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**CENTER FOR  
METROPOLITAN STUDIES**

UNIVERSITY OF MISSOURI - ST. LOUIS

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TO DO JUSTICE:  
An Analysis of Inmate  
Grievance Resolution Procedures

NCJRS

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ACQUISITIONS

TO DO JUSTICE

An Analysis of the Development of Inmate  
Grievance Resolution Procedures and a Final  
Report to the Center for Community Justice

An Evaluation of Grant Number 76-ED-99-0001  
Law Enforcement Assistance Administration

by

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Community Conflict Resolution Program  
Center for Metropolitan Studies  
University of Missouri-St. Louis

TO...

- The inmates, who will be there long after social scientists depart.
- The guards, who will be there long after the inmates depart.
- The administrators, who must be content with faithful exercise of duty, if not success.
- The Center for Community Justice, for doing justice by protecting process.



The Community Conflict Resolution Program  
of the  
Center for Metropolitan Studies  
University of Missouri - St. Louis

The Center for Metropolitan Studies was established in 1965 to conduct research on urban problems, offer training experiences for students in urban research, and provide service to the St. Louis metropolitan area in helping citizens and leaders deal with problems of importance to the region. The major operating objective of the Center is to produce research findings that will assist citizens groups, client groups, and public and private officials in forming and implementing humane, equitable and effective social policies.

The Community Conflict Resolution Program in the Center conducts research, training and evaluation related to racial and community disputes, and intervenes directly in selected conflicts, customarily at the invitation of the disputing parties. The purposes of the Program include:

1. To develop a conceptual framework and a body of techniques for the practice of community conflict intervention.
2. To promote jointly-determined, equitable outcomes of institutional, intergroup and community disputes, especially those dealing with the delivery of human services to disadvantaged populations.
3. To equip conflicting parties and potential conflict-groups with skills that will increase their ability to deal constructively with conflict and broaden their options for action in specific conflict situations.
4. To serve as a clearinghouse and referral source for the growing body of literature, persons and organizations working for change through conflict resolution.
5. To raise critical value and ethical issues with both conflicting parties and intervenors -- notably the issues of justice and empowerment.

## ACKNOWLEDGEMENTS

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## I. INTRODUCTION AND BACKGROUND

### Summary

The Center for Correctional Justice was organized in 1971 to apply techniques developed in labor-management relations -- notably fact-finding, conciliation, mediation, and arbitration -- to the prevention and resolution of conflicts within correctional institutions. Under the direction of Linda R. Singer, the Center has been heavily involved in the study and development of inmate grievance mechanisms in correctional facilities, primarily at the state rather than the municipal, county, or Federal level. The organization was renamed the Center for Community Justice in 1976 as its work expanded to encompass grievance systems in schools and other settings.

The Center's early activities included a survey of 16 grievance mechanisms (covering 12 states and the Federal Bureau of Prisons), published as a Prescriptive Package by the National Institute of Law Enforcement and Criminal Justice of the Law Enforcement Assistance Administration in 1975.<sup>1</sup> In addition, the Center worked in a variety of correctional settings in assisting officials in developing inmate grievance procedures, with the earliest work taking place in several facilities of the California Youth Authority, which pioneered such procedures in the early 1970's.<sup>2</sup>

Following additional work in the Washington, D.C. area, in New York state and in other systems, the Center received \$522,000 from the Citizens' Initiative Program of LEAA, of which \$580,000 was match money from the Ford and Rosenberg Foundations, for a two-year project to assist in the design and implementation of inmate grievance procedures

in four state prison systems. The project was to run from September 1, 1975, to August 31, 1977. The summary of the proposal to LEAA indicated the intended scope of the work.

The Center proposed to recruit citizen volunteers and train them to play key roles in a variety of programs designed to prevent and reduce conflict in correctional institutions and agencies.\* The intended outcomes or goals of the project included affecting the target correctional systems in five areas: (a) reduction of violence within institutions; (b) increase in inmates' perception of the likelihood of fair and prompt handling of complaints by the system; (c) reduction of litigation against institutions; (d) increase in the number of written policies in institutions and/or increase in the clarity of written policies already in existence; and (e) increase in citizen volunteers' knowledge of the corrections system and the action taken by volunteers on behalf of the correctional system or particular offenders.

The CCJ planned to draw on the experience already accumulated in the general area of conflict intervention through use of the American Arbitration Association and the Institute for Mediation and Conflict Resolution in training and development of procedures in the various correctional facilities.

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\*In addition to the development of preventive mechanisms in each of the four state prison systems chosen as sites for the work, the Center hoped to create other conflict-reducing programs, including: (a) emergency conflict resolution or crisis intervention teams consisting of administrators, line staff, inmates, and "respected community volunteers"; (b) involvement of local citizens with management and legal experience in efforts to improve procedures in such areas as classification, transfer, and discipline; and (c) creation of general advisory committees involving the four groups noted in (a) above to seek to improve policies believed to be related to institutional conflict.



Written products of the project (in addition to the developed procedures and policies within the correctional facilities) were to include a manual for use by correctional officials, staff, inmates and citizen volunteers in developing conflict prevention and resolution programs.<sup>3</sup> In addition, conferences were planned to increase dissemination and utilization of the pilot programs and materials.

The Community Conflict Resolution Program of the Center for Metropolitan Studies, University of Missouri-St. Louis, was selected to receive a sub-contract from the CCJ for evaluation of the project. The CCRP's evaluation design was built around (a) a variety of methods for independently assessing the impact of the project's intervention on the five areas noted above through a Time 1/Time 2 measurement approach (including observation, questionnaires, interviews, and analysis of institutional records), and (b) a conscious focus on program development and process as well as outcomes (i.e., on formative as well as summative evaluation).

With considerable experience and a wide range of contacts in the field, the CCJ already was deeply involved in pursuing the project's objectives by the formal starting date. Previous work at Green Haven in New York and with the California Youth Authority was continued and expanded; thus New York and California became two of the four target states. Negotiations between the CCJ and state correctional officials in Colorado and South Carolina led to the selection of these two states to complete the cohort of four systems for intervention. Colorado withdrew from participation in the project in the Fall of 1976 following a lock-down of the target facility (Canon City male maximum security)

and the failure of Colorado officials to provide the necessary administrative support for continued development and operation of the procedures. The Center then responded to interest from Kentucky correctional officials and began work in one facility there early in 1977.

With the project spending at a slightly lower rate than anticipated, LEAA granted the Center a no-cost extension until April 30, 1978.

#### A. The Nature of Inmate Grievance Procedures

Non-judicial procedures to provide inmates with a means of redressing their grievances are a topic of concern not only to inmates but also to correctional administrators, lawyers, and civil libertarians. The occasion of this concern and the form that such procedures have assumed are worthy of brief introductory comments.

##### 1. The Need for Inmate Grievance Procedures

The need for effective mechanisms to resolve inmate grievances has become more salient in recent years, largely as a result of judicial intervention and prison violence. There has been a transition by the courts from a "hands off" position with regard to the internal affairs of prisons to a stance of active involvement in the protection of the rights of inmates.<sup>4</sup> As the courts have abandoned their reluctance to become involved in the internal affairs of prisons, there has been a corresponding increase in the number of inmate petitions filed in federal and state courts. The number of petitions filed by federal and state prisoners in federal district courts, for example, has risen from 6,240 in 1954 to over 18,000 in 1974 and now represents about twenty percent of all civil cases filed in federal courts.<sup>5</sup>

Several types of issues that are contributing to the crowded court dockets are considered inappropriate for the exercise of judicial intervention. Speaking before the American Bar Association in Washington, D.C., Chief Justice Warren E. Burger referred to the case of a prisoner who engaged the primary attention of one district judge twice, three circuit judges on appeal, and numerous others indirectly, in an attempt

to recover seven packages of cigarettes allegedly taken improperly by a guard.<sup>6</sup> As a result, there is a call for non-judicial, administrative remedies at the local level which will satisfactorily handle many of the cases that now come before the courts, thereby alleviating the crowded court docket and reducing the cost involved in processing and hearing these petitions.

An unintended consequence for prison administrators of the greater judicial involvement in inmate grievances is the increased likelihood that the decisions affecting the policies and procedures of the correctional institution will be taken out of the hands of those most knowledgeable about and responsible for the operation of the institution. The autonomy of correctional administrators traditionally has been protected from judicial interference by the separation of powers, the practical needs of managing a large facility and the lack of judicial expertise in corrections. Now that their autonomy is eroding in the path of greater court involvement, and faced with the possibility that the court may dictate changes even more revolutionary than sought by the grievant, correctional administrators also are calling for effective local remedies to resolve grievances in a controlled, predictable atmosphere.

Inmates, too, are seeking a way to resolve grievances by means other than court petitions. The overcrowded court docket, the length of time and amount of resources involved in utilizing the courts, and the difficulty of implementing court orders in the institution contribute to inmate dissatisfaction with legal remedies to their grievances.<sup>7</sup>

One solution to this problem is an administrative remedy which will process inmate grievances fairly, impartially and expeditiously.<sup>8</sup>

The second factor to foster a concern for inmate grievance procedures is the extent of violent and nonviolent confrontation in prisons across the country. Students of prison violence have not isolated its causes; yet there is agreement that both individual and collective violence in prisons is due, in part, to unresolved grievances.<sup>9</sup> Unresolved inmate grievances, real or fancied, trivial or of significance, lead to a dissatisfied and frustrated prison population capable of violence. Administrators who fail to anticipate and prevent grievances are fueling the frustrations of inmates, perhaps needlessly, in those cases in which a quick and simple solution is available. Consequently, the National Council on Crime and Delinquency, as a part of its proposed program to reduce the causes of conflict and prevent crises in correctional institutions, states that "every institution should establish formal procedures for handling individual and collective grievances of prisoners."<sup>10</sup>

The mere presence of grievance machinery will not reduce prison violence, of course. A grievance procedure is but a tool to assure the inmate of fair and equitable treatment -- that is, a measure of justice while incarcerated. As Conrad<sup>11</sup> points out, prison violence can be averted by vigilant oversight of the policies and procedures of the institution to retain those that make sense and are just and to modify or abandon those which are unjust. A grievance procedure provides the vehicle for such vigilance. It is this emphasis on fair

and just treatment for inmates that is reiterated in statements supporting an inmate grievance procedure made by The President's Crime Commission,<sup>12</sup> the National Advisory Commission on Criminal Justice Standards and Goals,<sup>13</sup> the American Correctional Association,<sup>14</sup> and the American Assembly.<sup>15</sup>

There are additional reasons why attention has been focused upon inmate grievance procedures. A 1973 Center for Correctional Justice survey of correctional administrators illustrates that a grievance procedure was established for the purpose of reducing litigation and violence, as outlined above. However, the survey also reports that administrators sought to assist management by identifying institutional problems.<sup>16</sup> As one source<sup>17</sup> points out, "the first and most important reason an administrator would adapt an effective grievance procedure is the potential management improvement that it can bring to the institution or program." The grievance procedure compels periodic review of existing policies and procedures, and each must be explained, justified, eliminated, clarified, modified or replaced. The grievance procedure provides a "window in" to the everyday occurrences of the prison: Are policies being implemented effectively and uniformly? Are some units creating greater difficulty than others? Has the level of satisfaction with meals, medical facilities, recreational programs, and the like markedly decreased or increased recently? Why? In addition to a grievance procedure's function as monitor, the administrator may also find it useful as a scapegoat in introducing policy reform that may be unpopular with correctional officers or middle management.

## 2. Types of Inmate Grievance Procedures

Three models of formal negotiation between inmates and correctional administrators are found to exist to varying degree.<sup>18</sup>

A problem-solving model relies on a small group of inmates, generally known as an inmate council, either elected by the inmate population or appointed by the Superintendent, specifically charged with conveying population grievances to the Superintendent. In some facilities the inmate council meets with the Superintendent on a regular basis, while in other facilities it meets only when certain kinds of conflict arise.<sup>19</sup>

A democratic union model permits the collective organization of inmates and the election of a representative to negotiate with prison administrators.<sup>20</sup>

An intervention model provides for specially trained third parties to intervene in the disputes between inmates and administration. The third party may be a volunteer lawyer, an ombudsman within the Department of Corrections, a citizens group, or a professional mediator.<sup>21</sup>

A 1973 survey<sup>22</sup> illustrates the extent to which these formal negotiation mechanisms (and combinations of mechanisms) are found in the 209 juvenile and adult state correctional facilities in 50 states and the District of Columbia. Inmate councils which meet with the Superintendent at regular intervals were present in 56 percent of the institutions surveyed. Some initial attempts at unionization, characteristically resisted by prison administrators, were found in 21 percent of the prisons. An ombudsman responsible for investigating complaints from inmates was present in 31 percent of the surveyed

institutions. In addition, 71 percent reported to have a legal services program of some sort available to their inmates. The most frequently reported grievance mechanism, however, was a formal procedure, reported to be present in 77 percent of the institutions surveyed.

More recently, the Comptroller General of the United States surveyed all 50 states and the District of Columbia and concluded that the ombudsman and the formal grievance procedure involving a multi-level appeal process are the most widely used grievance mechanisms in state correctional institutions and large-city jails.<sup>23</sup> A formal grievance procedure was found in 522 of the 594 state adult institutions, 412 of the 613 state youth institutions, 39 of the 72 city adult facilities, and 32 of the 41 city youth facilities.

The prevalence of formal grievance procedures among state correctional facilities, together with their presence in federal institutions,<sup>24</sup> indicates that such procedures are gaining credibility. Yet these formal procedures differ greatly. There is much variation in the levels of appeal and time limits. The majority of the existing procedures are without outside monitoring. Few allow inmate and staff participation in the procedure's design. Even fewer permit inmates to participate in the resolution of grievances. Appeal to an outside, independent body is not a characteristic of most existing procedures.

### 3. Center for Community Justice Principles for Effective Grievance Procedures

Against this background of growing concern and experience regarding inmate rights in American corrections -- and based on its own extensive work in the field -- the Center for Community Justice has



developed a set of 11 "Essential Elements of a Grievance Procedures." The Center for Community Justice approaches each new system or institutional setting with these principles as the basis on which all further discussions regarding their involvement can proceed. The design phase begins with a discussion of the implications of the principles with the correctional officials, staff, inmates, and any others who are to be involved in developing procedures.

The principles (as distilled from CCJ sources and our discussions with various staff members)<sup>25</sup> include:

1. Participation by elected inmates and by line staff in designing procedures and in resolving grievances.
2. Availability of the procedure to all inmates with guarantees against reprisal.
3. Guaranteed written responses to all grievances with reasons stated.
4. Speed: time limits for receipt of all responses and for any action putting responses into effect, with special provisions for emergencies.
5. Representation of inmates by staff or other inmates at all levels of the procedure.
6. Appeal to independent review outside the department of corrections.
7. Monitoring of all procedures.
8. Development and application of an impartial method for determining whether a complaint falls within the scope of the procedure.

9. Use of a definition of "grievance" which includes complaints against the substance of policies as well as their application.

10. Systematic training of all parties involved in designing and implementing the procedure.

11. Institutionalization of the procedure in the department of corrections after appropriate testing and evaluation to make it permanent -- preferably through legislation.

Our analysis views the development and implementation of inmate grievance procedures in the target states in the light of these principles, with an attempt to determine the degree to which the project's work is in harmony with the principles. This report's final chapter reviews the developed procedures against these eleven criteria.

4. Initial Efforts by the Center for Community Justice:  
California Youth Authority and Green Haven Correctional Facility

In the early 1970's the Center for Correctional Justice (as it was then known) began a project to provide solutions to problems of inmates on a case-by-case basis in the District of Columbia correctional system through the formation of a legal services program for prisoners. From their experience with this program, the Center concluded that legal approaches to the problems of inmates had limited potential. Thus, they began to search for other systemic approaches that would employ non-judicial ways of handling client's complaints.

The Center undertook a major research effort to document and analyze those administrative mechanisms for ways of handling grievances currently being utilized by correctional systems. This effort led to the Center's development of the set of criteria described earlier and

an approach to grievance mechanisms which adapted to the correctional environment those concepts underlying conflict resolution in industrial relations. The Center then conducted an initial field study of an experimental grievance mechanism at Concord Correctional Institution in Massachusetts, but it soon became necessary to abandon this project due to the loss of key state personnel who had been supportive of the procedure.<sup>26</sup>

The Director of the California Youth Authority (CYA), Allen F. Breed, invited the Center to help establish effective mechanisms for handling the grievances of wards (inmates) under his supervision. One of the central elements of the Center's approach that had special appeal to Breed was an element that had grown out of the experience in Massachusetts -- the both inmates and line staff should have a major role in designing and operating whatever procedure was adopted.

The Center began work in California in the summer of 1973 with a committee of wards and staff from one living unit at the Karl Holton School in Stockton. By March of 1974, ward grievance procedures were in operation throughout Karl Holton School. The expansion of the Center's model conflict resolution procedure into every institution of the California Youth Authority was a carefully orchestrated process that took place over a two-year period.<sup>27</sup>

In late 1975, the National Institute of Law Enforcement and Criminal Justice of the Law Enforcement Assistance Administration designated the CYA experiment, an Exemplary Project that deserved replication in other correctional systems.<sup>28</sup> In mid-1975, the Center received a two-year grant from the Law Enforcement Assistance

Administration to design effective mechanisms in four state prison systems, to train inmates and prison personnel, and to provide evaluation of these processes.<sup>29</sup>

At about the same time, the Association of the Bar of the City of New York received an action grant to implement an experimental inmate grievance procedure in the New York State correctional system, and designated the Center to receive the funds and assist in implementation. Green Haven Correctional Facility in Stormville, New York was the site chosen for the New York pilot project. While the Center began its preliminary work in New York, the state legislature began considering the passage of a grievance procedure law.

The Center's work with the design committee at Green Haven was completed in June of 1975, and training of the committee was conducted in collaboration with the Institute for Mediation and Conflict Resolution the last week of August. The project became operational at Green Haven simultaneous to the passage of the grievance procedure law; the procedure was implemented on August 1, 1975 and Section 139 of the New York Correction Law was signed by the Governor on August 5, 1975.

Any plans the Center previously had entertained for a carefully orchestrated expansion process in New York now needed to be radically altered. The Center worked with supporters of the proposed legislation for a version that was consistent with the principles enunciated in the pilot project at Green Haven. Two of the important principles of the Center's model procedure that were adopted in the final version of the bill concerned (a) the form of the committee structure and (b) the concept of independent outside review. The legislators felt that the

independent Commission of Corrections, which functioned as an oversight agency, was the appropriate body to handle any non-departmental review of grievances. However, the Center staff were concerned that the Commission would be viewed by inmates as part of the system and therefore not capable of independent outside review; such a perception could damage the credibility of any grievance mechanism.

The law as finally enacted included provisions responsive to both concerns: guidelines calling for (a) a balanced committee structure which consisted of two inmates, two line staff, and a non-voting chairman, and (b) delegation of the Commission of Corrections' "advisory review function" to "an independent arbitrator".<sup>30</sup>

The New York grievance law required that an inmate grievance mechanism be operational in all 25 correctional institutions in not more than 180 days from the date of passage. The New York correctional system needed assistance with preparation for implementation of this legal mandate, and the Center was asked for such assistance. In less than six months, elections were held for representatives to grievance committees, facility design committees were provided with aid, and training was provided for Department staff to assist in their later training program at the smaller facilities throughout the state. To provide further assistance to the state personnel responsible for implementation of the law, the Center developed an expanded Training Manual.

\* \* \* \* \*

Five critical factors, then, led to the funding of the Center for Community Justice for intensified work on inmate grievance procedures in state prison systems during the past two-and-one-half years:

- Increasing litigation by and in behalf of prisoners, and a subsequent crowding of the court dockets.
- Court decisions on conditions of confinement and other aspects of prisoners' rights that have been viewed by correctional officials as intrusions on their administrative authority and, subsequently, their ability to effectively manage the facilities in their charge.
- An increase in advocacy for prisoners' rights by volunteer groups and others.
- The growing interest within the Law Enforcement Assistance Administration in both citizen involvement in corrections and in non-litigative ways of solving conflicts and redressing inmate grievances.
- The experience, network, and publications of the Center for Community Justice relating to inmate grievance procedures.

CCJ's experience with codification of the essential ingredients of an effective inmate grievance procedure thus came to be applied to five state correctional systems in the hopes of making an impact on five concerns identified by the LEAA: violence in institutions, inmate perception of the efficacy of the handling of their complaints, litigation against correctional systems, formality and clarity of prison policies and procedures regarding inmates, and citizen action in and on behalf of correctional facilities.

### B. Objectives of the Grant

The Center for Community Justice was awarded the grant from the Law Enforcement Assistance Administration for the period September 1, 1975 to August 31, 1977, under the title, "Prevention and Control of Conflict in Corrections Through Citizen Involvement" (76-ED-99-0001). The general purposes and objectives of the grant are excerpted from the Summary section of CCJ's 1975 proposal to LEAA (emphasis added).

- The Center for Correctional Justice, an organization involved in the development of grievance mechanisms in corrections for the past four years, proposes to recruit citizen volunteers and train them to play key roles in a variety of programs designed to prevent and reduce conflict in correctional institutions and agencies.
- Working with correctional administrators in four pilot project states, the Center will provide assistance in recruiting and training citizen volunteers to participate with institutional staff and inmates in the design and operation of a preventive conflict resolution mechanism. In addition to a preventive mechanism, which will be introduced in each project state, the Center will help to create other conflict-reducing programs, where desired, including:
  - The establishment of emergency conflict resolution teams, consisting of administrators, line staff, inmates and respected community volunteers, selectively

recruited and trained in the skills of mediation, to respond to crises when requested.

- The involvement of local citizens with expertise in the theory and/or practice of administrative law and procedures in efforts to improve administrative procedures in corrections, especially those involving classification, transfer and discipline.
- The creation of general advisory committees, bringing administrators, staff, inmates and trained volunteers together to seek to improve substantive policies most productive of institutional conflict.
- Specific goals of the project include the reduction of violence and violent crime in correctional institutions and agencies; reduction of litigation aimed at correctional systems; improvement of administration of correctional institutions and agencies through clarification of policy; education of inmates in the benefits of using legitimate channels for the resolution of conflicts; and an increase of knowledge about corrections on the part of an influential element of the general community.
- During its recruitment of citizen volunteers, the Center will have the assistance of the American Arbitration Association; to train correctional administrators, line staff, inmates and volunteers in the skills of conflict resolution, the Center will procure the



help of the National Center for Dispute Settlement and the Institute for Mediation and Conflict Resolution.

- The project, in addition to establishing replicable pilot programs, will produce a manual for the use of citizen volunteers for the resolution of conflict in correctional institutions and agencies. The manual, containing an evaluation of the effects of the project, a history of the development of the project and standards for future conflict resolution programs, will be presented to selected correctional administrators at two conferences to be held at the conclusion of the project.

As discussions about implementation of the grant ensued between LEAA and the Center for Correctional Justice, the five "specific goals" noted in the preceeding Summary were refined slightly and became the focus of LEAA's interest for the evaluation of impact of the project. These goals (or "impact objectives" as they are called in subsequent sections of this report) came to be understood in the terms described below. For each objective, we have attempted to specify the underlying assumptions of correctional officials and others concerned with correctional reform.

1. Reduction of the Level of Violence within Institutions.

While much attention of correctional officials is directed toward violence of inmates against staff, we have found it important to examine other dimensions as well. Violence within correctional facilities may focus on two types of targets -- persons and property. Violence against persons may be inmate/inmate, inmate/guard, or large-scale intergroup in nature. Violence against property may have as its

target personal or institutional property. Major assumptions underlying this objective are (a) that large-scale violence in correctional settings is a result of an accumulation of unresolved grievances among inmates which ultimately collectively explodes, and (b) grievance procedures which fairly and swiftly deal with individual inmate grievances serially will reduce both interpersonal violence and large-scale intergroup violence in prisons.

2. Increase in Inmates' Perception of the Likelihood of Fair and Prompt Handling of Complaints through Administrative Mechanisms.

Inmates' lack of basic trust in correctional officials and institutional procedures is endemic to the prison situation -- some of it well-founded, some a by-product of the nature of confinement on criminal charges. Assumptions leading to the formulation of this objective include (a) that it is possible to develop a higher level of trust among inmates for the institution and institutional personnel, (b) that such a heightened trust level will promote more efficient and humane management of prisons, and (c) that building a track record of successful grievance resolution in prisons will increase inmate trust.

