments from the Alabama Department of Correction on February 5, 2016.
- 4) The monitor participated in a conference call with both parties on January 20 to discuss the draft report and expectations of how and when the parties would provide their comments. It was agreed that the review period would be 14 days. ADOC indicated they would send their final comments after reviewing the ones submitted by DOJ, in order to provide any clarifying information in their comments.
- 5) The monitor considered all of the comments submitted by ADOC and DOJ. The monitor made some revisions and provided additional information to the parties in response to comments.
- 6) The monitor submitted the final draft of the report on February 15 for the last review by both parties.

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.

Monitor Report
Summary of Compliance

Requirement	Description	Compliance				Notes
		Substantial Compliance	Partial Compliance	Non-Compliance	N/A	
III.A. GENERAL POLICIES AND PROCEDURES ADOC and Tutwiler shall DEVELOP and IMPLEMENT gender-responsive policies, procedures and practices to ensure that inmates at Tutwiler are protected from harm due to sexual abuse and harassment.						
A.1	ADOC and Tutwiler shall comply with all provisions of PREA. ADOC and Tutwiler shall continue to comply with the ADOC's written policies and procedures mandating zero tolerance toward all forms of sexual abuse and sexual harassment. This agreement takes precedence over any ADOC and/or Tutwiler policy governing the operation of Tutwiler that may conflict with this agreement.			X		Monitor granted an extension until 5/28/16
A.2	Shall develop, submit to the Monitor and DOJ for review consistent with III.A.6; and implement policies and procedures regarding the management of lesbian, gay, bisexual, transgender, intersex, and gender nonconforming inmates. The policy shall emphasize the rights of lesbian, gay, bisexual, transgender, intersex, gender nonconforming and gender dysphoric inmates to a safe, non-discriminatory and respectful environment.			X		Monitor granted an extension until 5/28/16
A.3	Continue to comply with ensuring women receive essential supplies, including hygiene and feminine hygiene products, tampons and pads; linens; and uniforms by making them available on a monthly basis or more frequently as needed. The policy will continue to require the tracking and distribution of these products. ADOC and Tutwiler will continue to ensure that both tampons and sanitary pads are readily available, free of charge, to Tutwiler inmates.	X				
A.4	Shall develop and implement policies and procedures that incorporate gender-responsive strategies, including policies and procedures governing the use of force against women inmates and discipline of women inmates.			X		Monitor granted an extension until 5/28/16
A.5	Shall continue to develop, submit to the Monitor and DOJ for review consistent with III.A.6, and implement facility-specific policies and operational practices specific to Tutwiler's population regarding the supervision and monitoring necessary to prevent inmates from being exposed to unreasonable risk of harm from sexual abuse and harassment.			X		Monitor granted an extension until 5/28/16
III.B. CAMERA MANAGEMENT The ADOC has implemented a state-of-the-art camera system at Tutwiler, and contracted with an expert who has conducted a review of the ADOC's Camera Plan, including a review of each camera's placement. As a result of that review, cameras are strategically placed to maximize supervision while protecting privacy. Policies directing the appropriate use of cameras and periodic staff training to ensure sustainability and effective operation of the camera						
B.1	Camera management policies and procedures will remain in effect at Tutwiler	X				
B.2	Camera management policies and procedures, including the locations where cameras have been placed, will be reviewed at least annually to ensure they are serving their goal of maximum supervision.	X				
III.C. STAFFING In order to address low staffing levels and the need for more women officers, ADOC and Tutwiler shall ensure that correctional staffing and supervision is sufficient to adequately supervise inmates and staff and allow for the safe operation of Tutwiler						
C.1(i)	ADOC and Tutwiler shall continue to develop, submit to the monitor and DOJ to assess for compliance with this agreement and implement its plan to recruit women correctional officers at Tutwiler		X			
C.2	Placeholder				X	
III.D. TRAINING ADOC and Tutwiler shall ensure that all staff have the adequate knowledge, skill, and ability to prevent, detect, and respond to sexual abuse and sexual harassment at Tutwiler, and to manage, interact, and communicate appropriately with women inmates and lesbian, gay, bisexual, transgender, and gender nonconforming inmates.						
D.1	ADOC and Tutwiler shall train all staff who may have contact with inmates with the following:					Monitor granted an extension until 2/28/16
D.2	Within six months of the Effective Date, all staff shall have received training as set out in Section III.D.1					Monitor granted an extension until 2/28/16
D.3	ADOC and Tutwiler shall provide annual refresher training to all staff					Monitor granted an extension until 2/28/16
D.4	The Monitor will work with ADOC and Tutwiler in drafting new training materials and/or revising current training materials set out in III.D.1 and III.D.3					Monitor granted an extension until 2/28/16
D.5	ADOC shall certify and document to Tutwiler's PREA Compliance Manager, the Department-wide PREA Coordinator, the Monitor, and DOJ, that all staff have been trained					Monitor granted an extension until 2/28/16

