State of Iowa Department of Corrections

Policy and Procedures

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Responsibility: Nick Lamb
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Authority:

1. PURPOSE

To describe the Direct Supervision model that shall be used to manage living units within Iowa Department of Corrections (IDOC) institutions.

2. POLICY

It is the policy of IDOC to employ the direct supervision model as the preferred method of managing incarcerated individual behavior. Direct supervision helps to create an environment that supports empowerment of line staff, promotes positive professional interactions between staff and incarcerated individuals, encourages staff to serve as a role model of prosocial behaviors for incarcerated individuals, and facilitates individual accountability and personal development.

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3. DEFINITIONS – As used in this document:

A. Direct Supervision - An approach to management of incarcerated individuals within a living unit, whereby a single officer is assigned on a continuous basis to supervise a manageable number of incarcerated individuals within an environment that maximizes staff interaction with incarcerated individuals in a way that promotes staff and incarcerated individual safety, incarcerated individual adherence to the rules and the principles behind those rules, and provides opportunities for incarcerated individuals to make positive choices. In order to facilitate staff interaction with incarcerated individuals, physical barriers are minimized.

B. Housing Unit - A self-contained area that is part of a larger institution including one or more living units for incarcerated individuals and work space for Unit staff. This may also be referred to as a Management Unit in some institutions.

C. Living Unit – A subcomponent of a Housing Unit for incarcerated individual housing. Typically each Housing Unit will include several living units, each which may have a unique program component or custody designation. This may also be referred to as a Pod in some institutions.

D. Activity Officer – Any officer whose post is not in a fixed location. Activity Officers are also referred to as Utility Officers, Escort Officers, Circulators or Rovers.

4. PROCEDURES

A. Applicability

1. All institutions shall manage the incarcerated individual population using the principles and strategies consistent with the direct supervision model. In living units where the physical plant, program intent, and/or population does not support assigning an officer in the living unit, direct supervision principles and strategies shall be implemented to the degree feasible.

2. Wardens shall determine which living units are designated as direct supervision and institutional procedures and post orders will reflect these designations.

Considerations applied to determine direct supervision housing may include:

a. Security level of the incarcerated individual population

b. Living unit size

c. Physical Plant design

B. Training

1. IDOC employees working in the institutions who directly or indirectly have contact with incarcerated individuals shall be oriented to the direct supervision model.

2. All staff assigned to direct supervision posts shall receive training in the direct supervision principles and strategies, as well as effective supervision, leadership, and interpersonal communications. Supervisors shall receive appropriate training to enhance their roles relative to supervising officers in direct supervision living units.

3. The IDOC Training Director shall determine the Learning Center and institution-based direct supervision training requirements. Specific institution based training shall be determined by the Warden in concert with the Training Specialist and management staff.

C. Assignment to Living Units

1. Unit Managers or assigned supervisor shall ensure officers are assigned to a specific living unit for a period of time to maximize the consistency of operations while maintaining awareness of the potential for over-familiarity and unprofessional conduct. Unit Managers or assigned supervisors may take steps to modify assignments at any point based on Staff Performance, or when necessary to resolve a threat to security or safety.

2. Unit Officers shall not leave their assigned living unit without being relieved by another officer except in emergency situations, and then only when directed by supervisory staff or otherwise authorized by institutional procedures.

D. Communication

1. Staff shall provide for continuous interaction and communication with the incarcerated individual population with the primary goal of proactively managing the population.

2. The Unit Manager shall determine schedules and timeframes for Living Unit Officers to communicate with other officers who work the same living unit on other shifts to provide for consistency of operation. Where possible, scheduled meetings should be permitted for those officers assigned to a specific living unit to discuss issues arising on different shifts and brainstorm approaches to improve living unit operations.

   Living Unit Officers shall regularly document high risk behaviors and prosocial behaviors by incarcerated individuals in their respective living units by using unit log books, incarcerated individual behavior logs, electronic communications such as e-mail or internal databases, including ICON and others, and formal or informal Unit Team meetings.