3. Reduction of Litigation against Institutions.

With court dockets overloaded with inmate writs, every interest group concerned with corrections is seeking constructive alternatives to litigation in solving the day-to-day problems of managing and living in prisons. The development of court-diversion mechanisms has been a popular approach in the pre-incarceration phases of the criminal justice

system\* as well as in such fields as mental health, consumer complaints, and racial and community disputes. Assumptions underlying this objective are (a) that litigation is not the most appropriate way to handle inmate complaints (it is too costly and lengthy, and unnecessarily further exacerbates the adversarial relation between keeper and kept), and (b) that good grievance machinery can deal effectively with justiciable grievance issues, thus reducing the load of court cases and reducing the increasing intrusion of the courts into the management processes of correctional systems.

4. Increase in the Number of Written Policies in Institutions and/or Increase in the Clarity of Written Policies Already in Existence.

As an institution essentially aimed at social control of adjudicated "deviants", correctional systems and facilities spawn numerous rules and regulations. Such rules and regulations may be more or less formal, and may be well or poorly communicated to the population. They often are highly specific, depending on facility, type of classification, and other variables. Frequently inmates must know both system-wide and facility-specific rules -- and these rules are not consistent in every case. Inmates often complain that policies and procedures are arbitrarily promulgated and applied by line staff. The assumptions underlying this objective are (a) that formality and clarity of policies and procedures is an ethical mandate as well as a positive managerial tool in correctional facilities, and (b) that writing down "unwritten

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\*Noteworthy examples include the American Arbitration's 4A Program (Arbitration As An Alternative to the criminal warrant) and the work of the Vera Institute of Justice in New York City.

rules" and clarifying policies and procedures that are already in print will limit arbitrary negative behavior on the part of correctional staff and improve the management and atmosphere of the facilities.

5. Increase in Citizen Volunteers' Knowledge of the Corrections System and the Action Taken by Volunteers on Behalf of the Correctional System or Particular Offenders.

Citizen volunteers have long been viewed as a critical element in providing various types of services to inmate populations, advocating for the needs of the correctional system in legislative circles, and in identifying and influencing needed reforms. LEAA formalized this concern in solicitation of projects involving citizens' activities in corrections; the CCJ project was funded under a Citizens' Initiative Program category within LEAA. Two important assumptions underlying this goal are (a) that citizen action will improve correctional settings and processes, and (b) that citizen volunteers can constructively fill a variety of roles related to grievance resolution in prisons.

C. Broader Implications of the Five Objectives -- and the Grant Activities.

The attempt to build inmate grievance procedures in certain facilities of four state prison systems is but one of literally hundreds of policy decisions and interventions -- and thousands of everyday interpersonal transactions -- that shape the life of these institutions. In this context, it is impossible to scientifically determine causation of individual, interpersonal, and institutional behaviors in these facilities as they relate to the five limited and specific objectives of the LEAA/CCJ grant. This point receives elaboration as we discuss research objectives and problems of measurement. It is the basis of our attempt now to set the grant's five impact objectives in the wider context of prisons as institutions so we may be explicit about the broader implications of the objectives and of the activities conducted under the auspices of the grant. The two major points we want to make in this section are (a) that the five major objectives specified in the grant proposal and funded by LEAA are not open to precise causal measurement, and (b) that these objectives may or may not be important to the various constituencies of prisons (administrators, guards, inmates, legislators, etc.). In this light, we note some of the implications of this project and its objectives for a number of correctional constituencies.

1. For Correctional Officials.

Most of the objectives are written from the perspective of correctional officials and their desire to maintain secure, smooth-functioning facilities. For those charged with the responsibility of

managing correctional facilities, such aims as low violence, high inmate trust, and low litigation are highly desirable. For guards, a degree of certain types of violence (namely non-homicidal inmate-on-inmate) is tolerated and, in some cases, encouraged. Despite these variances among administrators and correctional officers, one point is clear: if any system for processing inmate complaints is to work, it must be perceived as useful to both administrators and guards -- i.e., there must be some "payoff" or "something in it" for them. For administrators (both at the facility and the division level), it appears to us that serving as a "window-in" or an additional source of systematic intelligence on the daily life of the prisons in their charge is one of the most important objectives of a grievance procedure. For guards, the immediate payoff is unclear, for introduction of an inmate grievance system may be perceived as yet another administrative burden and/or a further weakening of their authority to deal with inmates forcefully, arbitrarily, and without action-specific accountability.

## 2. For Inmates.

The goals of most inmates, we believe, have little to do with the formal objectives specified by the grant, yet the achievement of these objectives could assist inmates in achieving their immediate ends. Most inmates want to be secure in their person and property, and to complete their time rapidly with as little "hassle" and hard work as possible. Reduction of inmate-on-inmate and guard-on-inmate violence would have a direct bearing on these goals, as could the achievement of a clear and uniformly-enforced set of rules and procedures within the

facility, for example. But more pressing questions for most inmates would be: Will a grievance procedure help me achieve justice? Will I get the cell assignment I want? The work or program assignment? Can the procedure help protect me from assault? Will it replace the existing informal inmate leadership structure? Most importantly, is it one more meaningless gimmick handed down from above, raising expectations, but delivering little?

3. For Community Constituencies.

Legislators, prisoner advocacy groups, bar associations, and other community constituencies each may view the objectives of an inmate grievance procedure in the light of their own goals and interests. Legislators have been searching desperately for ways to deal with "the prison problem"; inmate grievance procedures may be viewed as an aid in that search if indeed they reduce violence and litigation, and increase inmate trust. We believe that one of the major thrusts leading to the grant came from the response of legislators and others to Attica, and the implication that such violent confrontations are the result of an accumulation of unsatisfied inmate complaints. Inmate advocacy groups could see the procedure as a way of empowering inmates in their struggles for rights and privileges. But most outside constituencies want, most of all, to be able to believe that correctional facilities are adequately doing their job, and to avoid unpleasant outward manifestations to the contrary (prison riots, for example): Some apparently believe that the institution of inmate grievance procedures could help achieve this goal.

4. For the Center for Community Justice.

For the CCJ, the grant represented a major enlargement in scope and visibility of its previous studies and limited applications of inmate grievance procedures. As such, "succeeding" in this visible national project is perhaps the organizations's major goal, for much is at stake regarding the future of the organization and of the innovative procedures with which it is identified. CCJ's success with the project, therefore, could be measured by its ability to demonstrate achievement of the five objectives specified in the proposal, but also (and perhaps more importantly) by the degree to which it developed procedures that would "stick" in the various facilities and state systems, and by the approbation gained by professional colleagues in corrections and the law. Measuring CCJ's success in terms of Objective 5 (citizen involvement) is especially problematic, for they are lawyers who are correctional specialists -- and not community organizers or community relations specialists.

5. For Social Justice.

It is significant that none of the five objectives under which the grant was granted speaks to any concept of "social justice". While it could be argued that some of the objectives could be instrumental to an end-goal of justice, the objectives nonetheless are written from an "establishment" (i.e., owners and managers of the system) rather than a client point of view. As such, the direction of intended impact is toward system maintenance and enhancement rather than client rights or system change. Many of the issues and implications of this inter-



vention revolve around one question, to which we shall return at many points in this report: Are inmate grievance procedures essentially a sophisticated method of social control, or do they promote social change toward a more just system and society? Or can they do both?

6. For Research, Policy, and Development in Corrections.

Any limited intervention at one point in a social services system has potential implications for the field or discipline in which it is set; inmate grievance procedures are no exception. Surely one of the assumptions of LEAA has been that, if the introduction of such procedures in a variety of prison settings could lead to reduced violence, increased client trust, etc., correctional officials in other states would utilize the innovation. In that light, it must be said again that it is virtually impossible to ascertain with any scientific confidence that the introduction of any one intervention (such as inmate grievance procedures) could "cause" any measured change in the five variables -- institutional violence, client trust, litigation, procedural clarity, and citizen involvement. One riot, one execution, one accidental or "accidental" death of an inmate easily could have a greater effect on many of these variables than any externally introduced intervention. Correctional systems are too complex to lend themselves to precise causal analysis. It is apparent to us that inmate grievance procedures will impact the field of corrections and its future development not from any indication that these (or any other) five abstract objectives can be met, but rather from a demonstration to a number of powerful policy-makers and administrators that they

can meet some of their specific political and managerial goals -- e.g., survival (personal and institutional), compliant clients, and satisfied politicians.

D. Objectives of the Evaluation Process and Report.

Our major aim in undertaking the evaluation of this project and in preparing this report is to provide a description and analysis of the introduction of an inmate grievance procedure into a number of state prison facilities that will be useful to all the constituencies of corrections in the United States who are interested in improving the system. This aim is consistent with the major operating objective of the Center for Metropolitan Studies at the University of Missouri-St. Louis: to produce research findings that will assist citizens groups, client groups, and public and private officials in forming and implementing humane, equitable, and effective social policies.

We believe -- and recent evidence indicates<sup>31</sup> -- that diffusion and utilization of research findings are much more likely to occur when the research design yields a focused, problem-oriented case study with which owners, managers, staff, clients, and community constituencies in other institutional settings can identify in approaching their own situation. That is, the probability of research findings having a high impact on policy in the field is enhanced when they are reported in a way that will enable a step-by-step understanding of the "how-to" of an innovation, in contrast to reporting large aggregate statistics that are more of interest to social scientists than the real-world constituents of the institutions in question.

The explicitly stated aim of the evaluation team has been to conduct our evaluation process and produce a report in ways that will affect corrections policy in the areas of conflict prevention and resolution, inmate rights, and institutional management. We have not viewed ourselves as passive observers and collectors of data, with a focus primarily on

the end-products falling within the schema of the five objectives. Rather we have followed an emerging tradition of formative evaluation, in which the researcher places primary focus on the process of development and institutionalization of an innovation, and indeed may contribute to that development by raising questions or pointing out flaws or contradictions to the change-agents as the process matures.

The Principal Investigator brought to the project considerable experience as a director of program evaluation and development in a Federal agency, and the Project Director has an extensive background of work in correctional institutions. We felt it would be naive and irresponsible not to add this experience to the development of the mechanisms, and we have actively attempted to do so through discussions with CCJ personnel and the various parties in the central offices and individual facilities, and through a series of recommendations in each of the eight Quarterly Reports submitted to the CCJ during the course of the project.

Another aim of our work which developed as a natural outgrowth of our training as sociologists and our commitment to certain values is that of promoting openness and democratization of communication and decision-making in institutions. While we recognized that this is a scarcely-attainable aim for a group of part-time outside social scientists studying a few correctional facilities, we approached the personnel and facilities in a way that promoted openness and sharing of information about who we were and what we were doing. This approach created a style of operating in the institutions that produced for us a good deal of information from a number of parties on relatively short notice about the social dynamics of the institution, enabling us to put our more formal

data (questionnaires and log books) in context. This approach receives more attention at the beginning of Chapter II on "Research Objectives and Methods."

Another aim of our involvement as evaluation researchers was to continually raise what we consider to be the most critical social justice question relating to the development and use of inmate grievance procedures: Does installation of this type of procedure advance or retard progress toward social justice? We were willing to undertake this evaluation because we believed that inmate grievance mechanisms could promote constructive empowerment of inmates (and, although they rarely see it this way, guards) for greater self-determination regarding the conditions controlling their everyday lives in prison. We knew that the process could be constructive, teaching guards as well as inmates that they can take responsibility for some decisions that will ultimately affect them more than administrators, commissioners, or politicians.

"Promoting justice for inmates" was not an objective of the grant. Inmates were not influential in determining what the five objectives would be. We wanted and want to continually raise the question of what is to be gained by the two weakest (and, therefore, most at-risk) parties in correctional settings -- inmates and guards. Unless and until these two groups stand to gain something significant from the introduction of inmate grievance procedures, other laudable objectives related primarily to organizational maintenance and institutional stability (reduction of violence and litigation, and increase in client trust, for example) will not be achieved. Our belief is that achieving some greater measure of social justice for the weakest groups in social systems is a necessary condition

for attainment of the social control and stability desired by the more powerful parties.

Our hope is that inmate grievance mechanisms might help move some persons and systems in that direction, and our work and this report are offered in that light.

I

NOTES

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## II. RESEARCH METHODS

### A. Social Research As A Decision-Making Process

Social research in all but the most rigid of classical experimental designs is not the passive following of a formula, but rather an active process in which researcher, design, and setting are in constant interaction -- requiring the researcher to serve as an alert and often inventive decision-maker during the course of the research. And when the research setting is a set of systems and institutions as complex and politically-sensitive as American prisons, the problems are further compounded.

This chapter of the report to the Center for Community Justice is intended to provide a description of the research process we followed in evaluating the CCJ's development of inmate grievance procedures, the rationale behind this process, our operationalization of the five research objectives, and a caution to readers about the limits of confidence within which we present our findings.

Before elaborating on the conditions of the project and the role of the evaluation team, two critical points should be made clear.

The first point is alluded to elsewhere in this report -- that a scientific determination of causality of outcomes related to the five impact objectives is not possible. The variables are too many, too complex, and too uncontrollable for any such determination. Any observed effects following introduction of the Inmate Grievance Procedure could be the result of a number of factors other than the procedure, e.g., unusual events, "maturation" of the system or the respondents, "multiple treatment interference", or others.<sup>1</sup>

Second, it is important to indicate the nature of the research design we developed and used, which could best be described as a series of purposive case studies with a pre/post survey component and heavy reliance on ethnographic and observational methods. There was no single unit of analysis for our work; the units of interest were total state systems, individual correctional facilities, housing units within facilities, Inmate Grievance Resolution Committees, and/or the inmate grievance resolution process itself. The nature and structure of prisons prohibited utilization of control groups; therefore, anything approaching a classical experimental design was impossible. Further, given the complexity of the systems under study and the limited time and staff with which to approach them, it was virtually impossible to assess unintended consequences of the introduction of the CCJ Inmate Grievance Procedures model.<sup>2</sup>

Therefore, in our judgment, the validity and utility of our evaluation must hinge on the quality of the insights we are able to generate about how an inmate grievance procedure really works, and how it may be successfully introduced into a variety of correctional settings. The ability of readers to make these judgments and to understand the dynamics of introduction and operation of the procedure is enhanced, we believe, by providing them with an analysis of our research as a decision-making process.

The decisions we faced in approaching this evaluation are similar to those faced by all researchers. Shall we take a broad or limited focus in our research work? What design is most appropriate? Are we interested in influencing the development of the project we are evaluating, or

merely reporting what we learn about that development? And, how do we balance our allegiances to the various constituencies interested or potentially interested in our work (correctional officials, social scientists, the CCJ, and inmates, in particular)? Our answers to these questions, which emerged as we lived through the phases of the project, form the context against which the results reported in Chapter III and the interpretations offered in Chapter IV may be evaluated.

1. The Focus of the Evaluation: Broad Rather than Narrow.

The grant from LEAA to the Center for Community Justice specified five objectives against which the CCJ's work should be evaluated -- all of them related to outcomes to be achieved in, and in relation to, correctional institutions through the introduction of Inmate Grievance Procedures. The evaluators recognized the impossibility of scientifically "proving" that this one intervention (grievance procedures) could "cause" outcomes believed to indicate achievement or nonachievement of the five objectives, and further had a strong commitment to diffusion and utilization of the results of evaluation research. Given these two conditions, it was inevitable that we would select a design that gave us a broad rather than a narrow focus on our task. Since it was (and is) impossible to isolate the effect of grievance procedures as either an independent or substantial intervening variable, we chose to place broad emphasis on the structure and process of the institutional settings into which the intervention was being introduced. A further impetus to a broad focus was our interest in producing a product that would have high utilization potential, and we believed that corrections officials would be more responsive

to comprehensive case (i.e., by facility) data rather than narrow quasi-experimental proofs or large-aggregate data.

2. The Design: Purposive Case Studies.

It was inevitable that the types of designs we employed would emerge from our experience in the early stages of the project. We entered the field with a strong commitment to scientific rigor -- and with an equally strong commitment to realism and the desirability of making our findings attractive for application. The designs for the individual states (the New York design in Appendix is typical) began to emerge only after a number of consultations with CCJ staff and several field visits to assess both the nature of the research problem and the types of resistances we likely would face. It was clear by then that our approach should rely on case studies, survey instruments administered to officers and inmates pre/post intervention, observation, and documentary data.

We felt that only through this broad approach could we relate the richness and complexity of the data to the interested audiences. It was clear immediately, for example, that the five objectives could not be viewed in isolation, and that there were problems of internal consistency (e.g., achievement of "greater citizen involvement" is likely to increase rather than decrease litigation). Another confounding variable was the granting by LEAA of \$1.5 million to the New York Bar Association to put young lawyers (i.e., litigators) in the prisons of the state to assist inmates at about the same time LEAA also granted the near \$600,000 to CCJ to, among other things, reduce litigation!

3. Our Stance Toward the Grievance Procedure and the Research:  
Active Rather than Passive.

Because of the commitment of all the evaluation team members to institutional change and social justice, the question of whether we would passively sit by and merely report on the development of the grievance procedure (even if the procedure was having difficulty and we felt we could help) did not get raised explicitly. Rather the three members of the evaluation team combined their styles of field research and developed an approach to the field situation which is best described as assertive and comprehensive. We approached the individual facilities and the central offices in the correctional systems as anthropologists might approach a total society, looking for a comprehensive picture of the role differentiation, sources of power, points of access, information flow, etc.

In New York, for example, in our first approach to the central office we learned from a high level research official that there were no plans to collect any data on the operation of the Inmate Grievance Procedure, even though it was mandated by the state legislature and was scheduled to become operational within two months. Our inquiries both within the New York system ("What will you do if/when the Legislature requests a report on how the grievance procedure is operating?") and to CCJ had an influence in the addition of a competent high-level researcher in New York to work with the grievance procedure.

Our major form of ongoing feedback to CCJ was the Quarterly Report. We issued eight such reports between December 1975 and October 1977, each containing a series of recommendations to CCJ regarding its work on implementation of the procedures. An analysis of those reports and recommendations appears in section F of Chapter III.

Other ways in which we know we influenced the direction of the process of building inmate grievance procedure included (a) our suggesting what became the Keystone Conference in September 1976 to give the state officials (and researchers) an opportunity to assess progress and compare notes, (b) assistance to grievance committees in developing forms, (c) serving as linking agents among the various states' researchers to help develop comparability of data, and (d) strengthening the position and the function of a hearings officer who had been rather isolated through our interpreting of his views and activities to CCJ and facility and state corrections officials. Further, we were variously asked to consult with a legislative task force charged with reorganizing corrections in one of the states and to write a comprehensive memorandum by a state correctional official who wanted to justify a request for more staff for the operation of the grievance procedure.

Our desire to be heard and to serve as a kind of ongoing monitor as well as summative evaluator was the cause for some concern by CCJ and some of the facilities, as is always the case when an active evaluator adds yet another layer of intervention to a fish-bowl institution with the sensitivity of the corrections system. Through our field work we developed solid personal and professional relationships with a number of persons, ranging from deputy commissioners to researchers, superintendents, correctional officers, and inmates. We quite naturally on several occasions gave feedback directly to some of these persons, and in some instances state or facilities level correctional officials reacted to CCJ about some of our findings. We recognized the difficult position in which such direct contact placed the CCJ, and agreed to direct our interpretations



through them. But the problem will exist whenever an evaluator is a subcontractor of the implementing agency rather than the funding source.

#### 4. Balancing Allegiances Among Constituencies.

We knew that any researcher who wishes to enter an ongoing institution or set of institutions must be dealt with by the existing interest groups -- that is, must be placed in a role relationship that is comfortable and perceived as useful to the persons who will still be there and responsible when the researchers leave. We adopted a position of trying to bring something to all the constituencies we touched in this research, and to be coopted by none of them. For state-level officials, we were perhaps useful because of the broader perspective we could bring them from our own backgrounds and from the other institutions. The more open facilities administrators wanted to use us for intelligence-gathering and for discussing interpretations of what was going on in their institutions; the more defensive administrators barely tolerated us. Inmates were naturally suspicious of us, but many saw us as a channel to legitimate their views to the administrators with whom they knew we would be talking. Guards had very little use for us at most institutions.

Two of the most important constituencies for us were, of course, outside the prisons -- the CCJ and the social science community. Here, as in all applied research, the question became one of the type of design to be used and the level of sophistication of data analysis. From reading previous CCJ and LEAA evaluation reports, we knew that tabulations and marginals were adequate treatment of survey data for these audiences. But for the social science audience (the professional peers whose judgment directly affects our future), a much greater level of quantitative

sophistication is required. Here again, we have tried to balance the needs and interests of these two constituencies, developing a style capable of providing analytical as well as descriptive treatment of the quantitative data.

Conflict often arises for the evaluation researcher between the desire to tell every bit of social science truth as soon as one discovers it, and the desire to build and maintain good relationships with the agency being evaluated. Our respect for the work of the CCJ, and our commitment to introducing these types of institutional reforms in corrections, have led us to resolve most tensions of this type that we felt in the direction of support of the CCJ's work.

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In summary, then, (a) our evaluation approach has been more formative than summative, (b) the design has emerged throughout our field experience rather than being prescribed a priori, (c) we have been oriented toward support of the work of the host agency and toward offering counsel to the staff, and (d) we have been careful to continue to raise what we consider to be the crucial issues surrounding the introduction of inmate grievance procedures -- cooptation, social control, justice, and the like. In this context our research activities now are described.

## B. The Work Of The Evaluation Team, 1975-78

Our involvement in evaluating the CCJ's development of Inmate Grievance Procedures came because of Laue's previous work in racial and community conflict resolution. He had served as monitor of a large Ford Foundation grant to the Institute for Mediation and Conflict Resolution in New York in the early 1970's, and the Institute's Vice President, George Nicolau,\* suggested him as an evaluator for the CCJ/LEAA project. A preliminary evaluation design was submitted in December 1974, and was selected by the CCJ.

The intensity of involvement by the evaluation team in the project is reflected in the schedule of field visits conducted in connection with the evaluation, which is contained in Appendix A. We conducted a total of 51 field visits, involving a total of 149 person-days for Laue, Hepburn, and Becker, and 20 person-days for consultants to the team. As Principal Investigator, Laue devoted approximately 15 percent of his total time to the project from September 1975 to April 1978. Project Director Hepburn was one-third time during the academic year, and half-time during the summers of 1976 and 1977. Senior Research Assistant Becker was three-fourths time for the first year of the project, then full-time from September 1976 until its close. Clerical and other support services were provided by the Community Conflict Resolution Program of the Center for Metropolitan Studies.

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\*Nicolau and the Institute conducted much of the training for the CCJ in the current project, having jointly pioneered the ward grievance machinery with Singer and Breed in California before the present project began.

Laue met with CCJ staff twice prior to the formal beginning of the grant period, then he and Hepburn consulted more extensively with CCJ in Washington in October 1975. Field visits began in earnest in December 1975 when the full team observed training in Albany and met with New York Department of Correctional Services personnel; it was then that we learned that no data were being generated on the soon-to-begin Inmate Grievance Procedure, and that aggregate data regularly gathered by the Department are largely on the basis of individual inmate records and, as such, were unusable for our purposes.

Since Auburn was to be the site of our first intensive field survey activities in February 1976, Hepburn and Laue visited with the superintendent and other personnel there in December 1975 to prepare both the facility and themselves for the site visit. The team's activity there was to become the model which we followed elsewhere: making advance contact with the superintendent through and with the help of CCJ and state-level officials, carefully spelling out the needs of the research team, becoming familiar with such facility-specific phenomena as local records and local security procedures, and trying to determine how our data-needs and those of the facility could complement one another.

Conducting the Time 1 surveys involved meeting with the superintendent, deputy superintendents, captain of the guard, and head of the officers' union (or equivalent) as soon as we got to the institution to clear signals regarding our movement around the facility and the often difficult process of getting inmates to the proper place so surveys could be administered. Getting cooperation from guards also was difficult -- in some facilities more difficult than getting an inmate sample. In

virtually every institution surveyed, we administered officer survey forms by meeting with each of the shifts on a given day, distributing the form with an explanation (and, where possible, a good word from the union head -- including, in one case, a letter from him which was read at each shift), then collecting the forms at the end of the shift in a marked box in the squad room area. Methods of drawing inmate samples varied from facility to facility as the local correctional customs dictated, as is indicated in the last section of this chapter.

During both Time 1 and Time 2 site visits, in addition to the administration of surveys, interviews were conducted with administration, members of the Inmate Grievance Review Committee, the Grievance Clerk, and others. Where possible, training and hearings were observed. We mixed as much as possible with the inmate and guard populations, and had a number of informal discussions about the nature of the institution and the receptivity (or lack of it) to the new procedure. We observed behavior in the dining halls and yards and shops. We spent a good deal of time with the keepers of institutional records in each facility. We made a conscious attempt to relate to personnel and clients at every level of the institution, and to convey a sense of openness about what we were doing and what we were finding. We tried to develop a sense of collegue-ship with all we met in the facilities and the central offices -- inmates as well as staff. Some manifestations of that approach include our going out to dinner with guards as well as superintendents and commissioners, our long discussions with individual inmates about topics ranging from theology (Muslim vs. Christian) to job opportunities on the outside, and, in one case, extended correspondence between a superintendent and the

Principal Investigator developing an outline for completion of papers for the superintendent's college equivalence degree.