Monitor Report
Summary of Compliance

Requirement	Description	Compliance				Notes
		Substantial Compliance	Partial Compliance	Non-Compliance	N/A	
III.E. INMATE EDUCATION						
ADOC and Tutwiler shall effectively and meaningfully communicate to all inmates their right to be free from sexual abuse and harassment and the protections in place at Tutwiler to ensure that such abuse and harassment does not occur or, if it does occur, is reported so it can be responded to promptly, appropriately, and without retaliation.						
E. 1,3,6,7	(Inmate Education: Intake) 1. ADOC and Tutwiler shall ensure that, during the intake process, all inmates receive information regarding the following (listed below): 3. Current Tutwiler inmates will receive the information and education described in III.E.1 within three months of the Effective Date (by August 28, 2015). 6. Consistent with current policy, ADOC and Tutwiler shall ensure that the information outlined in III.E.1 is conveyed and made available in formats accessible to all inmates, including those who are limited English proficient, deaf, visually impaired, or otherwise disabled as well as to inmates who have limited reading skills. 7. ADOC and Tutwiler shall provide the Monitor and DOJ for their review consistent with Section III.A.6 any materials or curriculum utilized to satisfy the requirements of III.E.1	X				
E. 2,3,4,5,6,7,8	(Inmate Education: Comprehensive) 2. Within 14 days of intake, ADOC and Tutwiler shall provide comprehensive orientation education to inmates either conducted in-person or through a video presented by an in-person facilitator regarding their rights to be free from sexual abuse and sexual harassment and to be free from retaliation for reporting such incidents, and regarding their policies and procedures for responding to such incidents. 3. Current Tutwiler inmates will receive the information and education described in III.E.2 within three months of the Effective Date (by August 28, 2015). 4. ADOC and Tutwiler shall ensure that the individual conducting or facilitating the comprehensive inmate educational orientation is trained on Tutwiler's and ADOC's policies and procedures related to sexual abuse and sexual harassment, the PREA standards, and this Agreement. 5. The individual conducting or facilitating the comprehensive inmate orientation education shall remain in the room during the entire orientation and shall monitor the inmates for reactions to and understanding of the information. A mental health practitioner will serve as an advisor to the orientation process and services will be available during the orientation process if indicated. 6. Consistent with current policy, ADOC and Tutwiler shall ensure that the information outlined in III.E.2 is conveyed and made available in formats accessible to all inmates, including those who are limited English proficient, deaf, visually impaired, or otherwise disabled as well as to inmates who have limited reading skills. 7. ADOC and Tutwiler shall provide the Monitor and DOJ for their review consistent with Section III.A.6 any materials or curriculum utilized to satisfy the requirements of III.E.1 8. ADOC and Tutwiler shall maintain documentation of inmate participation in the education sessions required by III.E.2.	X				
III.F. GENDER-RESPONSIVE CLASSIFICATION						
Consistent with constitutional standards, ADOC and Tutwiler shall develop and implement a classification process including custody classification, and risk/need assessment, and screening for risk of vulnerability or perpetration of sexual abuse or sexual harassment and use that information to inform housing, bed, work, education, and program assignments with the goal of maximizing safety.						
F.1	Within two months of the Effective Date, ADOC and Tutwiler shall convene a working group to evaluate methods to decrease or eliminate Tutwiler's use of Dorm A for a period of time that exceeds 48 hours while screenings are completed, including an examination of the necessity of PAP test and/or other medical, mental health, or intellectual test results prior to classification and failures to provide adequate continuity in medical and mental health care to Dorm A residents	X				
F.2	Within six months of convening of the working group, ADOC and Tutwiler shall retain an expert in gender responsive assessment and classification.	X				
F.3,4	3. The approved plan for implementation of the classification system shall be managed by an implementation workgroup and completed within two years of the approval of plan 4. The system shall provide programs that incorporate gender responsive principles and address the needs of women inmates at Tutwiler, including those addressing sexual abuse, sexual harassment, and trauma; domestic violence; dating violence; and medical and mental health care.				X	n/a, September, 2016
III.G. RISK ASSESSMENT						
G.1	ADOC and Tutwiler shall continue to utilize a risk assessment instrument to screen for risk of victimization and abusiveness		X			