3. The Unit Officer is the primary supervisor of incarcerated individuals in the living unit and is responsible for most day-to-day decisions. Supervisors shall recognize that reasonable decisions consistent with institutional policies and procedures should be supported. Living Unit Officers should address any concerns regarding this support directly to the Unit Manager if the issue is otherwise not being resolved.

4. Supervisory staff shall actively supervise Living Unit Officers by making frequent tours in the living units and observing how Officers manage their assigned post.

5. Activity Officers/Circulators/Rovers shall be encouraged to visit living units when not otherwise engaged in their assigned duties so as to reduce any sense of isolation on the part of Living Unit Officers.

6. All areas within the Living Units are considered staff areas and no spaces are to be off limits to staff. Living Unit Officers shall, on a regular basis, inspect and tour all areas of the living unit, including common areas, cells, showers, closets, etc.

7. Direct supervision is most effective when physical plant, furniture, and fixtures serve to enhance interaction and communication between staff and incarcerated individuals. To the extent possible, Living Unit Officers shall continuously move through the Living Unit interacting with incarcerated individuals and monitoring security, safety, and sanitation issues. Where desks or workstations are placed within the Living Unit,

artificial barriers to the access of incarcerated individuals to the staff assigned will not be imposed.

E. Managing Incarcerated Individual Behavior

1. The Unit Manager shall establish procedures for orienting incarcerated individuals to the housing unit and Living Units. Unit Managers or assigned supervisors shall develop an orientation outline for the Housing Unit and each Living Unit, to include information pertaining to incarcerated individual accountability, incarcerated individual self-control, rules, schedules and other expectations.

2. Living unit rules and regulations shall focus on addressing incarcerated individual basic needs and fostering a sense of safety.

3. Unit Managers or assigned supervisors shall work with the Unit Team to establish incentives for prosocial behavior and criteria for awarding the incentives.

4. All violations of the rules and regulations shall be addressed by the Living Unit staff formally or informally in accordance with IDOC **IO-RD-01**, *Overview and Philosophy of Incarcerated Individual Discipline*.

5. A cell or room inspection form shall be completed by the Living Unit Officer and verified by the incarcerated individual upon assignment to a new cell or room.

6. Any signs of damage, vandalism or graffiti shall be addressed by the discovering staff person via work order, disciplinary action, etc.

7. Incarcerated individuals shall be encouraged by all staff to participate in education and treatment programming to support effective re-entry.

F. Managing Staff Performance

1. Unit Managers or assigned supervisors shall manage and supervise staff on living units based on criteria that support the direct supervision model. Factors to consider include the extent to which the Officer:

    a. Uses observation and communication to maximize compliant incarcerated individual behavior and minimize the occurrence of disruptive incarcerated individual behavior in the living unit, and clearly communicates facility rules and expectations to the

incarcerated individual and immediately responds to incidents of incarcerated individual misbehavior;

b. Responds fairly and effectively when disciplining incarcerated individuals for disruptive behavior or rule violations;

c. Effectively responds to incarcerated individual requests and demands in a fair and balanced fashion, and avoids incarcerated individual manipulation;

d. Creates an environment of mutual respect by demonstrating consistency and courteous manner;

e. Exhibits effective skill in organizing, supervising and motivating incarcerated individuals in their activities;

f. Provides guidance for the solution of incarcerated individual problems, recognizes the steps involved in resolution of incarcerated individual conflicts, and deals with incarcerated individuals in confrontational situations; and,

g. Has knowledge of and consistently applies facility rules and procedures, coordinates activities with co-workers, supports the authority of staff members, and communicates with supervisors and other administrators.

2. The Unit Manager shall review the administrative and operational workload and the resources available to the Living Unit Officers to make adjustments, if necessary, to ensure they have the necessary time and resources to interact with, and provide direct supervision of the incarcerated individual population.

3. Unit Managers or assigned supervisors shall assist Living Unit Officers with methods to enhance their time management skills in order to maximize the time they have available to leave their desk areas and interact with incarcerated individuals.