The style described above was applied by the evaluation team throughout the course of its work. As an indication of the broad focus described in the previous section, we designed a questionnaire and collected Time 1 and Time 2 mail survey data from most of the other facilities in New York state (in addition to Attica, Auburn, and Bedford Hills, which were part of our design for the CCJ work). A total of 12 additional facilities were involved, and we decided to collect the data long before it was clear whether the State would be able to compensate us for the expenses, for we felt that a system-wide data base should be developed at the beginning of the implementation phase for the Inmate Grievance Procedure.

The normally expected problems faced by evaluation researchers were encountered throughout our work, and adjustments were made accordingly. Early visions of design purity (matched samples of states and inmate populations, and truly randomized sampling procedures within the facilities, for example) went by the board early in the life of the project. We had an interest in seeing certain types of states included in the project but, in reality, only those states where access could be achieved by the CCJ could be included. Our goals for inclusion of states in the project were similar to those of CCJ: geographical diversity and balance, receptivity and the potential for successful implementation, contrast between states with a law mandating grievance procedures and those without statutory authority, etc.

Sampling procedures of necessity varied from state to state and from facility to facility because of inmate work schedules, the organization

of the facilities, security procedures, and -- most critically -- the posture of the superintendent and his or her security deputy. The finite availability of time, money, and staff energy -- given our broad focus and desire to conduct a comprehensive evaluation -- was a constant problem to us. All the well-known resistances of institutional personnel to evaluation research were encountered; here, again, our approach was one of collegiality, trying to see what we could offer by our presence that would help correctional personnel and clients fulfill some of their goals while we were able to meet ours.

As indicated in Appendix A, our field work included follow-up visits to the facilities between Time 1 and Time 2. Intensive field work ended in September 1977 with our Time 2 visit to South Carolina, but Hepburn visited Kentucky three times and conducted extensive telephone consultation with administrative and research personnel there to help them establish a design and data collection procedures when the state was added to the CCJ project in its final months.

The evaluation team began outlining the final report in November 1977, although the project did not formally end (following a series of no-cost extensions) until April 30, 1978. The outline was shared and discussed with CCJ before writing was begun. Quantitative data analysis, under the direction of the Project Director, was completed by the end of 1977, and much of the writing from those data was undertaken during the early months of 1978. Final copy and editing were completed in late spring and early summer, in close consultation with CCJ, which received drafts of the major sections for review for accuracy. Final prerogatives

regarding interpretation of the findings were maintained by the evaluation team, of course.

It should be noted that, while the formal evaluation work of the CCJ/LEAA project is over, we shall maintain contact and no doubt work with CCJ staff in the future, for our interests and goals are similar. As this report is finalized, discussions are under way regarding future collaboration of CCJ and the UMSL team in pursuing constructive methods for resolving conflicts and promoting change in correctional and other facilities.



### C. Indicators Of The Five Objectives

Ethnographic, documentary and attitudinal data were sought to assess the impact of the Inmate Grievance Procedure on each of the five objectives. Ethnographic information was obtained during each site visit, of course, and by means of informants both within and outside the correctional systems we studied. Documentary data compiled by the Center for Community Justice and institutional records of each correctional system were reviewed. Among the institutional records were disciplinary reports, use of force reports, adjustment committee records and the proceedings of the Superintendent's hearings. Attitudinal data were secured by unstructured interviews with administrators and structured questionnaires from inmates and correctional officers. Attitudinal items were developed from (1) a review of current correctional literature, (2) the California Youth Authority's earlier evaluation efforts of the ward grievance procedure and (3) our construction of items to assess dimensions specific to the five objectives.

There is variation by state (or facility) in the amount and type of data that were used. This is especially true of documentary data because of differences in institutional record-keeping systems. At facilities where disciplinary reports were not recorded on a daily log sheet, for example, time did not permit coding of disciplinary action from individual inmate files. Alternative field measures were sought in such situations.

The potential indicators for each impact objective are enumerated below.

1. Reduction of violence within the institution.

The guiding principle for developing field measures of prison violence was the recognition that all correctional settings have three distinctive groups -- wardens, guards, and inmates -- in a quasi-military institutional structure, between whom antagonisms can and do exist. Group antagonisms frequently are manifested through acts of violence -- either against people or against property. Based on this principle, questionnaire items that would provide frequency responses to specific events, such as physical fights and verbal abuse between inmates and staff, were selected.

The following institutional records were initially examined in the New York correctional system: Use of Force Reports, Superintendent's Proceedings, Unusual Incident Reports, Adjustment Committee dispositions, and Daily Journal Logs. While the proper names given to the various types of records are system-specific, the types of events which they record in correctional settings are universal and their contents include reports of inmate and staff behaviors that have potential for disciplinary action.

An on-the-site content analysis was made at the Auburn facility of the above records to determine their utility as indicators of violence. This analysis revealed that the Use of Force Reports are infrequently filed when the physical restraint of an inmate by guards resulted in some degree of bodily injury, and are used only in those instances where the use of force must be justified. These reports were eliminated as data for our purposes. Superintendent's Proceedings are reports of administrative hearings and disciplinary review of either correctional officers or inmates if they are cited for a severe rule infraction that could result

in legal action. These hearings tend to function as an "in house" due process mechanism. Superintendent's Proceedings reports of inmate behavior were found to be included in the Daily Journal Log. The few instances where staff action resulted in a hearing were recorded as field notes.

The Unusual Incident Reports are those events which pose serious threats to institutional security or property that include acts of disobedience that break Penal law and endanger the life or health of inmates and/or staff. These reports also include severe damage or loss of state property by either inmates or correctional officers such as damage to state vehicles, severe assaults, cell fires, suicides, or death. The violent acts in these reports were too few in number and unusual in nature to code as the sole indicators of violence.

The Daily Journal Logs record each incident in which an inmate is cited for infraction of a rule and the disposition of each case by the superintendent, command staff personnel or the Adjustment Committee. Entries include the violation of all rules, from the less severe "order maintenance" rules pertaining to spitting and disrespect of the quiet bell to the more severe "crime control" rules pertaining to assault and contraband. Indicators of institutional violence were developed by coding these prison records to quantify all individual incidents of inmate rule infractions into eight sub-categories of offenses against persons or property (for specific details see New York section). While an examination of institutional records was done for each state, only in New York State was the above method feasible.

2. Increase in inmates' perceptions of the likelihood of fair and prompt handling of complaints through administrative mechanisms.

Questionnaire and interview schedules were the primary data source to measure a sufficiently large number of individual perceptions of fair and speedy processing of inmate complaints. Inmate and officer responses to questionnaire items were gathered during the implementation phase and again after the procedure had been in operation for one year. Questions were asked about the fairness, speed, and amount of written documentation, along with questions about the desirability and usefulness of the inmate grievance procedure.

For further verification of the fairness and prompt handling of complaints, grievance procedure records were analyzed to determine the speed with which complaints were handled by focusing on system adherence to the time limits of the procedure. Analysis of grievance records also permitted the assessment of the number of appeals by the grievant in the resolution process.

Institutional records of alternative inmate complaint mechanisms were also studied to assess whether there had been any change in the number and/or the type of issues being handled by these mechanisms since the implementation of the procedure.

3. Reduction of litigation against institutions.

Indicators to assess the reduction of litigation were more difficult to develop. Several research approaches were begun and abandoned during the study, among them: attempting to assess the use by inmates of administration legal councils; assessing the use inmates made of their facility's law library; and quantifying the legal writs written and processed by inmates. As an out-growth of the mid-project conference sponsored by

the Center for Community Justice at Keystone, Colorado, it was decided that a reliable indicator could be constructed by rating the justiciability of each grievance. This method was utilized in both New York and South Carolina.

4. Increase in the number of written policies in institutions and/or increase in the clarity of written policies already in existence.

There was no solid indicator available to examine this fourth impact objective. Copies of each state's guide for inmate behavior and/or specific facility rule books were obtained during each site visit. Departmental policy and procedural manuals were purused along with administrative bulletins as possible comparative data. Yet only those policy and procedural changes that surfaced as grievance resolutions could be documented. A measure of the clarification of written policy was also included on Time 2 surveys to determine the change in written policies as perceived by inmates and officers.

5. Increase in citizens volunteers' knowledge of the correctional system and action taken by volunteers' on behalf of the correctional system or particular offenders.

Four logical forms of citizen involvement were defined: (1) citizens could be utilized as committee chairpersons at local facilities; (2) citizens could be effectively trained to serve as arbitrators (designated as a stage in the grievance process); (3) citizens could be utilized as outside monitoring agents of the procedure; and, (4) citizens could provide specialized forms of technical assistance, e.g., specific research about grievances, develop training materials, and conduct workshops to achieve the needed reinvestment of facility personnel in the principles of the Inmate Grievance Procedure.

The primary source of data for the impact objective of citizen participation was ethnographic. Interviews were conducted with every director or coordinator of volunteer services available through a state office or a local facility. Field notes provided descriptive and observational data on the role of citizens during both the development and implementation of the various grievance procedures. Special attention was given to the use of citizens as arbitrators. Where citizen volunteers were trained and utilized as arbitrators, interviews were conducted with administrators of the parent organization.

#### D. Operationalizing The Research Objectives

Our research design utilizes ethnographic data, observation and interview data, inmate and staff questionnaires, and institutional records to assess the research objectives outlined above. The research plan varies for each state due to differences between the states in (a) the availability of institutional records and (b) the state's stage in the process of implementing the inmate grievance procedure.

##### 1. California

The inmate grievance procedure had been operating within the California Youth Authority facilities since 1973 and had only recently begun operation within the offices of probation and parole when our evaluative contract was initiated in September 1975. Consequently, our concern in California was two-fold. First, we wanted to know what could be learned about the inmate grievance procedure from an examination of its current status within the California Youth Authority that might assist in pinpointing future problems in institutions where the procedure was about to be implemented. Since the grievance procedure had been in existence in the Karl Holton School since 1973 and all facilities since June 1975, interviews were conducted to ascertain the answers to such questions as:

- (1) Does the number of grievances increase or decrease substantially over an extended period of time?
- (2) Does the type of grievance change over time?
- (3) How does one maintain a high level of investment in the procedure on the part of both inmates and staff?
- (4) What has been the procedure's administrative utility?

(5) What administrative problems has the procedure created during its lifetime?

Our second objective in California was to assess the grievance procedure's feasibility within probation and parole. Numerous interviews with administrators, parole and probation officers, and those on probation or parole were conducted to evaluate the efficacy of the Inmate Grievance Procedure outside the institution.

a. Nature of the Data

The pre-existence of the Ward Grievance System in California not only prevented the use of a "pre-post" research design but gave rise to a number of other factors which differentiate it from the other states. While these differences impose certain limitations on the comparability of the research, they also suggest some important potentials.

One key factor is the large amount of data that has and is being collected by the Planning, Research, Evaluation and Development Branch of the California Youth Authority. This work provides a series of data over time for comparative purposes in seeking to identify important factors in the implementation and maturation of a grievance system.

A second major difference is that the California system is being implemented in youth institutions where the maximum age is 25. As a result, the average age in the several institutions ranges from about 17 to 20 or 21. The other states are implementing their procedures in adult institutions. Related in part to this age factor is the level of security under which the inmates are held in the several states. Even the most secure institution (the Youth Training School, Ontario) is considerably less secure than, for example, the New York facilities being studied.



Finally, the California Youth Authority is presently involved in a novel attempt to apply a grievance procedure in the parole system. This situation is not comparable to situations in the other states but may be very important for what it indicates about the universality of application of a particular conflict prevention/resolution system.

As a result of these and other factors, the California design is considerably different from those applied in the other states. The following assumptions provide an important basis for the design that was adopted:

1. The general tenor of the design must be a reflective analysis of California experience.

2. Statistical analyses undertaken must use existing data or, where additional data are deemed necessary, must be available through the existing California research staff.

3. The focus of the research must be to identify those factors which seem to have the greatest influence on the success or failure of a grievance system and to document major points of difficulty in the maturation process.

#### b. Measurement of Objectives

Existing data generated by the California Youth Authority were utilized where possible to assess the impact of the grievance procedure on the five objectives. These data enable an analysis of inmate perception of fair and prompt treatment and change in the number and clarity of written rules. Measurement of the levels of violence, litigation, and citizen involvement was dependent upon informant interviews designed to obtain the opinions of relevant personnel.

## 2. New York

Our research design utilizes observation techniques, interviews, questionnaires, and analysis of institutional records to examine three interrelated components in the evaluation of the Inmate Grievance Procedure in New York. Since the grievance procedure was mandated by state law to be operational by February 5, 1976, in all adult correctional facilities, we were able to assess the components of implementation, operation, and impact by designing a research plan extending from December 1975 through August 1977.

### a. Nature of the Data

Interviews were conducted periodically with relevant personnel in the Department of Correctional Services over a period extending from December, 1975 through August, 1977. Interviews were also conducted periodically with administrative personnel and grievance personnel within the correctional facilities at Attica, Auburn, and Bedford Hills during a period from January, 1976 through March, 1977. The log of all grievances filed at Attica, Auburn, and Bedford Hills during the first year of the grievance procedure's operation was coded and computerized, as were the data from the prison's daily journal (a record of inmate rule infractions).

In addition, a survey of inmate and correctional officer attitudes was conducted in each facility within a week of the inauguration of the inmate grievance procedure. The procedure had been planned by a committee of inmates, line officers and administrators, information pertaining to the new procedure had been disseminated to all officers and the inmate population, and the administrators had provided some degree of support for the procedure as the "new" technique for dealing with inmate grievances.

These survey data, collected approximately one week before the new grievance procedure became operational in 1976, served as our base-line data. A second survey of inmate and correctional officer attitudes was conducted in each facility on the first anniversary of the grievance procedure's implementation to provide information pertaining to its operation and impact.

At Attica Correctional Facility, inmates were selected for inclusion in the 1976 Time 1 survey by housing and program company. Ten companies, each consisting of between 25 and 30 men, were selected and a questionnaire was administered to each company individually in the prison's school classrooms. All inmates were informed of the confidentiality of their responses and assured that they did not have to participate. Useable questionnaires were returned by 186 of the 210 inmates surveyed. This same procedure was used for the 1977 Time 2 survey, but some of the questionnaires were administered to the inmate groups in their place of assignment (e.g., kitchen staff met in dining hall). Useable questionnaires were returned by 105 of the 168 inmates surveyed.

Correctional officers at Attica, as elsewhere, were given the questionnaires at roll calls and asked to return their completed forms at the end of their work shift. Officers, too, were informed of the confidentiality of their responses and told that they did not have to participate. Useable correctional officer surveys were returned by 63 of the 147 officers surveyed in 1976 and 78 of the 161 officers surveyed in 1977.

Initial comparisons of the inmate sample to the inmate population indicate that the sample is similar to the population in age distribution but significantly more educated and somewhat more nonwhite than the inmate

population.<sup>3</sup> No comparable population characteristics are available for the sample of correctional officers.

Similar sampling techniques were employed at Auburn Correctional Facility. The major difference is that inmate questionnaires were administered in both 1976 and 1977 to inmate groups of 80 to 120 (2 to 4 companies, simultaneously) in the prison's library. Completed questionnaires were returned by 237 of the 264 inmates surveyed in 1976 and 278 of the 310 inmates surveyed in 1977.

Correctional officer cooperation was significantly greater at Auburn, accounting for useable questionnaires from 160 of 229 officers surveyed in 1976 and 118 of 195 officers surveyed in 1977. As is true of the Attica inmates surveyed, the inmate respondents at Auburn are significantly more educated than the inmate population; no substantial differences are noted in race and age distributions, however.

Attempts to obtain inmate and correction officer surveys from Bedford Hills Correctional Facility for women were thwarted by hostile, suspicious inmates, indifferent officers and inattentive administrators. Due to the small inmate population in 1976, a one-in-three sample was selected to appear at staggered intervals for questionnaire administration in small groups. A meeting with the elected inmate representatives was held the day prior to questionnaire administration to explain the purpose of the survey, answer questions and encourage participation. At the appointed time for administration, however, few inmates had received their notice to report to the appropriate building, and many of those who received such notices refused to attend. As a result, 40 useable inmate questionnaires were obtained from the 63 persons who appeared; 150

inmates had been originally selected to represent the inmate population of 396 females. This failure to obtain representative baseline data in 1976 altered the method for 1977 questionnaire administration. Since "before - after" comparisons were no longer possible, a shortened 1977 survey was administered to "volunteers." The research team invaded the recreation room of each housing unit at a time when all inmates were free from scheduled activities. After a brief period during which issues were raised and questions answered, 90 inmates completed the special questionnaire. These respondents comprise an admittedly nonrepresentative sample, but their responses are of some use in confirming interview and observational data.

Similarly, only 17 of the 121 correctional officers to whom questionnaires were distributed during roll call returned their survey form in 1976. In 1977, only 40 of the 152 surveyed officers returned useable questionnaires.

b. Measurement of Objectives

1) Violence: Inmate and officer questionnaires contained items ascertaining the perceived level of violence within the facility. The extent of disorder (e.g., "How often is something in the prison damaged by an inmate?"), the degree of victimization (e.g., "Within the last two months, how often have you had something you owned stolen from you?"), and the level of tension (i.e., "How would you describe the feeling in this prison now?") were obtained from survey respondents and compared from 1976 to 1977. In addition, the official level of violence is observed by means of the daily journal. This record of inmate infractions contains 6,004 cases from December 1, 1975, to February 5, 1977, at Attica and

4,412 cases from November 2, 1975, to February 5, 1977, at Auburn. The format of the daily journal at Bedford Hills was not consistent with the type used at Attica and Auburn, and many entries were so incomplete that the information was useless for our purposes. Consequently, the reduction of violence is examined at only Attica and Auburn Correctional Facilities.

2) Fair and Just Grievance Resolution: Questionnaire items were included in inmate and officer surveys to assess the perception that inmate grievances are handled fairly and expeditiously. The record of all grievances filed at Attica, Auburn, and Bedford Hills between February 5, 1976, and February 9, 1977, also was coded and computerized to examine the speed and nature of grievance resolution. Since other data were unavailable from Bedford Hills, the record of grievances has been excluded from this analysis. The assessment of fair and just grievance resolution, therefore, is based on the 1,514 grievances filed at Attica and the 1,068 grievances filed at Auburn, as well as on officer and inmate respondent data.

3) Litigation: In our attempt to explore the impact of the Inmate Grievance Procedure on the amount of litigation, we focused on the potential litigation that was being directed instead through the grievance machinery. To the extent that grievances do not deal with legal issues or lack legal merit, then the grievance procedure has minimal impact on reducing litigation. If, on the other hand, a significant proportion of the grievances pertain to justiciable issues, then the grievance procedure may be viewed as an alternative mechanism to resolve issues that could have (but not necessarily would have) gone to court.

Whether the court would have upheld the grievant is one factor, but the cost to the Department of Correctional Services of preparing the legal work and the crowding of the court docket are equally relevant factors in the desire to reduce litigation.

Many grievances are resolved within the facility and do not come to the attention of the Central Office Review Committee. Such grievances deal largely with personal incidents rather than questions of policy and procedure. It is for this reason that we chose to examine the justiciability of only those grievances coming to the Central Office Review Committee. A 1-in-4 sample (N=86) of the 337 grievances from Attica Correctional Facility and a 1-in-2 sample (N=68) of the 135 grievances from Auburn Correctional Facility were selected from those grievances filed in 1976 and "closed" as of August 22, 1977.

These 154 grievances were rated by two attorneys. Each attorney was instructed to independently examine each grievance and indicate the nature of the legal issue involved and the degree to which the grievance is justiciable. Four categories of justiciability were utilized: (1) the grievance has clear legal merit and could go to court; (2) the grievance appears to have legal merit, but the law pertaining to the issue is ambiguous and more information is needed; (3) the grievance appears to have legal merit, but the facts of the case as presented in the grievance are unclear and more information is needed; (4) the grievance has no legal merit and could not go to court. Each attorney indicated that he had not been aggressive or imaginative in his rating of the grievances and had tried to be relatively conservative in assessing the merits of each grievance.

4) Number and Clarity of Rules: A non-systematic content analysis of the policies and procedures resulting from grievances was used to provide an assessment of the procedure's ability to increase the number and clarity of written rules. Since the Inmate Grievance Procedure is system-wide in New York, however, it is impossible to attribute any such changes to grievances originating in only Attica or Auburn. Inmate and officer questionnaires in 1977 included items seeking their opinion about the procedure's impact on rules and procedures, and these are also employed to operationalize the procedure's ability to increase the number and clarity of written rules.

5) Citizen Involvement: Interviews were conducted with relevant personnel in the Department of Correctional Services and at each facility to not only assess the change in the level of citizen involvement but also to identify the role such persons might most usefully play and the anticipated outcome of such involvement.

### 3. South Carolina

The design for evaluating the Inmate Grievance Procedure at Kirkland Correctional Institution in Columbia, while quite similar to that employed in New York State, was adapted to accommodate monitoring of the gradual process of expansion within the facility.

#### a. Nature of the Data

Interviews were conducted periodically with relevant personnel in the South Carolina Department of Corrections and with administrative personnel and grievance personnel within the Kirkland facility over a period extending from June, 1976 to September, 1977. At the time the grievance procedure was being designed and implemented at Kirkland, two other



models of formal negotiation between inmates and correctional administrators were already in existence and active within the entire department: 1) the Inmate Advisory Council and 2) an ombudsman. As both of the programs remained ongoing problem-solving mechanisms following implementation of the grievance procedure at Kirkland, minutes of the advisory council meetings and agenda items submitted by inmates were obtained for the period March 1976 through September 1977. Records from the ombudsman's office were obtained in order to assess the office's relationship to inmate complaints at Kirkland.

Inmate and officer surveys were administered in August 1976, one week before the procedure was to become operational, and one year later, in September 1977. Since it was a joint decision of the South Carolina Department of Corrections and the Center for Community Justice to initiate the grievance procedure in Dorm 1 and slowly disseminate the procedure throughout Kirkland's remaining six dorms, our inmate sample at both times consisted of all Dorm 1 residents plus a sample of those inmates from the remaining dorms. The 780 inmates at Kirkland in 1976 were represented by an inmate sample of 128 Dorm 1 residents and 128 residents from other dorms. These 256 inmates provided 228 useable questionnaires. In 1977, 193 useable questionnaires were obtained from 256 inmates, of whom 120 were housed in Dorm 1. In both 1976 and 1977, inmate surveys were administered to groups of approximately 100 in the visiting room. A comparison of the inmate sample characteristics to the inmate population characteristics reveals that the sample has somewhat more education and is disproportionately white.<sup>4</sup>

The survey was distributed to correctional officers during roll call. Useable questionnaires were returned by 62 of the 121 surveyed officers in 1976 and 52 of the 126 surveyed officers in 1977.

b. Measurement of Impact Objectives

1) Violence : Inmate and correctional officer surveys contained those items used in New York seeking the perceived level of violence within the institution. Institutional records, comparable to those found in New York, are not available at Kirkland, however. The record of major incidents, which includes such occurrences as inmate assaults on officers or other inmates, consists of only two or three entries per month. The record of the Adjustment Committee Hearings includes not only major incidents but also such activities as disobeying a direct order and possession of contraband; yet there are only about nine hearings per month. The number of major incidents or Adjustment Committee Hearings was deemed too small to reveal a pattern of significant change over time; a monthly reduction (or increase) of fifty percent could have occurred by chance. Consequently, the operationalization of violence rests upon those measures obtained from the surveys.

2) Litigation: The justiciability of all grievances filed with the clerk of the Inmate Grievance Procedure through November 1, 1977, was rated by one of the two attorneys who had rated the grievances in New York. These data are utilized to assess the grievance procedure's impact on the reduction of litigation.

3) Fair and Just Grievance Resolution: Inmate and correctional officer survey items pertaining to fair and expeditious treatment of inmate grievances are utilized. The record of all grievances filed at

Kirkland Correctional Institution also is employed to provide data on the speed and nature of grievance resolution. This record was compiled by local staff and furnished to us through the courtesy of the South Carolina Department of Corrections.

4) Number and Clarity of Rules: A non-systematic content analysis of the policies and procedures resulting from grievances is one measure of the procedure's impact upon written rules. A second measure is the opinion of inmates and officers, obtained in response to items included in the survey.

5) Citizen Involvement: Interviews were conducted with relevant personnel of the South Carolina Department of Corrections and Kirkland Correctional Institution. These interviews were designed to identify the potential utility and responsibility that citizen groups might have in the operation of the Inmate Grievance Procedure. Interviews were also conducted with members of the Alston Wilkes Society, a citizen group actively involved in corrections in South Carolina.