Monitor Report
Summary of Compliance

Requirement	Description	Compliance Status				Notes
		Substantial Compliance	Partial Compliance	Non-Compliance	N/A	
G.2.3	<p>2. Inmates at high risk for sexual victimization shall not be placed in involuntary segregation housing due to their high risk of victimization unless an assessment of all available alternatives has been made, and a determination has been made that there is no available alternative means of separation from likely abusers. Such an assessment and determination shall be documented, explain the basis for Tutwiler's concern for the inmate's safety and the reason why no alternative means of separation can be arranged. A review of such determination must be afforded each inmate at least every 30 days to determine whether there is a continuing need for separation from the general population.</p> <p>3. Inmates placed in segregated housing Due to potential victimization shall, to the extent possible, have full access to programs, privileges, education, and work opportunities as inmates in general population housing.</p>			X	N/A	Due 2/28/2016
III.H. INMATES' RIGHT TO PRIVACY						
ADOC and Tutwiler shall prevent officers from unnecessarily viewing inmates who are naked or performing bodily functions						
H.1	<p>Cross-Gender Searches : ADOC and Tutwiler shall continue to comply with its policy regarding cross-gender pat and strip searches</p>	X				
H.2	<p>2.i Cross- Gender Viewing: ADOC and Tutwiler shall develop, submit to the Monitor and DOJ for review consistent with Section A.III.6, and implement policies and procedures that enable inmates to perform bodily functions – such as showering, bathing, and using the toilet – and change clothing without nonmedical staff of the opposite gender viewing their breasts, buttocks, or genitalia, except in exigent circumstances of when such viewing is incidental to routine cell checks</p> <p>2.ii ADOC and Tutwiler shall develop, submit to the Monitor and DOJ for review consistent with Section III.A., and implement policies and procedures regarding the method of conducting inmate counts. This policy and procedure shall limit inmate movement during inmate counts and shall prohibit the practice of conducting inmate counts while inmates are likely to be in the shower and toilet areas</p>			X		Due 2/28/2016
H.3	ADOC and Tutwiler shall continue to implement its plan to address the architectural features that contribute to a lack of privacy for inmates while showering or using the toilet	X				
III.I REPORTING ALLEGATIONS OF SEXUAL ABUSE AND SEXUAL HARASSMENT						
In order to adequately identify and respond to all instances of sexual abuse and sexual harassment at Tutwiler, ADOC and Tutwiler shall ensure that all inmates, staff, and third-parties have multiple unimpeded methods to report incidents of sexual abuse and sexual harassment free from retaliation						
I.1	ADOC and Tutwiler shall continue to comply with its policy on reporting allegations of sexual abuse and sexual harassment. Any modification of that policy shall be submitted to DOJ and the Monitor for review consistent with Section III.A.6. ADOC and Tutwiler shall provide multiple internal methods, including a grievance process and at least one confidential method, for inmates to report sexual abuse and sexual harassment, retaliation by other inmates or staff for reporting sexual abuse and sexual harassment, and staff neglect or violation of responsibilities that may have contributed to such incidents.		X			
I.2,3	2. ADOC and Tutwiler shall also provide at least one way for inmates to report abuse or harassment to a public or private entity or office that is not part of the agency, and that is able to receive and immediately forward inmate reports of sexual abuse and sexual harassment to agency officials, allowing the inmate to remain anonymous upon request. The method provided should be through a toll-free number or other method as agreed to by the Monitor and DOJ.			X		Due 2/28/2016
I.4,5	<p>3. ADOC and Tutwiler shall provide a method for staff to confidentially report sexual abuse and sexual harassment of inmates</p> <p>4. Third parties shall be permitted to assist inmates in filing requests for administrative remedies relating to allegations of sexual abuse and sexual harassment, and shall also be permitted to file such requests on behalf of inmates</p> <p>5. All third party reports of sexual abuse and sexual harassment shall be forwarded immediately to the Departmental PREA Coordinator and be investigated and processed in accordance with Policy. As part of this process, the Departmental PREA Coordinator will inform Tutwiler's PREA Compliance Manager of all third party reports received.</p>			X		Due 2/28/2016

Monitor Report
Summary of Compliance

Requirement	Description	Compliance Status				Notes
		Substantial Compliance	Partial Compliance	Non-Compliance	N/A	
I.6, 6.viii	<p>6. Grievances: ADOC and Tutwiler shall continue to develop and submit policies and procedures for an inmate Grievance System to the Monitor and DOJ for review within three months of the effective date and, within four months of the effective date, implement the inmate Grievance System. This policy shall clearly prohibit retaliatory practices by staff against inmates who file a grievance and should include the requirements listed in III.1.6.ii-ix</p> <p>6.viii ADOC and Tutwiler shall develop, submit to the Monitor and DOJ for review consistent with Section III.A.6, and implement policies and procedures for the filing of an emergency grievance where an inmate is subject to a substantial risk of imminent sexual or physical abuse</p>	X			N/A	
I.7,8,9	<p>7.ADOC and Tutwiler shall require all employees to report immediately: Any knowledge, suspicion, or information regarding an incident or alleged incident of sexual abuse or sexual harassment that occurred in Tutwiler, in transport vehicles, or in any off-site facilities under the control and supervision of ADOC or Tutwiler; Retaliation against inmates or staff who reported such an incident; and any staff neglect or violation of responsibilities that may have contributed to an incident or retaliation.</p> <p>8.Apart from reporting to designated supervisors or officials, staff shall not reveal any information related to a sexual abuse or sexual harassment report to anyone other than to the extent necessary to make treatment, investigation, and other security and management decisions.</p> <p>9.ADOC and Tutwiler shall report all allegations of sexual abuse and sexual harassment, including third party reports, anonymous reports, and inmate grievances, to Tutwiler's or ADOC's designated investigator</p>			X		Due 2/28/2016
I.10.i	<p>Protecting Inmates and Staff from Retaliation: i.Consistent with ADOC policies, ADOC and Tutwiler shall protect all inmates and staff who report allegations of sexual abuse or sexual harassment or cooperate with sexual abuse or sexual harassment investigations from retaliation by other inmates or staff, and shall designate Tutwiler's PREA Compliance Manager with monitoring allegations of retaliation concerning inmates. Allegations of retaliation against employees will be investigated and processed in accordance with ADOC personnel policy.</p>	X				
<p>III.J. OFFICIAL RESPONSE TO AN ALLEGATION OF SEXUAL ABUSE AND SEXUAL HARASSMENT ADOC and Tutwiler shall ensure that all alleged victims of sexual abuse and sexual harassment are offered timely, unimpeded access to medical treatment and crisis intervention services as appropriate and that staff appropriately respond to and counsel the alleged victim while taking steps to preserve evidence.</p>						
J.1	<p>When ADOC or Tutwiler learns that an inmate may be subject to a substantial risk of imminent sexual abuse, ADOC or Tutwiler shall take immediate action to protect the inmate.</p>			X		Due 2/28/2016
J.2	<p>ADOC and Tutwiler shall continue to comply with Policy and Tutwiler Standard Operating Procedures to coordinate actions taken in response to an allegation of sexual abuse, among first staff responders, medical and mental health practitioners, investigators, and Tutwiler leadership, including time frames and lists of whom staff should report to in specific situations and guidelines regarding the collection of physical evidence.</p>	X				
J.3,6	<p>3.ADOC and Tutwiler shall respond to reports of sexual abuse and sexual harassment or threats of sexual abuse or sexual harassment without regard to an inmate's known or perceived sexual orientation or gender identity.</p> <p>6.ADOC and Tutwiler shall not place in protective custody an inmate who is alleged to have suffered sexual abuse or sexual harassment solely for the purpose of protecting that inmate, unless a determination, documented in writing and reviewed by the PREA Compliance Manager or the Warden's designee within 24 hours, has been made that there is no available alternative means of separation from likely abusers.</p>			X		Due 2/28/2016
J.4,5	<p>4.The written institutional plan shall include procedures that address how staff respond upon learning of an allegation that an inmate was sexually abused; described below</p> <p>5. If the first staff responder is not a security staff member, the responder shall be required to request the alleged victim not take any actions that could destroy physical evidence, and then notify security staff.</p>			X		Due 2/28/2016