#### 4. Colorado

It was a joint decision of the Colorado Division of Correctional Services and the Center for Community Justice to initiate the Inmate Grievance Procedure in the Colorado State Penitentiary at Canon City on an institution-wide basis. We planned to utilize the research design developed for the New York facilities in Colorado over a period from March, 1976 to June, 1977. The preliminary site visit to Colorado was conducted March 22-24, 1976. Collection of Time 1 survey data was completed during our site visit to Canon City the week of June 14, 1976. On August 10, 1976, an incident within the inmate population led to a lockup

of all inmates in the penitentiary and a temporary shut-down of all programs; the Inmate Grievance Procedure has not been in operation since that time. Interviews were conducted periodically at the Colorado State Penitentiary and at the Division of Correctional Services in Denver during a period from March, 1976 to November, 1976.

Our research plan was aborted when the Inmate Grievance Procedure was terminated along with the facility's other programs, seven weeks after it became operational. Therefore, the nature of our data is limited. Field notes and extensive interviews provide information pertaining to the procedure's design and implementation. Inmate and correctional officer surveys were administered prior to the procedure's inauguration on June 17, to obtain baseline data, and these questionnaires provide information pertaining to the implementation and acceptance of the procedure. Useable questionnaires were returned by 116 of the 200 inmates, who were assembled in groups of 30-40 for the survey. Seventy-two of the 190 correctional officers surveyed returned completed questionnaires. An analysis of 77 of the 134 grievances filed during the procedure's short lifespan provides information on its initial receptivity among inmates.

Our report examines only the implementation of the Inmate Grievance Procedure at Colorado State Penitentiary. We have no basis on which to speculate about its potential impact.

##### 5. Kentucky

The Inmate Grievance Procedure was implemented at Blackburn Correctional Facility in May 1977. Field notes and interviews provide information pertaining to implementation and early credibility. Since the procedure was initiated within Blackburn as our evaluative efforts were

about to conclude, no attempt was made to create longitudinal data. Inmate and officer surveys were not possible prior to the inception of the grievance procedure, and the evaluation contract terminated before institutional records could be obtained.

\* \* \*

The nature of the data are indicated in the Appendices. A chronology of field activities, presented in Appendix A, documents the nature and timing of our site visits. The initial research design for New York, contained in Appendix B, is representative of those for South Carolina and Colorado and raises the issues confronted in our attempt to isolate relevant indicators. Appendix C contains the "before" and "after" inmate and officer questionnaires utilized in each state; the marginal distribution of responses is provided for each. Examples of institutional forms comprise Appendix D; it is from these forms that much data were obtained. Appendix E illustrates the stages in the Inmate Grievance Procedure. The concerned reader is encouraged to inspect these documents; their form and content influence the results that are now presented.

II

NOTES

1. See Donald T. Campbell and Julian C. Stanley, Experimental and Quasi-Experimental Designs for Research (Chicago: Rand McNally, 1973), for a thorough discussion of problems of internal and external reliability, to which research of this type is especially subject.
2. For a detailed discussion of the problems encountered in evaluation research of this type, see Carol H. Weiss (ed.), Evaluating Action Programs. Boston: Allyn and Bacon, 1972.
3. The Annual Statistical Report, 1975 Data: Inmate and Parole Populations, issued by the Division of Program Planning, Evaluation, and Research of the New York Department of Correctional Services, reports certain characteristics of the Attica and Auburn inmate populations on December 31, 1975. These are compared to the characteristics of the inmate samples surveyed in January, 1976 as follows:

	<u>Attica Population</u> (N=1843)	<u>Attica Sample</u> (N=186)
Race:		
White	32.0%	21.0
Black	55.0%	64.0
Other	13.0%	15.0
Education:		
Less than High School Graduate	77.0%	49.0
High School Graduate or More	23.0%	51.0
Age:		
Under Age 30	47.0%	52.0
Age 30 or Older	53.0%	48.0

	<u>Auburn Population</u> (N=1586)	<u>Auburn Sample</u> (N=237)
Race:		
White	30. %	32.0
Black	59.0%	55.0
Other	11.0%	14.0
Education:		
Less than High School Graduate	65.0%	40.0
High School Graduate or More	35.0%	60.0
Age:		
Under Age 30	56.0%	63.0
Age 30 or Older	44.0%	37.0

4. Characteristics of the inmate population at Kirkland Correctional Institution on July 27, 1976 were provided by the South Carolina Department of Corrections. The representativeness of the inmate sample is demonstrated by the table below.

	<u>Kirkland Population</u> (N=783)	<u>Kirkland Sample</u> (N=228)
Race:		
White	46.0	52.0
Nonwhite	54.0	48.0
Age:		
Less than 25	39.0	
25-30	36.0	
31 or over	25.0	
Education:		
9th Grade or less	49.0	33.0
10-12th Grade	40.0	39.0
More than High School Graduate	11.0	28.0



### III. FINDINGS

A cautionary note is warranted before proceeding to an analysis of the data. The research design for this evaluation has been dictated to a great degree by the limitations that accompany the conduct of research within prison settings. These limitations do not permit statements of cause and effect with regard to the impact of the inmate grievance procedure.

A serious but unavoidable limitation to the evaluation is the absence of another prison, one without the inmate grievance procedure, to serve as a "control" or comparison for each of the intervention institutions. The absence of a control prison is due not only to limited funds but, more importantly, the impossibility of finding two prisons that are directly comparable in physical structure, inmate programs, financial and political restraints, and inmate population and characteristics. Random assignment of either prisons or inmates to receive the grievance procedure was, of course, not possible. As a result, our findings are more suggestive than conclusive.

For example, should the amount of violence (or litigation or inmate distrust) increase during the year, the argument can be made that an increase is still a measure of support for the procedure since the increase might have been greater had not the procedure been introduced into the facility. Similarly, a decrease does not necessarily imply that the change is due to the Inmate Grievance Procedure, for similar decreases may be occurring in facilities without such a procedure. In the absence of comparative data from other prisons, caution must be exercised in interpreting the data presented herein.

The validity of the conclusions is also affected by changes within the prison that occurred during the period of study. One such change was the appearance of attorneys in New York prisons to serve as inmate advocates. The New York Bar Association received a federal grant to initiate this activity at the same time we were assessing the litigation-reducing ability of the Inmate Grievance Procedure.

Of broader significance, however, were changes in the inmate population. Although the size of the Auburn inmate population remained quite stable, with 1,586 inmates on January 1, 1976, and 1,576 inmates on January 1, 1977, the composition of the inmate population changed markedly. From January, 1976, to January, 1977, Auburn had 77 new admissions, 1,256 transfers to Auburn from other prisons, 458 releases and 885 transfers out to other facilities. Therefore, a large proportion<sup>1</sup> of the inmate population in January, 1977, consisted of men who arrived at Auburn after the grievance procedure began. Similarly, the Attica inmate population was reduced from 1,843 on January 1, 1976, to 1,683 on January 1, 1977. During this time, however, there were 195 new admissions, 1,601 transfers in from other prisons, 626 releases and 1,330 transfers out to other facilities; in sum, 3,639 inmates went through (or stayed at) Attica during 1976.

This very high rate of inmate turnover in New York precluded any attempt to survey the same inmates in 1977 as were surveyed in 1976. In addition, the opening of new facilities in New York during this period<sup>2</sup> raises the possibility that the characteristics of the inmate population may have changed. Although such information is not yet available from the Department of Correctional Services, some persons have voiced the

opinion that the "better" inmates and those with less security risk have been skimmed out of Attica and Auburn (and other maximum security facilities) with the opening of the new facilities. If so, then the inmates at Attica and Auburn in 1977 are not only new, but they are qualitatively different from those in 1976.

The amount of inmate turnover at Kirkland Correctional Institution in South Carolina is not known. However, the inmate population rose from 800 at the time of the initial implementation of the inmate grievance procedure in 1976 to 950 in 1977. Since the facility was designed to accommodate only 420 inmates, it is difficult to separate the potentially positive effects of the Inmate Grievance Procedure from the potentially negative effects of overcrowding.

Such changes in the inmate population make it difficult to assess the impact of the inmate grievance procedure. If the inmate populations were stable, even in the absence of a comparison prison, it would be possible to demonstrate an increase or decrease in violence or inmate trust and argue that this change had occurred during the time when the Inmate Grievance Procedure was introduced. The changes in inmate population, however, result in two concurrent phenomena in the prison -- both the Inmate Grievance Procedure and the new, different and/or larger population -- and one cannot assume that more or less violence is directly related to the new grievance machinery.

Such occurrences are impossible to control in this type of evaluative research and, consequently, it is impossible to impute causation in the relationships observed. Furthermore, the differences among the prisons, inmates, the staff included in this study are so great that comparisons among the prisons are unwarranted.

\* \* \*

With these cautions in mind, it is the aim of this report to discuss the Inmate Grievance Procedure in each of the states in which the Center for Community Justice had an active part.\* The findings are presented by state and, where possible, discussed in terms of (a) Implementation, (b) Operation and (c) Impact. A recognition of the limitations in the data and the data-gathering procedures in each state is essential to an understanding of some of the interpretations that follow.

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\*This report includes only those activities occurring during the designated period of study. Many alterations may have occurred since our data were collected -- and some of those changes have been noted in footnotes -- but we cannot speak to the nature or impact of those changes.

## A. California

### 1. Development and Implementation

The establishment of grievance or due process systems for inmates of correctional institutions may well be the most important innovation in penology in this century. While there had been a few attempts to provide redress for inmate complaints through such "one step" devices as the ombudsman, it was not until 1973 when Allen F. Breed, then Director of the California Youth Authority (CYA), mandated the establishment of grievance procedures in one of the institutions under his direction, that the first comprehensive system for joint resolution of disputes in the United States was put in place. A grievance system (as developed in the U.S. labor-management context) is characterized by the application of a number of principles noted in part I of this report, among the most important of which are direct participation of those directly affected by policies and their implementation (the wards and staff), designated levels of review or appeal, the right to representation, and requirements for specific performance within specified time limits.

The first grievance system in California was jointly designed by wards (inmates), staff, and administration of two units in the Karl Holton School, a CYA institution, with the assistance of external experts with experience in labor-management grievance systems. That first experiment began its operation in mid-September, 1973 and from that experience was distilled a set of criteria for effective implementation and design of such systems that served as the basis for expansion of the process into all institutions within the CYA -- and, ultimately, to other institutions in other states:

- There shall be participation by elected wards and by staff in the design, development and operation of the grievance procedure adopted in each program unit.
- A ward with an emergency grievance or problem shall have available a course of action which can provide redress within a relatively immediate time.
- The procedure must provide for levels of review, which shall be kept to a minimum. These levels, ideally, should coincide with the major decision-making levels of the program unit's organization. Any party to a grievance, ward or staff, may appeal a decision.
- At some level a full hearing must be conducted, and all parties to the grievance must be given an opportunity to be present and to participate in said hearing.
- A ward shall be entitled to select a representative from among other wards, staff, or volunteers regularly participating in the program unit. Said representatives shall be entitled to attend and participate in any informal conferences, hearings or reviews, in which the ward participates.
- Reasonably brief time limits shall be established for the receipt of said responses and for any action which must be taken to put a response into effect. All responses to a written grievance shall be in writing with reasons for action taken. Lack of a written response or failure to complete action within the required time periods shall entitle the ward to proceed to the next level of review.

- The final review shall be an independent review by a party or parties outside the Youth Authority.
- The grievance procedure itself shall be used to determine whether a specific complaint falls within the procedure.
- No reprisals shall be taken against anyone using or participating in the grievance procedure.
- There shall be monitoring and evaluation of all procedures, their operation and their decisions.

As is suggested by the first criterion, in each of the other CYA institutions the wards and the staff, using these basic criteria, jointly designed a grievance system which best met the special needs of their own situation. The result is a series of similar but specifically designed systems "owned" and understood by those who are served by the process and who are the determining factor in its actual viability.

Today, the grievance system throughout the CYA has matured from an innovative experiment under the direct sponsorship of a committed individual to a regularized due process system which is a widely accepted part of the institutional framework, now confirmed by state legislation.

The major purpose of this section of the evaluation Report is to discover those factors in the California experience which appear to have an impact on the effectiveness of similar inmate grievance systems now being implemented or contemplated in other states. The criteria listed immediately above provide a starting point for this consideration and will be extended through a consideration of the experiences which have accompanied the maturation of the process.

In states other than California, prison grievance systems were just approaching implementation at the inception of this study of the work of the CCJ in 1975. As a result, the study is concerned with the impact of the grievance systems at their inception, using a pre/post- measurement of the degree to which they achieved the five objectives:

- a) Reduction of the level of violence within institutions;
- b) Increase in inmates' perception of the likelihood of fair and prompt handling of complaints;
- c) Reduction of litigation against institutions;
- d) Increase in the number and/or clarity of written institutional policies;
- e) Increase in citizen volunteers' knowledge of the correction system and action taken by volunteers on behalf of the correctional system or particular offenders.

It was presumed that each of these objectives represented a positive impact of the grievance system.

Since the California experience had progressed beyond the point of implementation, it was no longer possible to study CYA grievance procedures using a pre/post-test method. As a result any study of the California experience cannot be precisely compared and contrasted with that in other states. However, the CYA situation did provide an opportunity to study the post-implementation experience of the system which was the essential forerunner of all other prison grievance systems.

This section, therefore, is a study, not of the immediate effects of the initial implementation of such a system, but of a later segment of the implementation -- of the period covering the time when the system had



been implemented and begun to operate, to the point at which it gained acceptance as a legitimate part of the institutional structure of the CYA and the individual facilities.

This is not to suggest that it is impossible to compare the initial CYA experience with that in other states. As indicated in the criteria above, an essential part of the grievance mechanism in California was the establishment of a comprehensive and relatively independent monitoring and evaluation system. As a part of that evaluation system, data were gathered which generally parallel those being gathered in the other states, and comparative data collected over a five-year period now are widely available. While some of the observations and conclusions in this Report are based on those data, in view of their extensiveness and reliability it was decided that the effort required to develop similar but separate measures could better be spent in other areas.

This section, then, reviews existing data and interviews to assess the degree to which the five objectives for the grievance system were achieved. However, much greater emphasis is placed in this section on the experience of the CYA with the system as it met the challenges of use and passing time.

## 2. Operation of the Grievance Procedure: Description and Analysis

### a. Introduction

The discussion of the procedure's operation focuses on five issues.

#### 1) Factors Relating to the Maturation of the Grievance Process.

As the grievance process proceeds or matures from an innovative, high involvement, novel experience to "business-as-usual" status, there are certain inherent factors and problems which will emerge. The California

experience is the first in which such factors have had an opportunity to develop, and both these developments and the ways in which they were handled are of import for states and systems following the California lead. The following "maturation factors" are identified and considered in this Report:

- a) A shift from policy-oriented grievances to grievances against the actions of staff and of other wards
- b) A decrease in the proportion of grievances resolved in favor of the grieving ward.
- c) A trend toward the informal resolution of grievances.
- d) Turnover resulting in the departure of wards and staff with high investment and involvement in the system.
- e) Departure of highly supportive top administrators with a personal commitment to the process.
- f) The change from "something new" to "just another system".
- g) The level of use of outside review.

2) Relationship Between the Grievance System and Existing Disciplinary Systems. There appear to be increasing conflicts between the existing disciplinary system within the California Youth Authority (the Disciplinary Decision Making System) and the grievance system.<sup>3</sup> Wards see the systems as offering different advantages in terms of timeliness, access and participation, but often see the administration as having control over decisions regarding which of the systems is actually applied in any given situation. This perception is the result of both a lack of clarity in differentiation between the situations in which each

of the systems is properly applied and of an overlap in coverage of the systems.

As a result, it may be necessary to consider ways in which these essentially parallel systems can either be merged or better differentiated lest all lose their credibility.

3) Independent Review: Arbitration in Practice. There are a number of problems inherent in applying external review to an otherwise closed system. They have resulted in the external review or arbitration being "advisory" rather than "binding" in nature, with broad discretionary guidelines under which the CYA Director may choose not to follow the "findings" of the arbitration panel. Other problems which have arisen in the arbitration process include: (a) the wide variance in sophistication which frequently exists between grievant and administration representatives (both appearing before and represented on the panel), (b) a confusion regarding the role of administration representatives who may appear in the guise of both prosecutor and expert witness, and (c) in at least one case the demand of an external interest group that they be permitted to intervene on behalf of the grievant.

This section considers these and other concerns from the point of view of the experienced arbitrator.

4) Application of the Grievance Process to the Parole System. Based on its commitment -- and legislative mandate -- to provide a due process or grievance system for all of its wards, the CYA now is attempting to apply the grievance system to the parolee. This attempt is meeting with mixed results at best. This section reviews the experience to date and, based on a consideration of the different realities of the

incarcerated and paroled ward, speculates on the potentials and limitations of providing a grievance system in the parole situation.

5) Impact of Grievance System on Staff and Administration.

While the implicit intent of the grievance system was to affect the relationship between wards and the staff and administrators in the institutions where they are incarcerated, there also have been a number of unforeseen impacts on relationships among the staff and between the staff and the administration. This Report will review some of the major developments in both the relationship between staff and wards and between and among staff and administration, including:

- a) The impact of the grievance system on the "treatment model", particularly as employed in units and institutions with younger wards.
- b) Relationships between the staff grievance coordinator and other staff in the institution.
- c) Peer pressure among the staff resulting from level and type of grievances filed.
- d) Use by the administration of the grievance process as a management information tool and resulting concern among staff regarding possible disciplinary actions.
- e) Formal and informal use of the grievance system by staff.

b. Factors Relating to the Maturation of the Grievance Process

- 1) Shift from policy-oriented grievances to grievances against the actions of staff.

**CONTINUED**

**1 OF 8**

(a) Indicators:

Data collected by the CYA indicate a clear shift in the subject of grievances from those that are directed against policy at the department, institution or living unit levels to those that challenge the actions of CYA staff, as described in Tables III-1 and III-2.

The "subject matter" classifications used in compiling these tables are defined by the CYA as follows:<sup>4</sup>

- i. Individual -- deals with the way in which an uncontested policy, rule, regulation, program item, etc., is applied to the individual complainant. Basically, the complainant does not disagree with the policy, etc., except that it should not have been applied or was applied unfairly in his case.
- ii. Policy -- cases in which the policy, rule, regulation, etc., is challenged. Policy can be at the living unit, institution, or departmental level.
- iii. About staff or staff action -- primary focus of complaint is directed toward alleged arbitrary act by staff. Usually does not involve a contested application of any specific policy or rule. May, but not always, involve the potential for some disciplinary action against the staff involved. Examples would be staff member's failure to provide medical treatment, reprisals for filing grievances, etc.
- iv. Ward or ward action -- grievance involves actions taken by wards toward other wards.
- v. Equipment -- cases where complainant alleges faulty or inadequate equipment, physical facilities, etc.

TABLE III-1  
CALIFORNIA YOUTH AUTHORITY  
SUBJECT OF GRIEVANCES<sup>a</sup>  
(September, 1973 - December, 1976)

Reporting Unit	Total		Individual		Living Unit Policy		Institution Policy		Department Policy		Staff Action		Ward Action		Equipment		Other	
	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%
TOTAL.....	14,948	100.0	7,350	49.2	1,597	10.7	1,231	8.2	158	1.1	3,424	22.9	430	2.9	706	4.7	52	.3
Northern Reception Center-Clinic .....	735	100.0	277	37.6	123	16.7	69	9.4	4	.5	177	24.0	38	5.2	45	6.1	3	.4
Southern Reception Center-Clinic .....	1,489	100.0	688	46.2	144	9.7	79	5.3	7	.5	419	28.1	59	4.0	91	6.1	2	.1
Preston.....	1,373	100.0	819	59.6	140	10.2	47	3.4	12	.9	292	21.3	27	2.0	34	2.5	2	.1
O.E. Close.....	791	100.0	490	61.9	52	6.6	22	2.8	6	.8	120	15.2	77	9.7	19	2.4	5	.6
Karl Holton.....	1,723	100.0	971	56.3	159	9.2	115	6.7	28	1.6	370	21.5	42	2.4	35	2.0	3	.2
DeWitt Nelson.....	472	100.0	226	47.9	36	7.6	58	12.3	8	1.7	119	25.2	1	.2	23	4.9	1	.2
El Paso de Robles.....	2,362	100.0	1,273	53.9	123	5.2	97	4.1	14	.6	681	28.8	45	1.9	118	5.0	11	.5
Ventura.....	1,355	100.0	604	44.6	337	24.9	167	12.3	15	1.1	176	13.0	21	1.5	27	2.0	8	.6
Fred C. Nelles.....	1,592	100.0	738	46.4	169	10.6	115	7.2	2	.1	388	24.4	96	6.0	80	5.0	4	.3
Youth Training School..	2,747	100.0	1,177	42.8	311	11.3	328	11.9	58	2.1	626	22.8	21	.8	213	7.8	13	.5
Forestry Camps.....	221	100.0	54	24.4	-	-	100	45.3	4	1.8	43	19.5	2	.9	18	8.1	0	0
SPACE.....	59	100.0	11	18.6	3	5.1	32	54.2	0	0	10	16.9	1	1.7	2	3.4	0	0
Parole.....	28	100.0	22	78.6	-	-	2	7.2	0	0	3	10.7	0	0	1	3.6	0	0

<sup>a</sup> California Youth Authority, Grievance Activity, (Draft Report for 1976), Mimeo, Page 5

TABLE III-2  
CALIFORNIA YOUTH AUTHORITY  
SUBJECT OF GRIEVANCES<sup>a</sup>  
(By Year)

Reporting Unit	Total		Individual		Living Unit Policy		Institution Policy		Department Policy		Staff Action		Ward Action		Equipment		Other	
	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%
TOTAL.....	14,948	100.0	7,350	49.2	1,597	10.7	1,231	8.2	158	1.1	3,424	22.9	430	2.9	706	4.7	52	.3
1973-74.....	786	100.0	325	41.3	87	11.1	110	14.0	38	4.8	151	19.2	42	5.3	26	3.3	7	.9
1975.....	5,115	100.0	1,963	38.4	680	13.3	624	12.2	67	1.3	1,281	25.0	161	3.1	321	6.3	18	.4
1976.....	9,047	100.0	5,062	56.0	830	9.2	497	5.5	53	.6	1,992	22.0	227	2.5	359	4.0	27	.3

<sup>a</sup>California Youth Authority, Grievance Activity, (Draft Report for 1976), Mimeo, Page 7



vi. Other -- cases not covered by any of the above.

This shift from policy-oriented grievances to those concerned with actions taken by staff and administrators is even more pronounced if one combines both grievances against arbitrary actions by staff (Category v in Table III-2) and grievances challenging the manner in which the staff applies policy (Category i). While grievances classified in Category i may not be in protest of staff actions as personally arbitrary as those in Category v, they are, nevertheless, directed against the behavior of an individual staff member.

Comparing the proportion of grievances directed against department, institutional and living unit policy with those directed against staff actions, as defined above, provides the following contrast:

Table III-3

CALIFORNIA YOUTH AUTHORITY  
SUBJECT OF GRIEVANCES  
(By Year)

Year	INDIVIDUAL, STAFF ACTION		LIVING UNIT, INSTITUTIONAL, DEPARTMENT POLICY	
	No.	% of All Grievances	No.	% of All Grievances
1973-74	476	60.5	235	29.9
1975	3244	63.4	1371	26.8
1976	7054	78.0	1380	15.3
Total	10,774	72.1	2986	20.0

This comparison more graphically illustrates that (1) grievances against application of rules and policies (i.e., actions of staff) have accounted for a majority of grievances since the system began, and (2) the proportion of such grievances is increasing, with a corresponding decrease in grievances against the substance of policy.

Finally, as Table III-2 indicates, staff action grievances -- those that relate to such complaints as physical and verbal abuse, racism, etc., on the part of the staff -- have held relatively constant as a percentage of total grievances.

(b) Discussion:

One explanation of these trends in the subject of grievances filed is that as policy becomes increasingly well defined, fewer areas where there are very evident policy gaps or inequities remain. As a result, the number of policy-oriented grievances might be expected to decrease. Conversely, this increasing codification of the relationship between the institution staff and ward provides greater scope for "individual" grievances.

The data on "staff" grievances indicate that while there has been little over-all change in proportion of such grievances, there was a substantial increase from the 1973-4 to 1975 tabulation (from 19.2 percent to 25 percent and then a small decrease from 1975 to 1976 (to 22 percent)). This might suggest that once the process gained credibility among wards and their fear of reprisals was allayed, there was increasing willingness to directly challenge staff actions. As a result, staff behavior may subsequently have changed to an extent sufficient to explain the decrease in such grievances.