Monitor Report
Summary of Compliance

Requirement	Description	Compliance Status				Notes
		Substantial Compliance	Partial Compliance	Non-Compliance	N/A	
J.7	To the extent they do not already exist, ADOC and Tutwiler shall develop, submit to the Monitor and DOJ for review consistent with Section III.A.6., and implement policies and procedures to provide access to medical and mental health services to women identified as potential or actual victims of sexual abuse and sexual harassment, that occurred either at Tutwiler or elsewhere, including the following:	X				
III.K REFERRALS AND INVESTIGATIONS						
ADOC and Tutwiler shall ensure that all allegations of sexual abuse and sexual harassment are promptly, thoroughly, and objectively investigated and appropriately referred for prosecutorial review, and that alleged victims are advised of the outcome of their allegations.						
K.1,2	1.ADOC investigators shall continue to investigate allegations of sexual abuse or sexual harassment consistent with their authority as criminal investigators and consistent with Policy and Alabama law. Completed investigations of sexual abuse and sexual harassment will be referred to local prosecutors as appropriate. 2. When ADOC conducts its own investigations into allegations of sexual abuse or sexual harassment, it shall do so promptly, thoroughly, and objectively for all allegations, including third party and anonymous reports. Administrative investigations shall be completed regardless of the results of any criminal investigations and regardless of the subject's continued employment by ADOC	X				
K.4	ADOC and Tutwiler shall develop, submit to the Monitor and DOJ for review consistent with Section III.A.6., and implement guidelines for the immediate initiation of an investigation and/or review upon learning of an allegation of sexual abuse or sexual harassment and develop a process for monitoring those guidelines. The guidelines shall also ensure that investigations that include any allegations of sexual abuse or sexual harassment are properly labeled as such. Investigators			X		Due 2/28/2016
K.3,5,7,8,9,10	3.The use of pre-hearing segregation shall be limited to inmates whose continuing behavior is a threat to facility safety, or who will not stop the prohibited behavior. Such pre-hearing segregation shall not be used for more than 72 hours, at which time an inmate must be afforded a disciplinary hearing, or provided a written explanation of why the hearing is postponed and when the hearing will be re-scheduled. 5.Where sexual abuse or sexual harassment is alleged, ADOC shall use investigators who have received special training in institutional sexual abuse and sexual harassment investigation. Specialized training shall include techniques for interviewing sexual abuse victims, proper use of Miranda and Garrity warnings, sexual abuse evidence collection in confinement settings, and the criteria and evidence required to substantiate a case for administrative action or prosecution referral. ADOC shall maintain documentation that agency investigators have completed the required specialized training in conducting sexual abuse investigations. The Department-wide PREA Coordinator and Tutwiler's PREA Compliance Manager shall not serve as investigators for sexual abuse investigations. 7.The credibility of an alleged victim, suspect, or witness shall be assessed on an individual basis and shall not be determined by the person's status as inmate or staff. ADOC or Tutwiler are prohibited from offering or administering polygraph examinations or other truth-telling devices to an inmate who alleges sexual abuse or sexual harassment. 8.ADOC shall issue a written investigative report within 30 days after the conclusion of a sexual abuse or sexual harassment investigation that indicates whether the allegation is substantiated, unsubstantiated, or unfounded. The investigator may request in writing, approved by the facility designee, an extension for cause that identifies the remaining actions necessary to complete the investigation. In no case shall the investigation be unfounded solely due to the expiration of the 30 days. The investigative report shall include an effort to determine whether staff actions or failures to act contributed to the abuse, a description of the physical and testimonial evidence, the reasoning behind credibility assessments, and investigative facts and findings. 9.ADOC shall work with the Monitor on ensuring that an investigative summary sheet that provides an overview of the current status of an investigation is included. The summary information should include, among other things, basic information such as staff name(s), prisoner name(s), location of incident, and the time of day. 10.The departure of the alleged perpetrator or victim from the employment or control of ADOC or Tutwiler shall not provide a basis for terminating an investigation.			X		Due 2/28/2016