The labor-management experience with the grievance process offers no direct parallel to the CYA experience with policy grievances. Labor-management grievances are specifically limited to complaints regarding the interpretation or application of the contract -- grievances which have been included under the categories of "individual" and "staff"

grievances above. "Policy" grievances are the subject of bargaining when the contract between the parties is being developed. As a result, there is no comparative data from the labor-management arena to provide a background for understanding the impact of this shift from policy to staff-oriented grievances in the CYA.

Under the circumstances prevailing in the CYA, this shift from policy to staff-oriented grievances would appear to be inevitable. There is, however, a concern that the staff will begin to perceive the grievance system as 1) creating a purely adversarial relationship between themselves and wards and 2) having the potential for resulting in either immediate disciplinary actions by the administration or negative performance assessments. These two concerns are discussed in more detail later in this section.

At present there are no data to indicate that the increase in the perception of grievances directed against staff has, in itself, resulted in any increase in negative staff attitudes toward the grievance process.\*

2) Decrease in proportion of grievances resolved in favor of the grieving ward.

(a) Indicators:

From the outset, the CYA has kept careful records of the disposition of grievances filed. Each includes a written statement by the Grievant of the action(s) necessary for redress of the grievance. For

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\*See the final part of this section for a more detailed discussion of the impact of the grievance system on staff and administration.

purposes of Tables III-4 and III-5, below, a grievance which is "upheld" is one where the redress requested is granted. Where there is a "compromise" resolution of the grievance, a part of the redress requested is actually received. Where a grievance is "denied" none of the redress requested is granted. The remainder of the grievance dispositions -- nearly 15 percent -- are those for which there is no record of final disposition or where the grievance was withdrawn prior to resolution.

The data indicate an apparent decrease in the proportion of grievances upheld during the period that the system has been in effect. There is a slight increase in the proportion of grievances for which a compromise solution is reached and a very sizeable increase in the proportion of grievances which are denied outright. There is, with the notable exception of the very high percentage upheld at SPACE and the high percentage of grievances denied at Preston, no clear difference in the patterns of grievance disposition between institutions.

(b) Discussion:

One explanation of the data is that as the more evident policy inequities are corrected, the remaining policy areas are both more clearly defined and more difficult to grieve. Similarly, as the staff becomes more aware of and more accountable for the interpretation of the policies, they are less likely to err in their application. Finally, as the staff realizes that the system provides effective review and redress, they are less likely to act arbitrarily.

It is important to consider the total number of grievances filed as well as their proportional disposition. From 1975 to 1976, a period during which the system was operative in all of the institutions, the volume

TABLE III-4  
CALIFORNIA YOUTH AUTHORITY<sup>a</sup>  
GRIEVANCE DISPOSITIONS  
(September, 1973 - December, 1976)

Reporting Unit	Total		Upheld		Compromise		Denied		Undetermined		No resolution		Other	
	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%
TOTAL.....	14,948	100.0	4,749	31.8	3,166	21.2	4,720	31.6	339	2.3	1,969	13.2	5	.1
Northern Reception Center Clinic....	736	100.0	229	31.1	163	22.1	164	22.3	4	.5	176	23.9	0	0
Southern Reception Center Clinic....	1,489	100.0	427	28.7	353	23.7	363	24.4	26	1.7	320	21.5	0	0
Preston.....	1,373	100.0	322	23.5	178	13.0	623	45.4	69	5.0	181	13.2	0	0
O.E. Close.....	791	100.0	251	31.7	147	18.6	292	36.9	48	6.1	53	6.7	0	0
Karl Holton.....	1,723	100.0	677	39.3	410	23.8	522	30.3	37	2.1	77	4.5	0	0
DeWitt Nelson.....	472	100.0	118	25.0	147	31.1	151	32.0	9	1.9	47	10.0	0	0
El Paso de Robles.	2,362	100.0	767	32.5	574	24.3	808	34.2	30	1.3	183	7.7	0	0
Ventura.....	1,355	100.0	331	24.4	308	22.7	497	36.7	25	1.8	192	14.2	2	.1
Fred C. Nelles....	1,592	100.0	526	33.0	318	20.0	563	35.4	14	.9	170	10.7	1	.1
Youth Training School.....	2,747	100.0	989	36.0	474	17.3	670	24.4	59	2.1	553	20.1	2	.1
Forestry Corps....	221	100.0	67	30.3	71	32.1	50	22.6	18	8.1	15	6.8	0	0
SPACE.....	59	100.0	35	59.3	12	20.3	11	18.6	0	0	1	1.7	0	0
Parole.....	29	100.0	10	35.7	11	39.3	6	21.4	0	0	1	3.6	0	0

<sup>a</sup>Source: California Youth Authority, Grievance Activity, (Draft Report for 1976), Mimeo, pp. 8, 9

TABLE III-5  
CALIFORNIA YOUTH AUTHORITY  
GRIEVANCE DISPOSITIONS<sup>a</sup>  
(By Year)  
September, 1973 - December, 1976

Reporting Unit	Total		Upheld		Compromise		Denied		Undetermined		No resolution		Other	
	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%
TOTAL	14,948	100.0	4,749	31.8	3,166	21.2	4,720	31.6	339	2.3	1,969	13.2	5	.1
1973 - 74	786	100.0	366	46.6	139	17.7	184	23.4	50	6.4	46	5.9	1	.1
1975	5,115	100.0	1,806	35.3	1,044	20.4	1,192	23.3	162	3.2	909	17.8	2	.1
1976	9,047	100.0	2,577	28.5	1,983	21.9	3,344	37.0	127	1.4	1,014	11.2	2	.1

<sup>a</sup>Source: California Youth Authority, Grievance Activity, (Draft Report for 1976), Mimeo, pp. 8, 9

of grievances increased by 77 percent and the absolute number of grievances upheld increased by about 43 percent. Thus, complete redress was actually granted in a substantially larger number of circumstances (2577 in 1976, 1806 in 1975). The future might well find a decrease in the absolute number of grievances, with the proportion of grievances upheld continuing to increase.

Of greater concern, however, is the impact of this apparent increasing denial on the credibility of the system. There is no experience available elsewhere to provide any guidance as to a particular "tipping point" beyond which the system could lose its credibility. Whatever the future, the present increasing probability of a grievance being denied further emphasizes the role of external review in legitimizing the entire grievance structure.

### 3) A Trend Toward the Informal Resolution of Grievances.

#### (a) Indicators:

As Table III-6 compiled by the CYA indicates, there has been a substantial increase in the number of grievances resolved informally. By 1976, some 40 percent of total grievances filed were being resolved before any formal hearing or review was held.

The raw data would appear to indicate that the trend to informal resolution has been at the expense of the grievance committee hearing -- in 1973-74, 1975 and 1976 informal and committee resolution of grievances combined accounted for 60 percent, 58.7 percent and 59 percent of the total grievance resolutions, respectively. However, the number of informal grievance resolutions more than doubled, while resolutions at the committee hearing level decreased by more than one-half.

TABLE III-6  
HIGHEST LEVEL OF GRIEVANCE RESOLUTION<sup>a</sup>  
(By Year)

Year	Total		Withdrawn		Informal		Committee Hearing		Prog. Add TTS		Superintendent		Director		Outside Arb.		No Resol./Other	
	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%
TOTAL.....	14,948	100.0	1,888	12.6	5,316	35.6	3,521	23.6	531	3.6	3,407	22.8	53	.4	94	.6	138	.9
1973 - 74.....	786	100.0	53	6.7	131	16.7	340	43.3	25	3.2	204	26.0	12	1.5	17	2.2	4	.5
1975.....	5,115	100.0	895	16.5	1,541	30.1	1,465	28.6	223	4.4	874	17.1	19	.4	35	.7	62	1.2
1976.....	9,047	100.0	940	10.4	3,644	40.3	1,716	19.0	283	3.1	2,329	25.7	22	.2	41	.5	72	.8

<sup>a</sup>Source: California Youth Authority, Grievance Activity, (Draft Report for 1976), Mimeo, p. 15



TABLE III-7  
CALIFORNIA YOUTH AUTHORITY  
HIGHEST LEVEL OF GRIEVANCE RESOLUTION<sup>a</sup>  
(September, 1973 - December, 1976)

Reporting Unit	Total		Withdrawn		Informal		Committee Hearing		Program Adm.-1 TTS		Super-visor		Director		Outside Arbitrat.		No Resolution-1 Other	
	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%
TOTAL.....	14,948	100.0	1,888	12.6	5,316	35.6	354	23.6	531	3.6	3,407	22.8	53	.4	94	.6	138	.9
Northern Reception Center-Clinic.....	736	100.0	176	23.9	182	24.7	214	29.1	12	1.6	147	19.9	2	.2	3	.4	0	-
Southern Reception Center-Clinic.....	1,489	100.0	319	21.4	574	38.5	370	24.8	-	-	216	14.5	3	.2	3	.2	4	.3
Preston.....	1,373	100.0	181	13.2	590	42.9	222	16.2	110	8.0	228	16.6	4	.3	9	.7	29	2.1
O.E. Close.....	791	100.0	54	6.8	54	6.8	453	57.3	130	16.4	89	11.3	2	.3	8	1.0	1	.1
Karl Holton.....	1,723	100.0	81	4.7	457	26.5	563	32.7	-	-	589	34.2	0	.5	23	1.3	2	.1
DeWitt Nelson.....	472	100.0	44	9.3	55	11.7	229	48.5	-	-	134	28.4	1	.2	6	1.3	3	.6
El Paso de Robles.....	2,352	100.0	181	7.7	1,521	64.4	272	11.5	-	-	377	16.0	2	.1	6	.3	3	.1
Ventura.....	1,355	100.0	189	13.9	108	8.0	444	32.8	-	-	590	43.5	8	.6	6	.4	10	.7
Fred C. Nelles.....	1,592	100.0	170	10.7	801	50.3	324	20.4	-	-	287	18.0	2	.1	3	.2	5	.3
Youth Training School...	2,747	100.0	476	17.3	896	32.6	321	11.7	276	10.0	656	23.9	19	.7	26	.9	77	2.8
Forestry Camps.....	221	100.0	15	6.8	46	20.8	78	35.3	-	-	76	34.4	2	.9	0	0	4	1.8
SPACE.....	59	100.0	1	1.7	15	25.4	24	40.7	-	-	18	30.5	0	0	1	1.7	0	0
Parole.....	28	100.0	1	3.6	17	60.7	7	25.0	3	10.7	-	-	-	-	0	0	0	0

<sup>a</sup>Source: California Youth Authority, Grievance Activity, (Draft Report for 1976), Mimeo, p. 13

As indicated in Table III-7, also compiled by the CYA, there was a wide variation in the level at which resolution occurred between the various institutions.

While these data are somewhat limited by the fact that the aggregate totals show institutions with varying lengths of experience in using the grievance system, they nevertheless indicates that the same trade-off between informal resolution and grievance committee resolution exists in nearly all of the institutions. Excluding the reception centers (where the length of stay of wards is so short that about one-fourth of the disputes are not resolved before the ward is placed in an institution) and the parole and camp settings, Table III-8 indicates the propensity to resolve grievances at the informal level versus the grievance committee hearing.

Table III-8

CALIFORNIA YOUTH AUTHORITY  
LEVEL OF GRIEVANCE RESOLUTION  
(September, 1973 - December, 1976)

	Informal %	Committee Hearing %	Total %	Ratio
Preston	42.9	16.2	59.1	2.6-1
O.H. Close	6.8	57.3	64.1	1-8.4
Karl Holton	26.5	32.7	59.2	1-1.2
DeWitt Nelson	11.7	48.5	59.2	1-4.1
El Paso de Robles	64.4	11.5	75.9	5.6-1
Ventura	8.0	32.8	40.8	1-4.1
Fred C. Nelles	50.3	20.4	70.7	2.5-1
Youth Training School	32.6	11.7	44.3	2.8-1

There is a decided propensity in each of the institutions, with the exception of Holton, to place the major emphasis in grievance resolution at either the informal or the committee level.

(b) Discussion:

The grievance committee level may be the most important step in the grievance system. It is the point at which staff and wards work jointly to reconcile differences and where the process has the greatest impact on the day-to-day realities of institutional life. Yet, by the end of 1976, less than one in five grievances was being resolved at this level.

It is recognized that this may in part be due to the committee not having the power to resolve some of the issues before it, resulting in the grievances being "passed through" to the next level. In other situations, grievances are filed as "emergencies" and "fast-tracked" to the superintendent or his designee for action. (Preliminary data indicate that in 1977 40 percent of all grievances were filed as "emergencies").

However, a separate analysis by the CYA of 6,994 grievances filed during the first nine months of 1976 indicated that grievance committees actually heard (as compared to resolved) 1,830 grievances, or 26 percent of all those filed. They resolved 1,203 of the grievances they heard, or 17.2 percent of all grievances filed -- a figure roughly comparable to the figure for all of 1976 in Table III-7. The best available data, therefore, indicate that the committees presently hear about one in four grievances.

It is generally assumed that the lower in the grievance process disputes are resolved, the more effectively the system is operating. Thus,

the fact that by the end of 1976 about 60 percent of all grievances filed were being resolved at the first two (informal and grievance committee) levels would seem to augur well for the system.

However, the increasing propensity to resolve disputes at the informal level may threaten the system. As was demonstrated above, the increase in informal resolution comes at the expense of use of the grievance committee. There is not a larger proportion of grievances being resolved at lower levels if both the informal and grievance committee steps are considered.

The grievance committee is a critical factor in ensuring joint participation and investment by wards in the system, and any decrease in its importance could undermine the legitimacy of the entire structure.

It might be argued that the increase in informal resolution reflects an increased willingness on the part of staff to rectify conditions due to the presence of an effective review system. As one grievance coordinator observed, "some staff have a tendency to let things go until a grievance lands on their desk. Then they take care of it in a hurry." However, the negative aspects of such a shift in emphasis probably outweigh the benefits. There is a much less effective system for monitoring the actual implementation of resolutions achieved through the informal process than for those resolutions reached at the formal levels. It could, in fact, be argued that this is one factor that makes the informal level attractive to staff! Some institutions, such as YTS, are now requiring a written report on all informal grievance resolutions and are distributing those reports as one means of both "getting the word out" to ensure implementation and of establishing a precedent where appropriate.

Another inherent danger in informal settlements arises from the one-on-one interaction which can leave the clerk open to charges of negotiating "deals" or being coopted. The grievance committee involves a much more open process.

In an interview, one frequently-appointed arbitrator said that testimony before him indicated that issues had been "resolved" informally, but that there had been no follow-through. This had resulted in the same issue going all the way to arbitration the next time it was raised.

The dilemma is that even where the trend to informal resolution is evidence of the effective operation of the grievance system, it could have a negative impact on the system. At the very least, there must be a requirement that all informal grievance resolutions are adequately reported, disseminated and monitored. It may also be desirable to limit the kinds of disputes which may be resolved at the informal level, requiring that certain categories of grievances, once filed, must be brought before the grievance committee.\*

4) Turnover of Wards and Staff. It is generally agreed that an important factor in the very evident success of the grievance system in the CYA was the high involvement of staff and wards in the design and implementation of the system at each institution. Indeed there was some feeling on the part of staff and administration in institutions implementing the process after the initial experiment at Karl Holton that the seven criteria that were established as a basis for grievance in designing the system unreasonably limited the scope of their participation.

However, the system can only be designed and implemented once. Today, few -- if any -- of the wards who were involved in the initial

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\*A policy change in October, 1977 requires grievances pertaining to polity or equipment to go before the committee

design remain. For wards arriving in the period since implementation, it is just another part of the total system.

The present training of new wards in use of the system consists of an initial orientation at the reception center followed by some further information when arriving at the assigned institution. However, it is evident that until the wards "find their way around" and have a specific complaint, they do not really "tune in" to the information being received. At present, the most critical "training" appears to come from the grievance clerk and other wards with whom the new ward comes in contact.

This lack of enthusiasm for the system is illustrated by the experience at YTS where there was once a lively competition for the grievance clerk positions but now there is a recruitment problem. As one staff member observed:

" . . . now we even give them 12-hour passes, but they really aren't turned on. Many see themselves doing

This had led to a feeling in some units that wards who become grievance clerks are doing so for personal advantage, and, perhaps, to get on the right side of key staff.

At Nelles, however, enthusiasm seems higher. The role of the grievance clerk continues to carry prestige and attracts good people. This may be due, in part, to the greater emphasis on treatment and communal efforts at Nelles.

Effective training could both rekindle enthusiasm for the system and improve the capacity of wards and staff for using it effectively. Each institution should be required to develop a regular training program involving both staff and wards. The programs should be adequately and directly funded at the departmental level. The specific and adequate

funding of the grievance training is critical since, without it, such training will continue to be a low priority item in an already limited institutional budget. And, the funding per se can be an important signal that the department continues to place real importance on the maintenance of the grievance system.

Experienced staff and wards should have a joint responsibility for the design and presentation of the training. The content should encompass such topics and skills as the mechanical aspects of the process, dispute resolution skills for staff and wards serving on grievance committees, and coping skills for grievance clerks and staff.

This regular -- perhaps every 3 months -- reaffirmation of the joint nature of the process should not only improve its operation, but give incoming staff and wards a greater investment in and understanding of it.

#### 5) Priorities, Authority and the Change in Top Administration.

The establishment of a viable grievance system throughout the CYA was top priority of former CYA Director Breed. His highly visible support was an important factor ensuring its implementation. Interviews with superintendents at individual institutions indicated that few, if any, would have implemented the process if it had not been required by the Director. The staff and their organization were even less enthused about establishing a grievance system -- particularly one, as they frequently observe, that is better than they have access to as employees of the CYA.

Perhaps one of the advantages of a quasi-military organization such as those existing in the prison setting is that people expect to take orders and to follow them. The most authoritarian person is also the

most willing to accept authority when in the role of a subordinate. Indeed, our observation in talking to individual superintendents was that the most authoritarian had the least enthusiasm for a grievance system, but also had the most smoothly functioning systems. The more "treatment-oriented" and less authoritarian superintendents had much more difficulty in establishing a viable system. The former were told to have a system and they told their staff that it would be established and would work. The latter tried to persuade their staff to cooperate.

Once the grievance procedure was in place throughout the CYA, Breed moved to have the process mandated by legislation. The attempt was successful and legislation requiring a grievance system in all areas of the CYA, supported by an independent audit based on the continuing monitoring and evaluation procedure already in place, was passed.

Subsequently, in late 1976, Breed resigned and a new State CYA Director was appointed. It is apparent that under the new Director the process continues to receive support. However, it does not have the overwhelming personal support and commitment that was so evident under Breed. While it is a moot question, one might conjecture whether, had the legislation not been passed, the grievance process might have begun to atrophy in certain institutions. The legislation, with the audit requirement maintaining the importance and influence of the excellent existing monitoring and evaluation effort, has prevented this from happening.

The CYA should make support of the grievance system a separate line item in the CYA department budget,\* with specific funds allocated for the

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\*The Wards' Rights Section of the CYA, consisting of two full-time persons who train for and monitor the procedure, is a separate line item.



support of the system -- staff time, training and incidental expenses -- in each institution.

6) Levels of Use of Outside Review.

(a) Indicators:

Table III-6 and Table III-7 document the level of use of outside arbitration by individual institutions and the overall trend in such use from 1973-4 to the present. The data indicate a decreasing propensity to go to outside arbitration, with about one-half of one percent of all grievances presently being appealed to that level. They further indicate that there is a wide variation in the use of arbitration between the various institutions, but that all -- again with the exception of parole and the forestry camps where the system is not working effectively -- have used outside arbitrators.

(b) Discussion:

The option of appealing to outside advisory arbitration if the grieving ward is unable to obtain satisfaction within the institution lends credibility to the entire system. However, outside arbitration must be used to remain credible. The present level of overall use is probably the minimum necessary to maintain such credibility. In institutions such as El Paso de Robles, Ventura and Nelles, where very few grievances have ever gone to arbitration, the level of use probably is below a desirable minimum.

Interviews with staff and administrators indicate that there is a strong disinclination to permit disputes to go to outside arbitration. There is a feeling on the part of many administrators that permitting problems to go outside of their jurisdiction is evidence of a personal

failure to cope with their responsibilities. Other administrators feel that outside arbitrators do not have a sufficient understanding of the prison system to properly rule on grievances. Finally, there is a concern that the time and expense of scheduling, preparing for and participating in an arbitration hearing is best avoided.

One result is that at YTS, for example, the system provides the Director or his designee two attempts to resolve a dispute: If the grievant does not accept the first response from the administration, the Director meets with him personally in a second attempt to resolve the grievance. Since no data are available on how many grievances are settled in the first vs. the second attempt at the top institutional step, the impact of this approach is not clear. Nor is it apparent whether, on the one hand, the administration concedes more than is appropriate in an attempt to avoid arbitration or, on the other, the grievant is subtly coerced by the level of personal attention he receives.

The arbitration step is not being adequately utilized at present, in our judgment. The lack of use could be detrimental to the entire system. The CYA administration should immediately take steps to allay any fears on the part of institution administrators that permitting grievances to proceed to arbitration is seen as a failure to cope adequately with administrative responsibilities. One way in which this might be accomplished would be for the CYA to make a statement indicating (1) that some level of use of arbitration is seen as desirable and (2) that about 1 to 1.5 percent of grievances might legitimately be expected to go to arbitration. Since about .6 percent of grievances in 1976 -- and 1.1 percent of all grievances filled -- involve departmental policy, a determination

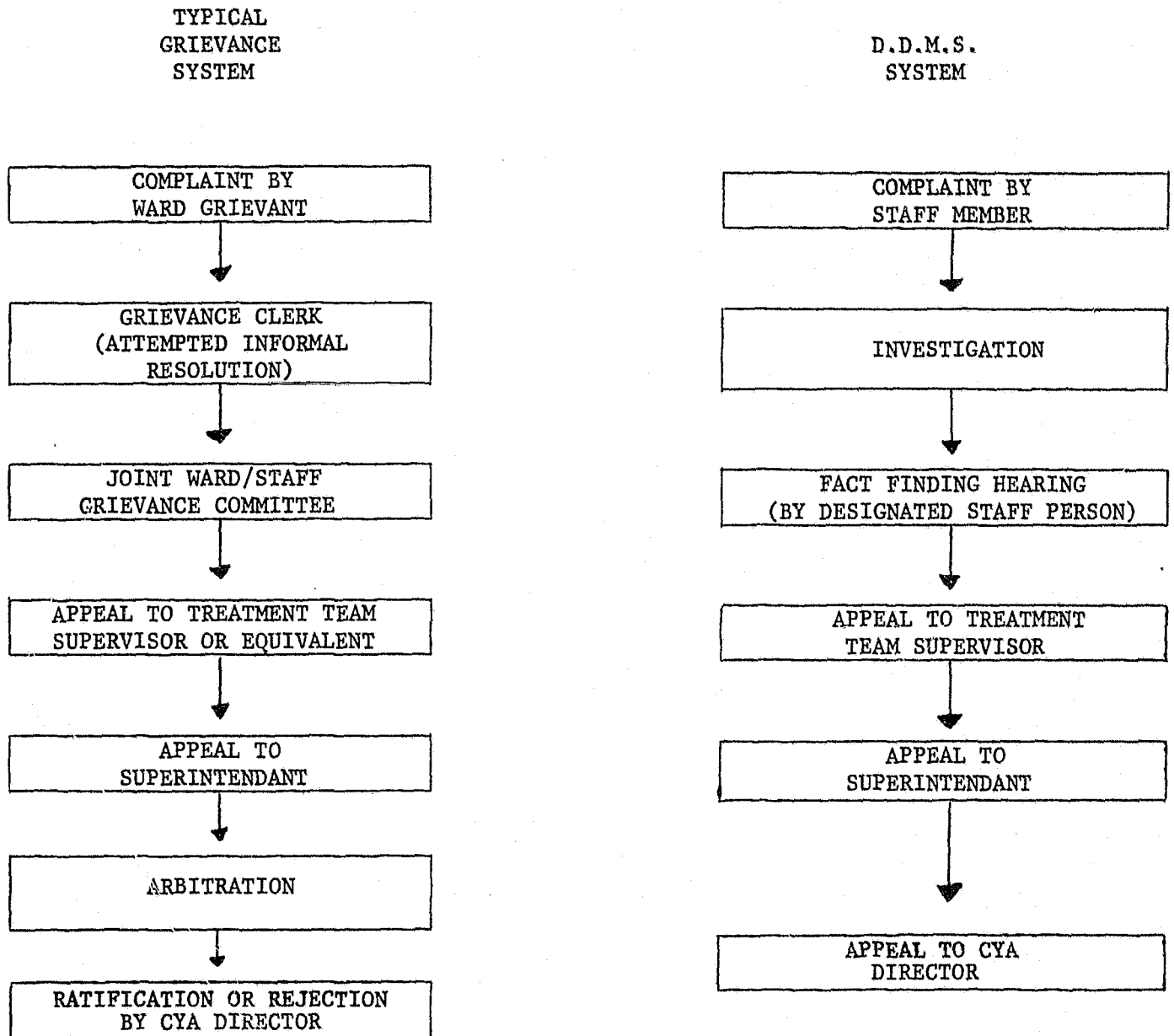
external to the institution, this level of use of arbitration does not appear to be unreasonable.

e. Relationship Between Grievance System and Existing Disciplinary Systems.

There appear to be increasing conflicts between the Disciplinary Decision Making System, the existing disciplinary procedure, and the grievance procedure. This conflict is compounded by conflicts over whether a particular grievance should be handled under the "emergency grievance" provisions, the expedited process (which is a part of the overall grievance system in each institution), or under the regular process with lengthier deadlines. As a result, the ward sees three parallel and similar systems which might be employed in search of redress. The systems offer different advantages in terms of timeliness, access, and participation, but wards tend to see the administration as having control over decisions regarding which of the systems is actually applied in any given situation. This perception is the result of both a lack of clarity in differentiation between the situations in which each of the systems is properly applied and of a real overlap in coverage of the systems.

1) The Grievance Process vs. D.D.M.S. As Figure III-1 illustrates, the Disciplinary Decision Making System (D.D.M.S.) is generally parallel to the grievance process. The appeal process for both the grievance system and the D.D.M.S. are often the same with the exception of the insertion of the arbitration hearing in the grievance system. The most striking difference is that actions in the D.D.M.S. are initiated by staff. A second difference is that the grievance system is designed to jointly resolve problems while the

FIGURE III-1



D.D.M.S. is intended to convict and assess penalties. (The D.D.M.S. recognizes two distinct types of disciplinary cases: "Level A" for minor infractions that result in penalties of up to 24 hours confinement and "Level B" for more serious disciplinary problems.)

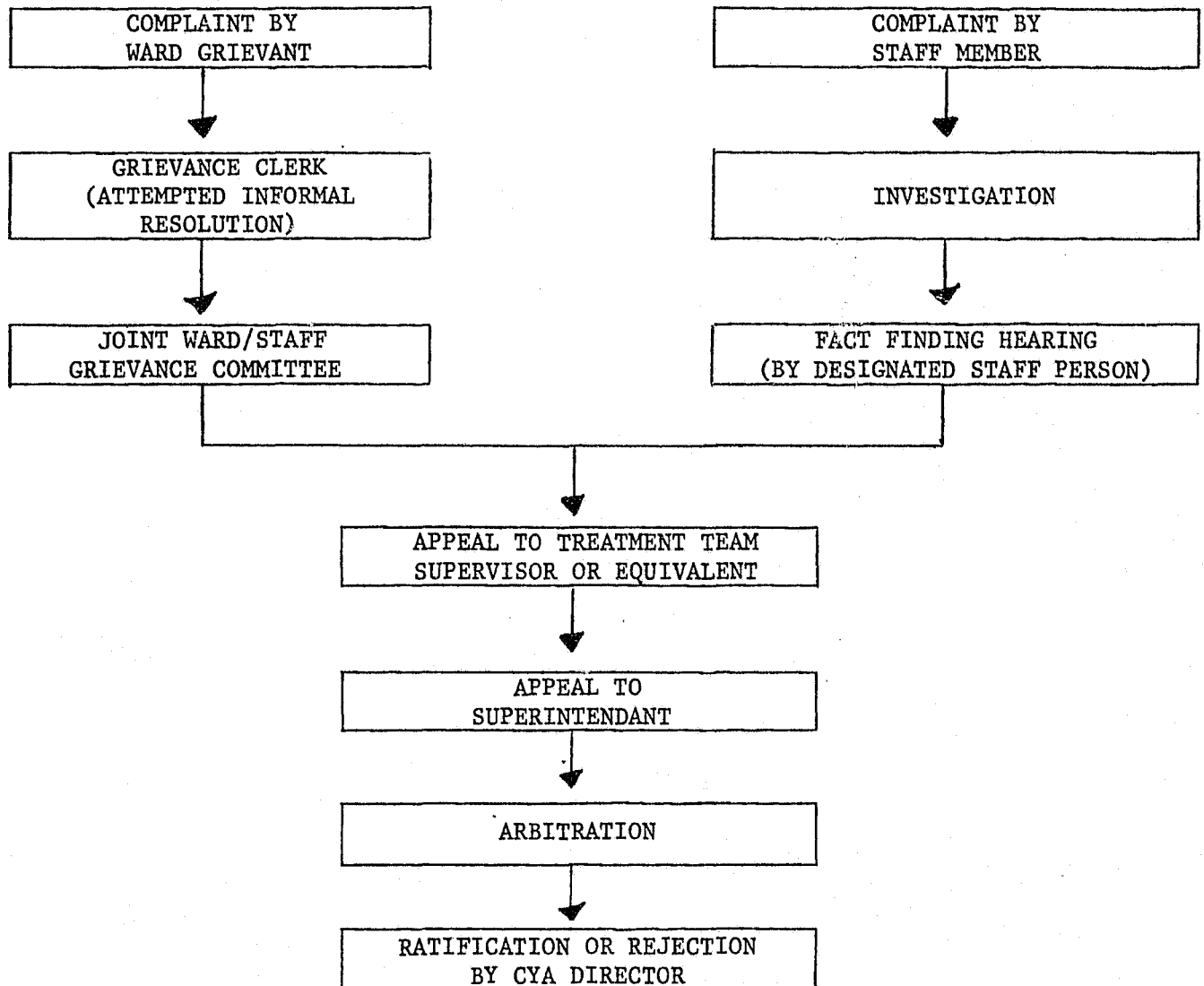
As might be expected, wards tend to see the grievance system as "their system", and prefer to use it wherever possible. Since their complaints regarding ward actions flow through D.D.M.S., staff often take the counter views. Where D.D.M.S. penalties are imposed, a continuing jurisdictional conflict has resulted between what is appealable under D.D.M.S. and what is grievable under the grievance system. Since the question of whether or not an issue is grievable is, itself, an acceptable basis for a grievance, there is often further confusion over the use of the alternate systems.

Serious consideration should be given to combining the appeal steps of D.D.M.S. and the grievance system.<sup>5</sup> A combined system might be structured as illustrated in Figure III-2, and should eliminate jurisdictional disputes by creating a single appeal system. At present, the fact that the same persons merely wear different hats but tend to behave in different ways in the two parallel appeal systems (apparently being far more rigid in stance under the D.D.M.S. designation) threatens the credibility of both.

By tying staff-initiated actions more clearly into the overall attempt to establish and maintain equity in the institution through joint

FIGURE III-2

PROPOSED COMBINED GRIEVANCE/D.D.M.S. SYSTEM



process, such a joint system might also foreclose the tendency of staff to process grievances through the ward grievance system. (In Preston, the staff is now permitted to bring grievances in their own name.)

Finally, as the grievance coordinator at YTS observed, a reduction in ward population has resulted in "...less than enough business for either system." Some means of combining the grievance and D.D.M.S. processes could ensure a sufficient level of use to keep both vital.

2) The Emergency Grievance Provision. An expedited or emergency grievance provision is required under the criteria established as a basis for the development of the systems in each institution. Its intent is that the ward "...shall have available a course of action which can provide redress within a relatively immediate time." It is intended for situations where a lack of immediate action could result in consequences which are, as a practical matter, irreversible.

There has been a tendency for wards, as might be expected, to prefer immediate action on their complaints. As a result, 1977 preliminary figures indicate that 40 percent of all grievances were filed as emergency grievances. This total is somewhat skewed by a few institutions with a very high proportion of emergency grievances. At Ventura, a young women's institution, for example, emergency grievances accounted for 80 percent of total grievances.

Of the emergency grievances filed, about one-half are actually dealt with as emergencies. Of those that are referred back to the regular grievance system, less than one-half -- or about one-fourth of those originally filled -- are ever formally pursued by the ward.

Interestingly, there does not presently seem to be the same level of concern that existed in the past regarding the level of emergency grievances and their potential to disrupt the system. The grievance coordinator at YTS observed, "Emergency grievances are only a problem for a few individuals." From the point of view of staff and administrators, the biggest problem with the large number of emergency grievances is the extra work load which they represent.

As one administrator observed, however, there is a very real benefit that accrues from use of the emergency procedures:

"Emergency grievances often result from an emotional reaction to an immediate situation. There is a real benefit in feeling you can do something 'right now'. Twenty-four hours gives them a chance to cool off even if it isn't a real emergency."

It would be difficult to reduce the overall level of emergency grievances. About one-half are apparently properly filed as emergencies and several others may serve an important "safety-valve" function.

It would be unwise to require ward grievance clerks to screen emergency grievances too severely since to do so could compromise their credibility. Better training for all wards in use of the grievance process could help somewhat. And, it may be that the level of complaints by staff and administrators regarding the overuse of the emergency grievance procedures is related most closely to their overall attitudes toward the grievance system, per se.

d. Independent Review: Arbitration in Practice

The dearth of cases actually going to outside arbitration in some institutions and the related concern lest insufficient use of arbitration



might undermine the legitimacy of the system, has been addressed above. In this section, the arbitration process will be examined with a particular emphasis on the point of view of the arbitrator.

1) Arbitration Rulings. Table III-9, prepared by the CYA, shows the trend in arbitration rulings through December, 1976:

Table III-9

GRIEVANCE DISPOSITIONS - OUTSIDE REVIEW, BY YEAR  
(September 1973 - December 1976<sup>a</sup>)

Level V	Total		Upheld		Compromise		Denied	
	No.	%	No.	%	No.	%	No.	%
Total.....	94	100.0	19	20.2	40	42.6	35	37.2
1973 - 74.....	17	100.0	4	23.5	10	58.8	3	17.6
1975.....	36	100.0	7	19.4	16	44.4	13	36.1
1976.....	41	100.0	8	19.5	14	34.1	19	46.3

<sup>a</sup> Source: California Youth Authority, Grievance Activity, (Draft Report for 1976), Mimeo, p. 11.

The data show an interesting pattern: the proportion of grievances upheld has remained relatively constant, but there has been a sharp increase in outright denials with a corresponding decrease in compromise awards. Comparison with Table III-5 indicates the trend is similar to that observed in the disposition of all grievance filed. See Table III-10.

Table III-10

GRIEVANCE DISPOSITIONS  
COMPARING ARBITRATED GRIEVANCES TO TOTAL GRIEVANCES<sup>a</sup>  
(By Year)

YEAR	UPHELD		COMPROMISE		DENY	
	All	Arbit.	All	Arbit.	All	Arbit.
	Grievances No. / %	No./%	Grievances No. / %	No./%	Grievances No. / %	No./%
1973-74	366/53.1	4/23.5	134/20.2	10/58.8	184/26.7	3/17.6
1975	1806/44.6	7/19.4	1044/25.8	16/44.4	1192/29.4	13/36.1
1976	2577/32.6	8/19.5	1983/25.1	14/34.1	3344/42.3	19/46.3

<sup>a</sup>Excludes those grievances for which no information as to disposal ("undetermined", "no resolution" or "other") is available.

While the small number of cases reaching arbitration limits the strength of conclusions that can be drawn, it is evident that the grievant fares much less well in arbitration than in other steps of the process. This, however, is to be expected. The nature of the process places the ward in the position of demanding change and the administration in the position of deciding where or not the granting of change is appropriate and or equitable. It is to be expected that those situations where the ward has a strong "case" would be resolved early in the system. Cases that proceed to the arbitration step must always do so at the request of the ward. Indeed, a higher proportion of grievances upheld by arbitrators would be evidence that staff and administration were failing to make a good-faith effort to resolve disputes within their jurisdiction.

2) The Advisory Nature of Arbitration. As Table III-11 indicates, the large majority of arbitration awards were upheld by the CYA Director.

Table III-11

YOUTH AUTHORITY RESPONSE TO OUTSIDE RECOMMENDATIONS<sup>a</sup>  
(By Year)

	Total		Approved		Approved in Past		Denied	
	No.	%	No.	%	No.	%	No.	%
Total.....	59	100.0	41	69.5	8	13.6	10	16.9
1973 - 74.....	14	100.0	10	71.4	2	14.3	2	14.3
1975.....	23	100.0	16	69.6	4	17.4	3	13.0
1976.....	22	100.0	15	68.2	2	9.1	5	22.7

<sup>a</sup>Source: California Youth Authority, Grievance Activity,  
(Draft Report for 1976), Mimeo, p. 12.

The Director is restricted to rejecting a grievance for one or more of three reasons:

1. The award is illegal;
2. The award would compromise the security of the institution; or
3. The award would require expenditure of unavailable funds.

Table III-11 also indicates that there was an increase in denials, reaching a high of 22.7 percent (5 denials) in 1976. This increase was in spite of a clarification and tightening of the guidelines restricting reasons for rejection of an award to those above.

A brief perusal of arbitration awards suggests that the denials may be more a function of the arbitrator being insensitive to the realities of the institutional system than to the discretion of the CYA Director. This factor underscores the need for scheduling joint discussions between administration, staff and arbitrators, a suggestion made by the arbitrators interviewed.

3) Wards vs. Administration: An Equal Battle? While the arbitrators interviewed were favorably impressed with the preparation for the arbitration hearing displayed by the grievant wards and their ward representatives, they nevertheless felt that the wards were less well-prepared and equipped than the administrators they faced. However, as the following comments by arbitrators indicate, they did not necessarily see this difference as a disadvantage:

"The difference (in preparation) does not endanger the process but puts a lot more responsibility on the arbitrator."

"It requires informality. Sometimes I have even helped the ward cross examine (the administration witness)."

"It could be a real problem if the arbitrator expected too much formal preparation."

"It may be better that the wards aren't too well prepared. Weakness can be a form of strength."

"The lack of expertise of witnesses often increases their credibility."

The critical factor would appear to be the flexibility of the arbitrators in dealing with an obviously unequal situation.

Two arbitrators noted that the "over-preparation" and attitude of administration representatives sometimes exacerbated the difference -- and tended to create sympathy for the ward. Their comments:

"Some administration representatives seem to want to come out a new career as trial lawyers."

"Some 'management spokesmen' show evident disdain for the process."

As with the entire grievance process, arbitration cannot be treated simply as a win-lose situation between equal parties. It can only be

viable as a joint effort to find equitable solutions. Arbitrators who seek to bring all of the assumptions of labor-management or commercial arbitration to bear are unsuited for their role in the CYA grievance process.

4) Other Points of Concern Raised by Arbitrators.

- (a) One arbitrator felt that departmental representatives confused their roles. He described a situation where one such person performed as both administration representative and as expert witness. He felt strongly, however informal the process, there were certain basic procedures that had to be recognized.
- (b) The tripartite formula used for the arbitration panels in the CYA was seen by one of the arbitrators as potentially dangerous to the ward panel member. He mentioned a situation where a ward was required to dissent for fear his physical safety might be compromised.
- (c) One arbitrator felt that foreclosure of awards that had a financial cost unrealistically limited the process. Perhaps some realistic dollar limit might be devised.
- (d) There was a strong desire on the part of the arbitrators that they should have a better understanding of the realities of CYA system in which they were functioning. Joint meetings of arbitrators, meetings with administrators and staff even an opportunity to assist in the training of wards were suggested.

e. Application of Grievance Process to the Parole System

1) Present Situation. Grievance Systems were developed in labor-management relations as a means of resolving differences over interpretation and implementation of the contract between the parties. That contract was jointly negotiated and spelled out the terms and conditions of the employment relationship. The system "works" because it is based on a clearly defined relationship between the parties. It also works because the social structure within which it operates provides limited opportunity for personal reprisal due to (1) clear limits on the discretion of representatives of management and (2) the fact that most interactions occur in a public setting.

Within large CYA institutions, this same general set of circumstances is present. There is a fairly clearly defined relationship between staff and wards. Discretion is limited. And most interactions between staff and wards take place in relatively public circumstances.

However, in the CYA parole system, the grievance process is not working well. Four parole offices have been using the grievance procedure on an experimental basis since mid-1975. Those four offices serve about 900 parolees, about equal, for comparative purposes, to the current number of wards in the Youth Training School (YTS). Whereas YTS averages about 95 grievances per month, the four parole offices have handled less than 2 per month. Two of the offices have yet to file a single grievance.

The process is having a similar problem of underutilization in the Forestry Camps where only 220 grievances have been filed from mid-1975 through December 1977.

A basic factor in the failure of the grievance process in the parole setting is the discretion left to parole staff in their relations with parolees. This discretion is based as much on the ability of parole staff in this less institutional setting to grant favors above and beyond the common basic rights afforded to all CYA wards as it is on the threat of more negative reprisals. As a result, there appears to be real concern on the part of wards lest use of the grievance system might result in the loss of or not obtaining "privileges" from parole agents. These privileges or special efforts include the vigor with which a parole agent assists the ward in resolving problems with local police, the kind of scrutiny of day-to-day activities to which the ward is subjected, and the level of material benefits that are received. Fear of possible reprisal, therefore, is related more directly to loss of advantage than to possible negative sanctions.

Until some means of circumscribing this broad area of discretion on the part of parole staff is devised there is little likelihood of a successful grievance process operating with parole system.

A second difficulty in parole, which further expands the sphere of discretion of the agent, is that most contacts between agent and ward take place in a one-in-one situation. Several problems result: First, where differences arise, it is always the word of the ward against the word of the agent. Second, there can be little peer pressure or effective supervisory influence on the agent where others have little effective knowledge regarding his or her activities. Third, it is inevitable that situations arise where personality factors existing between agent and ward almost ensure conflict. Finally, the situation between agent and

ward at times seems to develop into an almost parent-child or doctor-patient relationship. Such relationships are not supportive of the joint determination required if a grievance mechanism is to be effective.

2) Recommendation. The grievance process requires a clearly defined statement of the relative rights and responsibilities of the parties whom it is designed to serve in order to operate effectively. In the parole system this basic statement should have two discreet sections. First, the basic rights and responsibilities established by legal and departmental fiat should be consciously specified between the parties. While these may currently be in existence, the ignorance of one or both of the parties as to their scope and application negates their effectiveness. Second, there should be a clear joint understanding of the specific obligations relative to areas of discretion between the parole agent and the individual ward. These include such areas as financial assistance, support in attempts to gain employment, educational opportunities and in dealing with local law enforcement officials, and such conditions of parole as areas and persons to avoid alcohol use and curfews. This set of understandings would provide the basic "contract" between ward and agent necessary to regulate their behavior and upon which to base any grievance.

In order to ensure that good faith joint discussions do in fact occur, the understanding or contract should be reached with the assistance of or in the presence of a third party. The third party would also have a responsibility to explain the operation of the grievance process to each parolee, and his or her presence should place some additional pressure on both ward and agent to abide by the agreement reached. The



third party could be either another parole agent charged with ensuring effective operation of the grievance process, or a qualified citizen volunteer.

In order to ensure that the contract between the parties remains current, there should be a requirement for its renegotiation after some specified period of time. The ward and agent could also jointly agree to revise their understanding at any time. All revisions and renegotiations would require the presence of a third party, as specified above.

The role of the parole agent responsible for grievances is critical. The position should be a full-time responsibility rather than merely one more burden shouldered by an agent. Further, he or she should be at either the "Supervisory Agent" or "Agent 3" level in order to provide meaningful organizational status and mobility. Finally, such agents should be selected from among current staff with careful attention to current status and respect among peers and performance as an agent.

3) Implementation. Such an approach might best be implemented by redistributing parole office territories in order to create one new office. That office could then be staffed with volunteering agents. The first step would be for agents and interested parolees in the office to form a committee to define the basic "bill of rights".\* (That basic set of "rights" should immediately be applied in all parole offices.) The committee would then develop an outline of the specific issues which should be addressed in negotiating the subsidiary agreement between parolee and agent. The agents and wards would then jointly develop the grievance process.

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\*The Wards' Rights section of CYA has produced a "bill of rights" for wards on parole, but the document is too ambiguous.

The wards should be paid a salary for their participation in the development of the grievance system.

The experience in this experimental office should provide the basis for developing similar programs in other offices.

While this approach would require a substantial commitment of resources, it is apparent that such a concerted effort is necessary if a viable grievance process is to be developed in the parole system.

f. Impact of Grievance System on Staff and Administrators.

To the extent that the grievance system is effective, it alters the relationship between wards and the staff and administration. The process however, also has had an impact on the relationship between staff and administrators and among staff members themselves. The following observations relate to the impact of the grievance system on these relationships.

1) Impact on the "Treatment Model". Former CYA Director Allen Breen has been quoted as stating, "The treatment model must operate in a system that is fair and just." Nevertheless, many staff, -- particularly in institutions with a younger ward population such as Nelles -- were concerned that the grievance system would erode the effectiveness of the treatment model which they practiced. There was an assumption on the part of several staff members interviewed that the model could not operate where wards could constantly challenge restrictions and policies that were being imposed "for their own good." Since the grievance process granted the wards joint legitimacy in addressing complaints, the doctor/patient or parent/child relationship would inevitably be destroyed.

However, either this eventuality has not occurred, or the assumption that the treatment model required something other than a co-equal

relationship has proved incorrect. Interviews with the same staff members a little more than a year later indicated that the grievance process had become an integral part of the treatment program. They had found that requiring wards to assume responsibility for their actions and to learn to use processes which require preparation and shared interaction with staff and administrators had an important training and treatment impact -- helping prepare wards to cope with the social complexities they face upon leaving the institution.

There is even some evidence that the grievance process has worked to improve the manner in which staff performed under the treatment process:

At Nelles, performance contracts are agreed upon and signed between students and teachers each Monday. Each Friday the teacher is responsible for assessing ward performance under those contracts and regarding the student accordingly with "points" which could be used for weekend purchases at the canteen.

Before the grievance procedure was implemented at Nelles there were frequent complaints by wards that the teachers were not awarding points before the weekend. The administration and several staff feared that there would be a flood of grievances regarding the failure to award points in a timely manner which could disrupt the entire performance award system -- a part of the treatment model.

However, the grievances never came. When a process for effective review was established at Nelles, the teachers apparently found time to meet their responsibilities.

As Breed observed, the treatment model can only be effective in a setting that is fair and just.

2) Relations Between Staff Grievance Coordinator and Other Staff.

The staff person who takes responsibility for the grievance process -- whether as a full-time grievance coordinator or as an additional duty -- will find that filling the position will have an impact on his relationship with other staff. He is inevitably placed in a position of pressing colleagues to behave differently, whether in changing their actions toward wards or in requiring them to meet policies and deadlines in their responses to grievances.

One of the most experienced and effective grievance coordinators in the CYA system was Joe Kennedy at YTS, who resigned that position in 1977 to return to a regular staff position. Upon leaving he said that he felt that he had become isolated while in the role of grievance coordinator. It was clear that his performance in that role was unlikely to have a discernible positive impact on his advancement within the CYA. He said that it was his feeling that either the grievance coordinator should have a limited term or else someone should be hired specifically for the position.

3) Peer Pressure Among Staff. Situations were recounted where staff members brought pressure on one of their colleagues who had a disproportionately high level of grievances. It would appear that the volume of grievances provided evidence of a situation where one staff member was seen as threatening the overall relationship between wards and staff, threatened the overall staff reputation or was behaving in a manner repugnant to the majority of staff and they took action against him.

4) The Grievance Process as a Management Information Tool.

There is a general consensus that, except in extreme situations, administrators should not consciously use the grievance process as a regular means of assessing staff performance. It was observed that the "worst" staff might have a low level of grievances against them because the wards feared reprisals.

Nevertheless, it was apparent that many staff felt that the number and kinds of grievances against them were one basis of overall performance assessment. Further, certain kinds of grievance do have the potential for disciplinary action being taken against the staff. (About 22 percent of all grievances filed in 1976 fell into the category of arbitrary staff actions.) One situation was described where a staff member who had a disproportionately high number of grievances was transferred for totally unrelated reasons. However, it would be impossible to convince other staff or wards in that unit that his removal wasn't precipitated by his grievance record.

The grievance system will continue to highlight poor staff performances and will inevitably (and appropriately) influence administration decisions regarding such persons. However, any attempt to make grievance system records a regular part of the staff evaluation process, substituting it for good management and supervisory practices, would be to load the process with excess baggage that could ultimately destroy it.

5) Use of the Grievance System by Staff. There is a general belief that many early policy grievances were filed with the active support of staff who saw the process as a means of eliminating some of the outdated policies and practices which tend to survive in an institutional

setting. This early pay-off to staff from the implementation of the grievance system may have been an important factor in their early support which, in turn helped to alloy ward reluctance to use the system for fear of reprisal. Staff-initiated grievances continue to appear, but less frequently.