Monitor Report
Summary of Compliance

Requirement	Description	Compliance Status				Notes
		Substantial Compliance	Partial Compliance	Non-Compliance	N/A	
K. 11, 12, 13, 14, 15	<p>Outside Investigations; Inmate Notification</p> <p>11. When outside agencies investigate alleged incidents of sexual abuse, ADOC and Tutwiler shall cooperate with outside investigators and shall endeavor to remain informed, to the extent appropriate, about the progress of the investigation.</p> <p>12. Following an investigation into an inmate's allegation that she suffered sexual abuse or sexual harassment in any ADOC facility or while within the physical custody and control of the ADOC, ADOC and Tutwiler shall inform the inmate as to whether the allegation has been determined to be substantiated, unsubstantiated, or unfounded.</p> <p>13. If ADOC or Tutwiler did not conduct the investigation, it shall request the relevant information from the investigative agency in order to inform the inmate.</p> <p>14. Following an inmate's allegation that a staff member has committed sexual abuse or sexual harassment against the inmate, ADOC and Tutwiler shall subsequently inform the inmate whenever: (see below)</p> <p>15. All such notifications or attempted notifications shall be documented.</p>			X	Due 2/28/2016	
K. 16, 17	<p>Investigations Review</p> <p>16. A review team, including upper-level management officials at Tutwiler, with input from line supervisors, investigators, and medical and mental health practitioners, shall conduct an incident review within 30 days of the conclusion of every investigation of substantiated and unsubstantiated allegations of sexual abuse or staff-on-inmate sexual harassment. The review team shall: (see below)</p> <p>17. ADOC and Tutwiler shall implement the recommendations for improvement or shall document its reasons for not doing so.</p>			X	Due 2/28/2016	
K. 18	<p>Within 60 days of the Effective Date, ADOC and Tutwiler shall review all pending investigations alleging sexual abuse and sexual harassment to determine whether the investigation was conducted according to the requirements of Section III. K. of this Agreement.</p> <p>Within 120 days of the Effective Date, ADOC and Tutwiler will conduct a similar review of all unfounded allegations of sexual assault and sexual harassment for the past 360 days to determine whether the investigation was conducted according to the requirements of Section III. K. of this Agreement.</p>	X				
III.L STAFF DISCIPLINARY ACTIONS						
ADOC and Tutwiler shall take appropriate disciplinary action against staff found to have engaged in sexual abuse or sexual harassment or to have violated Tutwiler's policies and procedures regarding sexual abuse or sexual harassment.						
L. 1	ADOC and Tutwiler shall develop, submit to the Monitor and DOJ for review consistent with Section III.A.6., and implement policies and procedures that track staff disciplinary actions related to allegations of sexual abuse or sexual harassment, to ensure that the directives in III.L.2-III.L.6 below are met.			X	Due 2/28/2016	
III.M Limited English Proficient (LEP) Inmates						
M	ADOC and Tutwiler shall work with the Monitor to develop and implement a policy providing for a method of interpretation services for LEP inmates. This method may be through a language telephone line, if necessary. ADOC and Tutwiler shall not rely on other inmates or non-certified employees to translate and/or interpret for LEP inmates.			X	Due 2/28/2016	