As was noted above, Preston permits the staff to use the ward grievance system as grievants. This is a misuse of the process and, if it is permitted to continue, could be used as a means of disruption by staff members opposed to it.

The grievance process for wards has made the staff more aware of the inadequacies of their employee grievance system and the California State Employees Association is presently pressing for improvements.

### 3. Impact on the Grant Objectives

#### a. Reduction in the Level of Violence

The assumption underlying this objective is that the existence of a legitimate grievance system will lessen the frustration of inmates (wards) as they begin to perceive that their complaints will be addressed -- and redressed. This decrease in frustration will, in turn, lower the level of property damage and propensity to engage in physical altercations with both staff and other wards.<sup>6</sup>

1) Indicators. The CYA was informally requested to compile property damage and personal injury data from each of the CYA institutions for the years 1970 through 1976. It had been hoped that the collection of these data would be a simple bookkeeping chore and that the figures would indicate any trends in assaults on persons and/or property. However, response to the request indicated that such data could not or

would not be made available. As a result, the only measures of the degree to which this objective was achieved are based on the subjective observations of staff and administrators.

2) Discussion. The unanimous assessment of staff and administrators interviewed during the period of this research was that violence against both persons and property within CYA institutions had decreased during the period from the time the grievance process was first instituted to the present.

As the former grievance coordinator (more than three years in the position) at the Youth Training School (YTS), the most prison-like institution in the southern half of the state, observed:

"I can't prove it, but it feels like there is less tension. We have had no major confrontations since the system was put into place and we used to experience them every month or so."<sup>7</sup>

Other staff and administration comments relating to this objective included the following:

"We used to have a lot of complaints and confrontations over the food, but now if they (the wards) don't like it, they just file a collective grievance. It has resulted in a lot of changes (in the food service)."

"I believe it (the grievance system) has prevented many incidents of magnitude. Many times wards have told me that they are filing a grievance instead of tearing up the place."

"It hasn't had much real impact on basic racial issues. And, the bottom line is still that they are incarcerated."

The comment immediately above was from a staff person in Sacramento who had had little direct day-to-day contact in the institutions. On the other hand, an administrator at YTS observed:

"Gang violence seems to have really decreased at YTS. There are a lot less attacks than there used to be."

Finally, an administrator at Nelles School reflected that while there had been some decrease in glass breakage it could probably be attributed to the replacement of glass with lenan plastic!

To conclude, there was a nearly unanimous perception on the part of staff and administrators interviewed that tensions and violence within the institutions had decreased. Whether this perception was due to faulty memory, real changes that were either coincident with the institution of the grievance process or attributable to it, or due to some other factor, those most closely involved in the institutions attributed the decreases to the grievance system.

b. Increase in Inmates' Perception of the Likelihood of Fair and Prompt Handling of Complaints through Administrative Mechanisms

1) Indicators. The data which will be used in evaluating the achievement of this objective have been compiled as a part of the continuing evaluation effort of the CYA. Questions and responses relating to perception of fairness of complaint handling were asked and received from wards and staff; Tables III-12, III-13, III-14 and III-15 summarize responses to some of those items.<sup>8</sup>

2) Discussion. The following observations and hypotheses regarding the perception of the wards regarding the fairness of complaint handling would seem to be supported by the data.



A substantial majority of the wards (74 percent) in the institution being studied (YTS) perceived the grievance system to be "generally" or "fairly" useful, while less than 11 percent saw the procedure as "poor" or "bad". While these figures are without base-line data, few would hypothesize that such a large majority of persons unwillingly incarcerated in an authoritarian institution would perceive the system by which the administration of that institution responded to their complaints as being "useful" (Tables III-12 and III-13).

Those wards with actual experience in the use of the system had significantly stronger positive perceptions (78 percent "useful") and significantly weaker negative perceptions (5.6 percent "poor" or "bad") regarding the usefulness of the system than did those wards who had not employed it (68 percent and 18 percent, respectively).

This would appear to suggest that the system is, in fact, operating in a fair and equitable manner. It might also suggest that so long as the system maintains at least its current level of credibility and a larger percentage of wards employ it (all other factors, such as changes in the proportion of decisions for and against the plaintiff, remaining equal) the perception of the fairness and usefulness of the system should remain at a high level (Tables III-12 and III-13).

Among the users of the process, there was a small decrease in the proportion who perceived the system as being "useful" (-9 percent) from the first to the second year of actual implementation. Interestingly, there was no significant increase in the proportion of those users who saw the system as "poor" or "bad" (+1.3 percent), but there was a substantial increase (+10.4 percent) in the proportion of users who did not

TABLE III-12  
YOUTH TRAINING SCHOOL

WARD PERCEPTIONS OF THE USEFULNESS OF THE WARD GRIEVANCE PROCEDURE  
(USERS)

Question	Total Users		Users				Percentage Point Change	
			7/74 - 5/75		5/75 - 11/75			
	N=489		N=317		N=172			
	No.	%	No.	%	No.	%		
How useful is the Ward Grievance Procedure?								
Generally useful.....	251	51.3	165	52.1	86	50.0	-	2.1
Fairly useful.....	130	26.6	92	29.0	38	22.1	-	6.9
A poor system.....	24	4.9	17	5.4	7	4.1	-	1.3
A bad system.....	3	0.6	2	0.6	1	0.6		0.0
Don't know.....	0	0.0	0	0.0	0	0.0		0.0
Other.....	20	4.1	13	4.1	7	4.1		0.0
No answer.....	61	12.5	28	8.8	33	19.2	+	10.4

TABLE III-13  
YOUTH TRAINING SCHOOL

WARD PERCEPTIONS OF THE USEFULNESS OF THE WARD GRIEVANCE PROCEDURE  
(USERS)

Question	Total		Non-Users				Percentage Point Change	
	Non-Users		7/74 - 5/75		5/75 - 11/75			
	N=304		N=137		N=167			
	No.	%	No.	%	No.	%		
How useful is the Ward Grievance Procedure?								
Generally useful.....	134	44.1	51	37.2	83	49.7	+	12.5
Fairly useful.....	73	24.0	40	29.2	33	19.8	-	9.4
A poor system.....	37	12.2	21	15.3	16	9.6	-	5.7
A bad system.....	18	5.9	10	7.3	8	4.8	-	2.5
Don't know.....	41	13.5	15	10.9	26	15.6	+	4.9
Other.....	0	0.0	0	0.0	0	0.0		0.0
No answer.....	1	0.3	0	0.0	1	0.6	+	0.6

TABLE III-14  
YOUTH TRAINING SCHOOL

WARD EXPECTATIONS OF FAIR GRIEVANCE RESOLUTION

Question	Without Formal Grievance Procedure		With Formal Grievance Procedure TOTAL		With Formal Grievance Procedure 7/74 - 5/75		With Formal Grievance Procedure 7/75 - 10/75	
	N=108		N=743		N=404		N=339	
	No.	%	No.	%	No.	%	No.	%
Will a complaint/grievance be worked out or settled fairly?								
Yes/Usually.....	12	11.1	327	44.0	173	42.8	154	45.4
Sometimes/Depends.....	29	40.7	191	25.7	117	30.0	74	21.8
No/Almost never.....	32	29.6	83	11.2	58	14.4	25	7.4
Other/Don't know.....	2	1.9	80	10.8	30	7.4	50	14.8
No response.....	5	4.6	62	8.3	26	6.4	36	10.6

respond to the question. This latter figure might suggest that there were some who were generally supportive of the system, but who had not had their personal grievances favorably adjudicated.

Among non-users, there was a small increase in the proportion who perceived the system to be useful (+ 3 percent), and a more substantial decrease in the proportion who saw the system as "poor" or "bad" (-8 percent).

These latter figures exploring the impact of the system on those wards who have not personally employed the system suggest that its very existence appears to have some cumulative impact on the perceptions of usefulness, if not fairness, in the institution more generally (Table III-13).

Table III-14 indicates the responses to the question, "Will a complaint/grievance be worked out or settled fairly? (emphasis added). The data demonstrate a dramatic increase in the perception of fairness occurring after implementation of the grievance process at YTS. The "yes/usually" response increased from 11.1 percent to 40 percent, while the "no/almost never" responses decreased from 29.6 percent to 11.2 percent. Interestingly, the substantial decrease in the proportion of "sometimes/depends" responses from 40.7 percent to 25.7 percent suggests a perhaps equally important decrease in the perceptions by the wards regarding the arbitrariness with which their complaints might be treated by the staff and administration.

This data would appear to offer direct evidence that the CCJ objective regarding an increase in the wards' perception of this administrative mechanism for the handling of complaints as being fair, is being met.

One measure of whether this perception of fairness of the mechanism reflects reality is the degree to which the staff response pattern reflects that of the wards. Given the congruence in this perception reflected in Table III-15 -- and perhaps equally important, the congruence in expectations -- between the key parties to the grievance process, it might reasonably be conjectured that actual behavior is likely to follow suit.

It should be noted that these data do not pertain to the overall perception of the wards regarding administrative mechanisms in general. In our discussion of the relationship of the grievance process to other processes within the institution, such as the D.D.M.S. process, there is evidence that the nature of the grievance process as a jointly administered system for the resolution of grievances may actually decrease the ward's perception of the fairness and promptness of the other systems in responding to their concerns.

c. Reduction of Litigation against Institutions

Of all the CCJ objectives, this is perhaps the most directly related to a concern for social control rather than effective redress of grievances. One could argue, for example, that an effective grievance system might give rise to increased and more effective use of litigation by wards as they become more aware of their rights and more skilled in pursuing them.

On the other hand, it might be supposed that many complaints which might otherwise have required external adjudication would receive redress within this system. Since some 15,000 formal grievances were handled by the process in CYA institutions during its first three and one-half years

TABLE III-15

## YOUTH TRAINING SCHOOL

## STAFF EXPECTATIONS OF FAIR GRIEVANCE RESOLUTION

Question	Without Formal Grievance Procedure		With Formal Grievance Procedure TOTAL		With Formal Grievance Procedure 7/74 to 6/75		With Formal Grievance Procedure 6/75 to 11/75	
	N=32		N=59		N=42		N=17	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Will a complaint/grievance be worked out fairly?								
Yes/Usually.....	9	28.1	40	67.8	30	71.4	10	58.8
Sometimes/Depends.....	15	46.9	12	20.3	10	23.8	2	11.8
No/Almost never.....	6	18.7	2	3.4	0	0.0	2	11.8
Other/Don't know.....	1	3.1	3	5.1	2	4.8	1	5.8
No response.....	1	3.1	2	3.4	0	0.0	2	11.8

of operation, there is little doubt that at least some of that number might have otherwise resulted in litigation.

The following general observations will illustrate the impact of the grievance system upon attaining this objective.

Wards in the CYA were never particularly litigious. As one central administrator observed, "CYA is not like an adult system where they (the inmates) have the moxie to really go writ writing."

Only a very small percentage of grievances filed involve the kinds of issues that might be expected to result in court action. For example, only 1.1 percent of all grievances filed related to departmental policy.

It had been conjectured by some observers that the existence of a grievance process might result in the courts referring some litigation back to the institutional system for attempted resolution before admitting such cases to formal litigation. However, according to CYA Departmental Counsel, Daniel Doyle, there have been no instances where the courts have actually made such a referral.

This is not intended to suggest, however, that the courts have not recognized the legitimacy of the CYA grievance system. For example, there was a situation at Karl Holton School in which a ward assaulted a staff person and was charged through the District Attorney's Office with the assault. The ward's defense was that the alleged assault was merely self-defense from continued harassment by the staff. The defense attorney requested that the judge subpoena grievance records from the institution to substantiate a claim that the staff member who was assaulted had been harassing the wards. The judge agreed, but reviewed the records in chambers and ruled that they support the prosecution



rather than the defense position. He said the system itself was fair and that there had been no complaints against that staff member, citing that evidence when he ruled in the case.

To conclude, there is no evidence that the grievance process in CYA has had any impact on the level of litigation. However, as the discussion of policy changes below will indicate, it is unlikely that the kinds and volume of changes which have occurred since the grievance process was implemented would have taken place without some sort of external intervention such as the courts. One might conclude that, given the low propensity to use litigation on the part of CYA wards, most of these changes might never have taken place.

d. Increase in Number and/or Clarity of Written Policies

1) Indicators. The CYA has maintained records of all the grievances resulting in policy changes during the entire period the process has been in effect. The information in Table III-16 describes those changes and distinguishes between the levels at which policy changes were effected.

It should be noted that all of these policy changes require written notice to those affected by the change. Thus, a unit policy change would require that written notice be given to all of those in the unit an institutional policy change would result in notice being given to all of those in the institution, and a departmental policy change necessitates written modification or addition to the department-wide policy manual, the Rehabilitative Services Manual.<sup>9</sup>

2) Discussion. As Table III-16 and the list of Rehabilitative Service Manual changes indicate, the grievance process has directly

resulted in a major increase in the number, clarity and equity of written policies within CYA. All levels of policy changes have a direct impact on the day-to-day relationship between the ward and the institution within which he is incarcerated.

One important aspect of this increase in written policies is the decrease in the area of discretion and related likelihood of arbitrariness and personal variance in ward-staff and ward-administrator relations. As the grievance coordinator at Nelles School in Whittier observed:

"Before the grievance process, there really wasn't much written policy. Now all the rules must be posted and available. If it's not written, it's not a policy!"

However, merely having rules and policies posted and available does not ensure that the wards are actually aware of these policies. One institution, Nelles School, dealt with this problem by requiring each living unit to establish a set of procedures for disseminating policy and rule changes directly to the wards in that unit.

At YTS, there was an initial problem with policies being "re-grieved" because changes were not posted conspicuously. As a result, several teams have instituted a new policy whereby the ward may be "booked" for not posting policy changes in his room.

To conclude, the grievance process has had a major impact on the clarity, number and availability of written policies governing the rights and responsibilities of wards within CYA institutions. It should be noted that the general decrease in the area of personal discretion existing between staff and wards may well have an impact on tensions within

TABLE III-16  
CALIFORNIA YOUTH AUTHORITY  
POLICY CHANGES<sup>a</sup>  
(By Year)

	Total		1973-74		1975		1976		1977 <sup>b</sup>	
	No	%	No	%	No	%	No	%	No	%
Total	1949	100	153	7.9	782	40.1	765	39.7	249	12.8
Living Unit Policy	1142	100	61	5.3	428	37.5	498	43.6	155	13.6
Institution Policy	740	100	71	9.6	338	45.7	254	34.3	77	10.4
Department Policy	67	100	21	31.3	16	23.9	13	19.4	17	25.4

<sup>a</sup>Includes all grievances dealing with policy issues where the response to the grievant granted all or part of the request thus modifying existing policy.

<sup>b</sup>Through July, 1977.

the system which is equal to or greater than the implementation of a due process system per se.

- e. Increase in Citizen Volunteers' Knowledge of the Corrections System and Action Taken by Volunteers on Behalf of the Correctional System or Particular Offenders.

A CYA administrator in Sacramento put this objective in perspective when he observed, "If what you are concerned with is citizen participation, there are a lot better ways to get it than through the grievance process." This perspective reflects the CYA experience, suggesting that citizen involvement is, at best, a secondary impact of the grievance system. To attempt to achieve such a goal through the grievance process could "overload" it in terms of the initial difficulties of gaining staff and administrative acceptance.

The following brief descriptions are illustrative and, perhaps, exhaustive of citizen or volunteer participation related to and/or resulting from implementation of the grievance process in the CYA.

1) The Arbitrators. The provision of external review through "non-binding arbitration" is seen by the CYA as central to the legitimacy of the entire process. However, the impact of their involvement probably has more to do with ensuring that superintendents of institutions take a serious look at complaints than with broadening the base of public knowledge regarding correctional institutions.

From 1973 through 1976, a total of 94 grievances were referred to outside arbitration. While no specific data were collected in this regard, it would appear that a small number of arbitrators heard a large number of cases. Since the cases arbitrated receive little or no notice outside of CYA, there is insignificant secondary impact.

2) The Nelles School. The Superintendent at Nelles invited a team of citizens from the surrounding community to review and monitor the initial implementation of and experience with the grievance system. However, with their report completed, their task had been accomplished and the group disbanded. It should be noted that there was some confusion on the part of citizens regarding their role. According to the grievance coordinator at Nelles, "Many of them wanted to rewrite the system and the law instead of (focusing upon) how well we were adhering to the existing system."

3) Youth Training School. There has been some limited use of volunteers from outside the institution to monitor the system at YTS.

4) SPACE. At SPACE there has been limited use of volunteers as "mediators" in the grievance process itself. They have also been used to monitor the system.

5) McGeorge Law School - Northern Reception Center-Clinic. The involvement of students from McGeorge Law School in the Northern Reception Center-Clinic (NRCC) had been seen as an indication of the involvement of citizen volunteers in that institution as a direct result of the implementation of the grievance process. However, further investigation revealed that the involvement was incidental to rather than resultant from the implementation of the process. While the law students do assist the wards in the preparation of grievances, the initial intent and major involvement of that program is apparently in assisting wards with a variety of external legal problems ranging from paternity suits to appeals of convictions. The students have also initiated or encouraged a few actions directly against the CYA. (In fact, Departmental Counsel Doyle

noted that they had probably had more impact on the level of litigation against CYA than did the grievance process.)

In one of their involvements in the grievance process, the law students petitioned to be recognized as "friends of the arbitrators" in one case involving a ward at NRCC. While the arbitration panel ruled that they had no right under the system to be so recognized, they unanimously suggested that NRCC consider experimenting with such an arrangement for six months. The CYA Director, however, rejected that recommendation.

To conclude, the implementation of the grievance process has not had a significant impact on volunteer citizen involvement in the CYA. Outside monitoring of the operation of the grievance procedure by citizens groups probably is a necessity if the procedure is to escape institutional cooptation. But direct citizen involvement at lower levels of the grievance process could serve to downgrade the legitimacy and equality of ward/staff involvement where volunteers represent wards; many staff would prefer not to recognize wards as having equal status in the grievance committees.

The major role of the external volunteers in the grievance system, then, should be in the continuing monitoring of its performance. Even here, however, care must be exercised lest external "policing" lessen the investment in and protection of the grievance mechanism by the wards, staff and administration.

#### 4. A Concluding Comment on the CYA Grievance Procedure Experience.

It is clear from our research that the grievance process has become a regular and accepted part of the CYA institutional system; indeed, it now has statutory backing. As one YTS staff member observed:

"When you look at where we are now compared to where we started, there's just no comparison. The staff accepts the system and is trying to make it work. Lots of problems that would have been ignored before don't even become grievances because they are being dealt with and resolved.

It's 'settled-in' here: It's ingrained"

By any measure, the grievance system has changed the relationship between the wards and staff and administration in the CYA. While there are problems, they are being worked out. In California at least, the system has not proved to be, as some observers feared, just another means of social control.

Perhaps the biggest impact of all will be outside of California. Prison authorities elsewhere now have available a process of redress and a measure of social justice that not only works for the kept but works for the keepers. They can no longer say "it can't be done."

## B. New York\*

### 1. Implementation

With less than six months for preparation, the Inmate Grievance Resolution Procedure became operational in New York's adult correctional facilities on February 5, 1976. Hastily packaged and implemented, this mechanism, which was designed to reduce institutional conflict, had such immediate obstacles to its success as (a) a lack of funds for personnel and materials; (b) the absence of coordinators at the local level; (c) hostility and suspicion by correctional officers, who viewed the procedure as a threat to their authority; (d) distrust and apprehension among inmates, who believed the procedure was designed to coopt their grievances and would lead to little if any positive change and that its use would bring retaliation by officers and administration; and (e) little long-range planning at the central office in Albany to estimate the objectives and anticipated dimensions of the grievance procedure.

#### a. Receptivity Among Correctional Officers

Among the specific problems impeding the successful implementation of the Inmate Grievance Resolution Procedure was the lack of adequate consultation by the Department with correctional officers. Even though officers were included in the design of the procedure at the local level, and even though officers were to have membership on the Inmate Grievance Resolution Committee at each local facility, the Department of Correctional

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\*An abbreviated inmate and officer questionnaire was developed by the evaluators and locally administered to 100 inmates and 50 officers in 12 additional state facilities. The results are presented in Appendix F.



Services failed to gain the cooperation of the officers' union, The American Federation of State and Municipal Employees. Questions pertaining to bidding, length of service, and return to former bid-jobs were not resolved until the procedure was well under way. These unanswered questions, and the resistance of the union to the procedure, resulted in weak and undefined staff participation at a time when maximum staff support was necessary.

Correctional officers generally are informed of changes, not consulted. In this instance, however, it cannot be said that they were even well informed about the new grievance machinery. Data provided in Table III-17 indicate that nearly all of the officers had heard of the Inmate Grievance Procedure, but that most had received this information through diverse sources. Conversations with the officers revealed a lack of accurate information and a great deal of misinformation. Two common erroneous ideas were that the grievance procedure would be used solely for complaints against staff, and that all conditions, policies, etc. were grievable. In truth, it was not anticipated that the procedure would result in many grievances against staff, and there were many arenas (e.g., classification, furlough, disciplinary action and parole) that were not within the boundaries of grievable issues.

Surveys administered after the first year indicate that the officers feel more comfortable with the Inmate Grievance Procedure. Table III-17 provides data to illustrate that although the officers had not had the opportunity to discuss and review the procedure, most felt their orientation was now "adequate" and that they were generally familiar with the procedure. Therefore, the relative ignorance of the officers during implementation -- due in part to the haste with which the proce-

TABLE III-17

IMPLEMENTATION OF INMATE GRIEVANCE PROCEDURE  
AMONG CORRECTIONAL OFFICERS. NEW YORK

	<u>Attica</u>	<u>Auburn</u>
<u>Before Implementation</u> (January 1976)		
% who have heard there is to be a new inmate grievance procedure here	95.2 (N=63)	97.5 (N=160)
How officer first heard of new inmate grievance procedure:	(N=61)	(N=157)
a. another correctional employee	31.7	43.0
b. inmate	5.0	3.2
c. Superintendent or his staff	28.3	16.5
d. prison newspaper or bulletin	0.0	6.3
e. special film shown in prison	8.3	3.8
f. city newspaper or magazine	5.3	12.0
g. other	21.7	15.2
<u>After First Year</u> (February 1977)		
% "somewhat" or "very" familiar with procedure:	74.4 (N=78)	65.0 (N=117)
% agree, procedure has been written out and given to or posted for staff:	67.9 (N=78)	67.8 (N=118)
% agree, orientation has been "adequate"	60.3 (N=78)	55.5 (N=117)
% indicating staff have had no or very little opportunity to discuss and review grievance procedure	74.3 (N=74)	71.7 (N=113)

dure was constructed, disseminated and implemented -- apparently was overcome during the first year of operation.

Ignorance of the procedure (and thus fear of the unknown) may have contributed to the general hostility among correctional officers. Resistance to change, a fear of eroding autonomy, and a desire for a return to more stringent control practices may also have affected the officers' responsiveness to the procedure. For whatever reasons, it is clear from the data in Table III-18 that the Inmate Grievance Procedure was not warmly received. More than one-half the officers felt that the inmates already had too many legal rights, and more than eight of every ten officers felt that new changes and reforms weakened their authority. As important, perhaps, is the widespread feeling that inmates should bring their problems to an officer. Few officers at either Attica or Auburn felt that inmates should take their problems to other staff (Counselor, Teacher, Superintendent), and only slightly more felt inmate problems should be referred to the Inmate Liaison Committee. Correctional officers, by and large, felt that inmates should bring their problems to officers and that they, as officers, would try to help the inmate.

Table III-18 also indicates the low level of officer acceptance for the Inmate Grievance Procedure. The majority of officers felt that inmates cause their own problems. Although the specific question was not asked, it may well be that the officers therefore feel the inmate problems can be self-corrected; certainly the officers fail to attribute inmate problems to structural factors imposed upon the inmates.

These and other factors provide the setting into which the grievance procedure was implemented and explain much of the hostility and distrust among officers.