Closing Observations

The monitor and the Department of Justice have been updated on the ADOC and Tutwiler continuing actions since December 4, 2015. Specifically, we have received for comment and feedback revised policies and SOP's that have been reviewed for gender responsive principles. We have received and reviewed the revised PREA curriculum for staff training and the new PREA training for volunteers. We have initiated a regular conference call between parties to discuss any current issues. The current monitoring tool report recommends a number of items to be sent to the monitor, once completed or partially completed, for the monitor's ongoing knowledge of actions taken by ADOC and Tutwiler. The monitor notes that the Alabama Department of Correction understands the necessary steps for substantial compliance include the development of specific policy, training staff and inmates, as required per the policy and the full operational implementation of the policy directives.

In conclusion, the monitor sees a strong commitment to the successful implementation of the settlement agreement by the State of Alabama, the Alabama Department of Correction and the Tutwiler Prison for Women. There is a "strong skeleton" for the body of this work to be completed in designated intervals, as required. There is a collaborative working relationship and communication between the ADOC, the Department of Justice and the monitor and the consultants on contract with ADOC.

The monitor recognized a positive and proactive culture in both ADOC and Tutwiler. The "culture" of a prison is partly an attitude of staff and inmates in their daily operations environment regarding their safety and interactions with each other. Tutwiler has been subjected to external scrutiny for several years, with numbers of people touring

and inspecting their operations, media stories, consultants working in their daily routines and now the scrutiny of a monitor. The monitor observed consistently during each visit positive leadership, starting with the warden, and from all of the executive team, for managing PREA and the settlement. The executive team members have a "can do attitude" and it is felt by the inmates and staff that the monitor met. The monitor observed the "culture of change" accepted, and generally understood as a positive and necessary journey. This culture is an essential element for changes to occur at Tutwiler, in their current environment.

Attachment: List of Documents Used for Compliance Assessment

- Tutwiler Standard operating Procedures (SOP)
 - o 5.0 Dorm Security Procedures for each separate dorm
 - o 5-32 Gender Specific Posts
 - o 5-33 Video Surveillance
 - o 13-3 Inmate Grievance Procedures
 - o 15-28 Hygiene Item issue
 - o 15-39B Youthful Offenders -draft
 - o 9-6 Use of Force-draft
 - o 5-9 Administrative Segregation-draft
 - o 9-1 Searches -draft
 - o 5-9A Disciplinary Segregation-draft

Note: these SOP's were requested in September - some numbering may have changed due to revisions to policy and SOP

- Tutwiler Women Offender Education Lesson Plan and PowerPoint Presentation
- Gender-Responsive Approaches for Women Offenders Facilitator Guide (for training)
- Key Control Policy
- Draft Inmate Survey
- ADOC Disciplinary Policy
- ADOC Classification Policy
- ADOC Chart of Custody Levels
- ADOC Call-in Policy
- Physical Fitness Standards for CO Recruits - Alabama Peace Officer Training and Standards Commission (APOSTC)
- Correctional Officer job description
- Documents related to the camera/video surveillance system at Tutwiler
- ADOC PREA training curriculum
- ADOC Administrative Regulation, 454, PREA policy
- ADOC Investigation and Intelligence Investigators - demographics, experience
- Tutwiler spreadsheet for the assignment of inmates to pre-investigation segregation
- Tutwiler SOP-8-12 PREA policy
- Tutwiler SOP 8-27 Hygiene issue
- Alabama state law regarding staff sexual misconduct
- Tutwiler post orders for Dorm A
- Demographic information on camera operators at Tutwiler
- Six months of ADOC HR personnel actions at Tutwiler (hiring, separations , etc.)
- Tutwiler PREA Compliance Manager job description
- Monthly reports by the PREA Compliance Manager
- Cross Gender Search SOP
- Tutwiler procedures for inmates to report allegations of sexual abuse and harassment
- Tutwiler staff training curriculum for the grievance policy
- Staff training rosters/attendance for grievance training

- Alabama state law providing directives for ADOC investigators to pursue/refer criminal charges for staff conduct
- Tutwiler PREA training for staff-attendance rosters for a year
- Training records for Tutwiler staff training on cross gender search procedures
- Copies of any written referrals to local prosecutors by ADOC Division of Investigations and Intelligence (I+I)
- Monitor review of five completed PREA investigations by ADOC I+I from June -Nov. 2015
- ADOC and Tutwiler written directives to staff about PREA compliance - from top executives
- Three months of maintenance logs for the camera system at Tutwiler
- Tutwiler staff assignment shift rosters for two months for each housing area
- Documents regarding the ADOC physical fitness assessments for new applicants.
 - o Information used by ADOC to administer this program
- Inmate attendance rosters for the July Offender Education program
- Documents, meeting notes regarding the ADOC Dorm A workgroup
- Roster of inmates assigned to Dorm A from September - November 1, 2015
- Video for PREA intake program
- Documents/spreadsheets used in the Tutwiler inmate hygiene program-ordering, inventory, distribution, inmate requests
- Documentation of any ADOC work with APOSTC regarding the hiring processes for female staff
- Documentation of any Tutwiler inmate needing LEP interpreter services
- Documentation of any specialized training received by the staff trainers/facilitators for the Offender Education program
- Lists of any inmates transferring into Tutwiler for four months
- Documents for any Tutwiler warden notifications to other confinement facilities of an inmate allegation of sexual abuse and harassment at their facility
- Copies of inmate grievances for September - November 1, 2015
- Monitoring tool used by Tutwiler PREA compliance manager to track PREA allegations and reports of retaliation
- ADOC and Tutwiler documents, logs that document PREA allegations
- Documents regarding the requirement that ADOC shall review all pending investigations on May 28, 2015, alleging sexual abuse and harassment to determine if the investigations were conducted according to Section K. of the settlement
- Video for the LGBTI training
- Video for PREA information for inmates in intake process
- Documents used at Tutwiler in the classification risk assessment checklist used in intake. Three months of the completed checklists any logs maintained by classification and mental health
- Tutwiler logs, shift logs that document the required "unannounced rounds " by shift supervisors and the leadership team August - October 2015
- Job description of the ADOC PREA coordinator
- Three months of staff assignment rosters at Tutwiler - highlighting the staff working in an overtime status-evidence of their PREA training
- Professional credentials of Tutwiler mental health professionals
- ADOC Statewide Advisory Group meeting minutes
- Training outline used by Corizon healthcare for PREA staff education

- ADOC Health Services logs
- ADOC training schedule for state Institutional PREA Compliance Manager training in January, 2016
- Tutwiler inmate disciplinary log May 30 - Nov. 14, 2015
- ADOC facilitator guide for the Institutional PREA Compliance Manager training