TABLE III-18

ATTITUDES OF CORRECTIONAL OFFICERS TO INMATE  
GRIEVANCE PROCEDURE AT IMPLEMENTATION, NEW YORK

	<u>Attica<sup>a</sup></u>	<u>Auburn<sup>a</sup></u>
% Agree, inmates here have too many legal rights	67.2 (N=61)	59.5 (N=158)
% Agree, new changes and reforms are weakening the authority of the officers	82.3 (N=62)	83.2 (N=155)
% Agree, if inmates come to me for help, I will try to help them	95.1 (N=61)	98.1 (N=154)
When inmate has a complaint, who should he go to first about that problem?	(N=63)	(N=157)
a. another inmate	1.6	0.6
b. an officer	76.2	71.3
c. a counselor or teacher	4.8	2.5
d. the Inmate Liaison Committee	14.3	19.1
e. the Superintendent	0.0	.6
f. other	3.2	5.7
% Agree, most of the problems inmates have are caused by inmates themselves	96.9 (N=60)	79.9 (N=159)
% Agree, inmate grievance procedure will do more harm than good	43.1 (N=58)	19.1 (N=159)
% Agree, inmate grievance procedure will solve some of our big problems	5.0 (N=58)	23.5 (N=157)
% Agree, inmate grievance procedure shows common sense	25.9 (N=58)	49.7 (N=157)
% Agree, inmate grievance procedure will increase complaints about trivial matters	85.0 (N=60)	78.6 (N=159)

<sup>a</sup>The numbers in parentheses are the total number of respondents answering that particular item of the survey.

b. Receptivity Among Inmates

Similar factors were operating among inmates, creating a climate of cynicism and distrust. Most inmates were aware that a new procedure was going to be implemented (see Table III-19), but there was a great deal of ignorance about the procedure. Typical misconceptions centered around what was grievable, what was meant by the use of outside arbitration, and the nature of the procedure as a "problem-solving" rather than "adversarial" mechanism. More evident, however, was the suspicion and distrust of "another program" -- one which many felt was designed to pacify inmates and one which many feared would lead to overt and covert retaliation by officers and administration against inmate grievants.

A major structural problem is noted by examining the inmate responses included in Table III-20. Very few inmates feel that staff members are willing to help an inmate, and few inmates indicate they would take their grievance to a correctional officer. Given the great proportion of officers who feel that inmates should bring grievances to officers, it appears that the introduction of the Inmate Grievance Resolution Procedure may be viewed by officers as another repository for inmate grievances which will further decrease the rate at which inmates seek out the counsel of officers.

It is also noteworthy that the existing official inmate grievance mechanism, the Inmate Liaison Committee, is not viewed as a desirable body for the resolution of grievances. While data are not available to indicate why the inmates view is so negative, such a strong reaction against the Inmate Liaison Committee may create credibility problems for

TABLE III-19

IMPLEMENTATION OF NEW GRIEVANCE PROCEDURE  
AMONG INMATES, NEW YORK

	<u>Attica</u>	<u>Auburn</u>
<u>Before Actual Operation</u>		
% who have heard there is to be a new procedure here	87.9 (N=159)	87.4 (N=205)
How inmate first heard of new grievance procedure:	(N=159)	(N=205)
a. another inmate	23.9	20.0
b. correctional officer	1.9	3.4
c. teacher or counselor	.6	2.0
d. Superintendent or his staff	49.1	5.9
e. special film in prison	13.2	52.1
f. prison newspaper or bulletin	4.4	9.3
g. city newspaper/magazine	3.1	2.4
h. friend outside prison	1.3	2.0
i. other	2.5	2.9
<u>After First Year</u>		
% "somewhat" or "very" familiar with procedure	45.8 (N=105)	57.2 (N=276)

TABLE III-20

ATTITUDES OF INMATES TO INMATE GRIEVANCE PROCEDURE  
AT IMPLEMENTATION, NEW YORK

	<u>Attica</u>	<u>Auburn</u>
% Agree, we have no influence on how we are treated here	69.1 (N=172)	70.4 (N=210)
% Agree, most of the staff are willing to help an inmate	4.6 (N=174)	7.6 (N=211)
If you have a complaint about something, who would you go to first?	(N=154)	(N=203)
a. another inmate	22.1	27.6
b. an officer	13.0	11.8
c. a counselor or teacher	20.1	31.5
d. the Inmate Liaison Committee	7.8	9.9
e. the Superintendent	14.9	9.4
f. other	22.1	9.9
% Agree, the new Inmate Grievance Procedure will do more harm than good	12.9 (N=170)	12.0 (N=225)
% Agree, the new Inmate Grievance Procedure will solve some big problems	22.2 (N=167)	16.1 (N=224)
% Agree, the new Inmate Grievance Procedure shows common sense	49.4 (N=164)	59.2 (N=218)
% Agree, most inmate complaints will be worked out "very" or "pretty" well with Inmate Grievance Procedure	30.9 (N=162)	29.1 (N=210)
% Agree, most inmates will not file grievances with new procedure	26.1 (N=161)	31.6 (N=209)

the Inmate Grievance Resolution Procedure. The inmates probably perceive the new mechanism to be similar to the old, and there may be a negative effect carried over to the new procedure. Also, the inmate members of the Inmate Grievance Resolution Committee and the inmate grievance clerk were chosen from among existing inmate leaders, i.e., from among those serving on the Inmate Liaison Committee.

The inmate response to the new Inmate Grievance Procedure was less than enthusiastic, as evidenced by the items in Table III-20. About half the inmates felt the procedure showed common sense, yet less than one-fourth felt the procedure could solve some of the prison's biggest problems. Over ten percent even felt the procedure would do more harm than good. On the more positive side, however, nearly one-third of the inmates indicated that inmate complaints would be worked out very well or pretty well with the new procedure and only about one-fourth of the inmates felt that most inmates would not file a grievance. It was apparent that the inmate attitude was one of extreme caution; the procedure was felt to have inherent merits but the ability of the procedure to actually operate effectively and without reprisals was an unknown factor.

1. summary, the implementation phase was adversely affected by two problems. First, the allotted six month time period was insufficient to permit the type of recruitment and training, information dissemination, and planning that are required to initiate such a program throughout the State of New York. Second, the Department of Correctional Services lacked the foresight and/or ability to include the



correctional officers in the implementation process. Since the correctional officers already feel threatened by various prison "reforms" and since they are the persons to most directly work with the inmates and serve on the Inmate Grievance Resolution Committee, their omission from the implementation process is a major tactical error.

At least partly as a result of the insufficient time period and the exclusion of officers, the Inmate Grievance Procedure was introduced into a relatively hostile and, at best, suspicious environment.

## 2. Operation of the Grievance Procedure

### a. Credibility

Any mechanism designed to resolve inmate grievances must establish and maintain credibility if it is to retain its utility to both the inmate population and the administration. At least three factors are important in gaining credibility for such an innovation in correctional institutions. First, the procedure must be able to fulfill those promises to the grievants set forth in its design. Second, the procedure should not encourage unrealistic expectations for change -- expectations that cannot be met and which, when unmet, will jeopardize the efficacy of the procedure in the view of inmates. Third, credibility will be maintained only so long as all relevant parties have a commitment to the Inmate Grievance Procedure. The credibility of the procedure in New York was threatened, and even undermined, by the failure to successfully satisfy all three factors.

1) Fulfilling the Procedure's Design. Among the most essential guarantees to the inmates are written replies, with explanations and

within stated time parameters, that can be appealed to a higher level without arbitrary reprisals against the grievant. Some of these promises are fulfilled, but others were not. It is perhaps ironic that time can be so important to inmates doing time, but time and timing did become a major problem shortly after the procedure was implemented. More than 2000 grievances were filed in the New York facilities within the first month and a half of the procedure's operation. The volume of grievances, apparently unanticipated, forced many delays at each step in the process, and each delay eroded the credibility of the procedure.

The correctional officers who were members of the Inmate Grievance Resolution Committee at Attica responded to the problem by unilaterally deciding upon a different system for grievance hearings. Grievances on the daily docket were categorized as (1) those that could be informally resolved, (2) those that needed to go to the Committee and (3) those not deemed legitimate or worthy grievances. Although the clerk was to have screened out those issues not justly grievable, this second screening measure further reduced the number of issues felt, by the officers, to be worthy of consideration.

The Director of the Inmate Grievance Procedure, Alexandreena Dixon, responded to the heavy demand by creating a screening committee at Central Office. Instead of the appeal going directly from the Superintendent to the Central Office Review Committee, grievances were screened by persons designated to represent the Deputy Commissioners. The 25-35 percent of the grievances reaching Central Office that could not be dealt with by the designees then were forwarded on to the Deputy Commissioners. This organizational adaptation to the volume assisted in

shortening the time limits, but it was not until after the first eighteen months that grievances were being responded to within the designated time limits.

The Commission of Corrections was not free of problems either. The work of the Commission was held in abeyance for the first few months until its newly appointed director could receive Senate confirmation. In August, 1976 -- six months after implementation -- the Commission still was requiring an average of 125 days to process each grievance.

Not all the problems associated with time delays were due to the volume, however. The administrative procedures of the Superintendent at Bedford Hills did much to undermine the credibility of the procedure. Because the role of the grievance coordinator was ill-defined, each Superintendent and coordinator negotiated the job responsibilities within the facility. At Bedford Hills the coordinator became an assistant, one who not only prepares the grievance but who also prepares the Superintendent's possible response. The Superintendent allotted one hour each Tuesday to meet with the coordinator and review grievances. Should the Superintendent not find the prepared response acceptable, the coordinator was frequently asked to prepare another response for the next weekly meeting. Should the Superintendent be forced to cancel the meeting, it was usually not rescheduled during the week. For these reasons, as well as the volume, few grievances were dealt with within the stated time limits at Bedford Hills.

Adding to the difficulties imposed by the volume of grievances filed in the New York system were such factors as turnover among

grievance clerks, which required training and apprenticeship, and the late arrival on the scene of grievance coordinators. Furthermore, a large number of grievances received either no written explanation from the Superintendent or sarcastic, brief and time-honored explanations, such as "security must be maintained" or "the grievant knows perfectly well why this can't be changed." Finally, many inmates felt the promises of no arbitrary reprisals were unfulfilled. In a system with as many transfers as occur within New York, it is frequently the case that one who files a grievance will soon be transferred. Although this may be due to sheer chance, inmates view the two events as causally related. Similarly, the grievant may shortly afterwards be reported for some infraction -- again, often perceived as retaliation. To the extent that it is possible for evaluators to observe such activities, there does not appear to be a systematic pattern of retribution by officers or administrators. Nonetheless, the perception of such actions as retributive affects the procedure's credibility.

2) Meet Inmate Expectations. Inmate expectations, the second factor affecting credibility, fluctuated during the period of study. Soon after the procedure began, very visible changes in departmental rules were made as a result of inmate grievances. Departmental policy pertaining to length of hair, the presence of facial hair and style of inmate dress were among those which were successfully grieved. These and other changes soon raised inmate expectations for sweeping and major social change. What the inmates failed to see, however, was the fact that the changes that were occurring dealt with a few out-dated and

unsupportable practices. Once those had been changed, there were, in our judgment, few major policy changes to follow.

The failure to consistently affect policy and procedure, combined with the failure to meet the promise of speedy reply, apparently contributed to an increased cynicism among inmates. The cynicism and rejection among inmates was greatest at Bedford Hills, where the inmates felt the Superintendent was not abiding by the procedure and, in fact, was trying to undermine the credibility of the procedure. Morale among even the inmates and officers on the Inmate Grievance Resolution Committee was very low at Bedford Hills. The officer members had voluntarily exposed themselves to the hostility of fellow officers, but they had not anticipated the resistance by the Superintendent. The inmate members felt caught between their own effort to support the procedure and encourage its use and the growing resentment and cynicism among fellow inmates.

The level of inmate cynicism was so widespread and of such magnitude that Executive Deputy Commissioner Douglass stated that the procedure had raised inmates' expectations to often unreasonable levels. Despite the awareness of the problem at the top administrative levels, little was done to ameliorate the problem. Time delays persisted throughout the first year; grievances which could have resulted in systemic change were resolved as individual problems, and the structural cause of further such grievances remained; little or no pressure was directed toward expediting grievances at the local level. Equally important, field notes from Attica, Auburn and Bedford Hills indicate that those decisions resolved in favor of the grievant were ineffectually

implemented. As is discussed in more detail shortly, no structural provisions were made to assure implementation of grievance resolutions throughout the system.\* Inmate cynicism increased, therefore, when even those grievances resolved in favor of inmates were not soon implemented.

By the end of the first year, the procedure had become routinized and inmate expectations were "realistically" established. Inmates recognize that the institution will not permit great social change, and they regard the procedure as a vehicle for the resolution of their own personal problems. Consequently, morale has risen from its previous low point among all parties concerned.

3) Maintaining Commitment. Finally, all relevant parties must have a commitment to the procedure and the principles upon which it is built if the procedure is to maintain a high level of credibility. The officers, as already mentioned, were excluded from early consideration except insofar as a small number served to design the procedure or sit on the Inmate Grievance Resolution Committee. Executive Deputy Commissioner Douglass reported that as late as September, 1976, nearly ninety percent of the officers were boycotting the hearings. Inmate members of the procedure were harrassed by officers in all institutions.

Few effective steps were taken to overcome this resistance by officers. Although the Director of the Inmate Grievance Procedure in Albany assumed that the local coordinators introduced the procedure to staff members, the local coordinators at Attica, Auburn and Bedford

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\*The Director of the Inmate Grievance Procedure did initiate a follow-up letter to all grievants to determine their satisfaction with the resolution, but this effort was terminated for lack of resources.

Hills reported abdicating this role to the Training Lieutenant. Furthermore, discussions with these local Training Lieutenants indicated that they were able to provide only superficial review of the stages of the procedure. Moreover, few officers were aware of the changes in policy or procedure as a result of grievances. At Auburn, an officer was preparing to join the Committee by reviewing all resolutions during the first six months of the procedure; he was astonished at the large number of changes in rules and procedures of which he was unaware and of which he felt most officers were unaware. This failure to communicate these changes clearly reduced the officers' understanding of and possible commitment to the procedure.

In addition, new inmates did not receive systematic training in the usage of the procedure. This is a great problem, of course, because of the large number of transfers within the New York correctional facilities. While it is true that the problem is alleviated somewhat by the fact that all facilities have the procedure and one can assume some familiarity with the procedure was gained at the prior facility, it is also true that the credibility of the procedure varied among the institutions. Inmates transferring from an institution with a low credibility procedure may make the mistaken assumption that the procedure at the new facility is meritless and, hence, fail to utilize this means of redress.

Inmates new to the system have no commitment to the Inmate Grievance Procedure. Since they were not a part of the inmate population before the new procedure, these inmates do not recognize the

innovativeness of the procedure. Inadequate orientation of new inmates, consequently, also contributed to a low level of commitment to the Inmate Grievance Procedure, we believe.

Finally, commitment was jeopardized by inadequate long-range planning. The job description of "Local Coordinator" was never finalized in detail, and new expectations were placed upon the coordinators as the need arose. Similarly, the forms utilized to record and assemble grievance information were altered over time, requiring not only adaptations but also more work by the coordinators. The Director's reluctance to take a firm position on such issues as who trains the clerks, new members and new staff, who oversees implementation of resolutions, and what is the relationship between Superintendent and coordinator contributed to a lack of commitment by the coordinators. In addition, unresolved civil service issues and low salaries contributed to their dissatisfaction. The coordinators at Attica and Auburn resigned early in 1977, and the coordinator at Bedford Hills left soon thereafter.

b. Survey Responses

The procedure had begun to gain credibility among the inmate population by the end of the first year of operation. Early time delays had become less of a problem. The expectations for change among inmates were lowered to a more "realistic" level. Inmate responses to select items from the February, 1977 survey are presented in Table III-21. Well over half the inmates at Attica and Auburn indicated that the Inmate Grievance Procedure had been necessary, yet there was a great deal of negativism toward the procedure. Only a few inmates felt the general reaction among inmates was positive, and the inmates were divided on the utility of the procedure: about half reported that the



TABLE III-21

INMATE RESPONSE TO INMATE GRIEVANCE  
PROCEDURE AFTER FIRST YEAR OF OPERATION, NEW YORK

	Attica	Auburn
Was Inmate Grievance Procedure necessary here?	(N=104)	(N=273)
a. yes, definitely	54.8	65.6
b. yes, somewhat	19.2	14.3
c. yes, a little	3.8	5.5
d. no, not at all	7.7	5.9
e. don't know	14.4	8.8
What is reaction of most inmates to the Inmate Grievance Procedure?	(N=102)	(N=271)
a. positive	5.9	11.4
b. neutral	25.5	39.6
c. negative	40.2	26.9
d. don't know	28.4	24.0
How useful is the procedure?	(N=99)	(N=268)
a. generally a useful system to resolve grievances	8.1	15.3
b. a fairly good system that needs some improvement	32.3	35.1
c. a poor system that needs much improvement	41.4	39.9
d. a bad system that should be dropped or replaced	17.2	7.5
e. don't know	1.0	2.2
How could Inmate Grievance Procedure be improved? (% indicating)	(N=)	(N=278)
a. greater speed	18.1	38.8
b. more "outside" control	65.7	52.5
c. inclusion of discipline, classification and parole	15.2	26.3
d. different inmate clerk	3.8	3.2
e. different committee	5.7	8.3
f. more written replies	10.5	13.7
g. better explained decisions	20.0	33.8
h. its okay as is	1.9	2.9
i. other	7.6	11.9
% indicating they talked to clerk about grievance:	(N=91)	(N=234)
a. not at all	38.5	35.0
b. once only	14.3	20.1
c. twice only	9.9	12.8
d. three or more times	37.4	32.0
% indicating they filed grievance with procedure:	(N=105)	(N=267)
a. not at all	60.0	54.3
b. once only	20.0	18.0
c. twice only	5.0	12.0
d. three or more times	15.0	15.7
If no grievances filed, % indicating following reason:	(N=63)	(N=156)
a. prefer alternative	17.5	21.2
b. fear staff reaction	27.0	7.7
c. don't want to make waves	12.7	8.3
d. procedure is ineffective	15.9	12.8
e. procedure is hoax	27.6	25.0
f. have no grievances	11.1	13.5
g. other	1.6	3.2
% indicating they would feel comfortable filing grievance against following:	(N=85)	(N=216)
a. policy or procedure-substance	42.9	61.5
b. staff	23.5	42.1
c. equipment	42.2	60.6
d. other inmates	39.5	37.8
e. policy or procedure-execution	34.1	60.6

procedure was effective and about half reported that the procedure either needed vast improvement or should be abandoned. Despite this apparent lack of overwhelming support for the procedure, there was little consensus as to how the procedure might be improved. If any change were to be made, the survey responses indicate it should be to introduce more input by persons or groups outside the Department of Correctional Services. The responses to this question illustrate a residue of the early problems pertaining to speed and written explanations, but the earlier cynicism directed toward the inmate clerk and the Committee seem to have all but vanished.

Slightly over sixty percent of the inmates reported at Time 2 to having talked to the clerk about a grievance at least once during the year, and approximately forty percent indicated they filed a grievance during the year. It is interesting to note that the proportion who filed a grievance three or more times is nearly as large as the proportion who filed only one grievance. This indication of repeated usage of the procedure suggests that it had gained some degree of credibility among a segment of the inmate population. This conclusion is supported by the responses to two other survey items. First, only about half of those inmates who reportedly did not file a grievance during the first year indicated they thought the procedure to be ineffective or a hoax by the administration. Although a sizeable proportion of the inmates at Attica (where staff hostility had been so great at implementation) feared staff reaction, this was not a fear at

Auburn. Second, a large proportion of the inmates, especially at Auburn, indicated that they would feel comfortable filing grievances against staff, policy and procedure, equipment, and even other inmates.

It is also apparent in Table III-22 that the introduction of the Inmate Grievance Procedure has had an effect upon the manner in which the inmate deals with his grievances. Inmates are equally as likely to take their grievances to another inmate or to an officer in 1977 as they were in 1976, but less likely to take their complaints to the Superintendent, the Inmate Liaison Committee, or a counselor or teacher. The introduction of the Inmate Grievance Procedure has not affected the informal grievance resolution techniques (another inmate or officer), but has substituted for the existing administrative remedies of counselor, Inmate Liaison Committee and Superintendent.\*

TABLE III-22

INMATE CHOICE FOR PROBLEM-SOLVING, NEW YORK

	Attica		Auburn	
	1976	1977	1976	1977
Person to whom inmate would go first with complaint:	(N=154)	(N=97)	(N=203)	(N=259)
a. another inmate	22.1	36.1	27.6	26.3
b. an officer	13.0	5.2	11.8	12.4
c. counselor or teacher	20.1	19.6	31.5	13.5
d. Liaison Committee	7.8	4.1	9.9	5.4
e. Superintendent	14.9	6.2	9.4	6.6
f. Inmate Grievance Procedure	N.A.	11.3	N.A.	21.2
g. other	22.1	17.5	9.9	14.7

\*The procedure was not designed to affect traditional, informal means of dispute resolution.

It is unlikely that the Inmate Grievance Resolution Procedure will soon gain high credibility among the correctional officers, but there is reason to believe that some degree of acceptance already has been achieved. Largely because so few grievances have been directed against officers, and also because those few such grievances have not been well accepted by the Committee, most officers now view the procedure as benign. It is another "program" and it does result in some degree of visible change, but it has not directly affected their working conditions or personal security.

This "acceptance without credibility" is demonstrated by the data presented in Table III-23. The difference in officer hostility between Attica and Auburn also is apparent one year after the procedure was implemented. Because the procedure is viewed as benign, the officers indicate that such a procedure was needed, to some degree, and that it has received a favorable reception from inmates (note that the officers attribute a more favorable reception among inmates than do the inmates). The officers at Auburn feel the procedure is useful, but those at Attica are more inclined to abandon it. Finally, the officers at Attica are less likely than those at Auburn to perceive the grievances as meritorious, important issues and, hence, more likely to view the grievances as frivolous. These findings suggest that while differences between Attica and Auburn persist, the officers are less threatened by the procedure than at its implementation but that they still see no great need for the procedure. That is, they have accepted the procedure's existence but have not yet recognized its legitimacy.

TABLE III-23

CORRECTIONAL OFFICER RESPONSE TO INMATE GRIEVANCE  
PROCEDURE AFTER FIRST YEAR OF OPERATION, NEW YORK

	<u>Attica</u>	<u>Auburn</u>
Was Inmate Grievance Procedure necessary here?	(N=77)	(N=118)
a. yes, definitely	13.0	22.0
b. yes, somewhat	20.8	40.7
c. yes, a little	22.1	17.8
d. no, not at all	39.0	12.7
e. don't know	5.2	6.8
What is reaction of most inmates to the Inmate Grievance Procedure?	(N=78)	(N=118)
a. positive	25.6	33.9
b. neutral	37.2	36.4
c. negative	20.5	10.2
d. don't know	16.7	19.5
How useful is the procedure?	(N=75)	(N=114)
a. generally a useful system to resolve grievances	10.7	19.3
b. a fairly good system that needs some improvements	14.7	37.7
c. a poor system that needs much improvement	18.7	19.3
d. a bad system that should be dropped or replaced	32.0	8.8
e. don't know	24.0	14.9
About what percent of grievances filed to date are in each of the following categories?	(N=54)	(N=70)
a. important issues	9.9	17.7
b. less important but meritorious issues	13.8	22.5
c. marginal issues of very little merit	20.9	21.6
d. frivolous issues, a waste of time	50.4	34.5
e. don't know	5.0	3.7

c. Persistent Problems

In addition to the problems associated with establishing and maintaining credibility, two other problems of broad significance have permeated the operation of the Inmate Grievance Procedure in New York.

1) Communication. The problems of communication enumerated below are not unique to organizations of the size and geographic diversity of the Department of Correctional Services. Further, we suspect that the problems pertaining to the Inmate Grievance Procedure are not unique within the Department and may, in fact, be quite similar to and a part of more general communication problems. Finally, it appears that the comments elicited from personnel with regard to communication between facilities and central office as well as within facilities are indicative of the respondent's position within the system and how that affects one's perspective with regard to the system.

The level of communication within a given facility appears adequate to maintain the productive activity of the grievance procedure. Because of their close personal contact, there are few problems of communication between the inmate grievance clerk and the members of IGRC, among the members of IGRC, or between the grievance coordinator and both the grievance clerk and the members of IGRC. Responses to grievances by the superintendent or from Central Office are quickly communicated among these relevant personnel.

The communication between the Director\* of the Inmate Grievance Program and the local coordinators is in need of improvement. One indication of a communication problem here is the degree to which coordinators

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\*It appears that the Director was similarly handicapped by inexplicit guidelines and directives from above and insufficient resources.

incompletely and/or incorrectly make their monthly reports to the director. In informal interviews at Attica, Auburn and Bedford Hills, the coordinators voiced the concern that these monthly reports and the grievance logs from which the data are drawn have not been standardized between facilities nor fully explained to the coordinators.\*

Furthermore, the coordinators complained in early 1977 that they were ignorant of the processes developed in Albany to deal with the grievances. They were officially unaware, for example, of the existence of the pre-screening committee, and assumed that all decisions coming from C.O.R.C. are made by the Deputy Commissioners.

A communication problem also exists to the extent that no standardized mechanism has been developed to assure that the resolution of inmate grievances (especially when the resolution provides for a change in policy or procedure) is effectively communicated to the general population of inmates and correctional officers. Not only does this provide an atmosphere conducive to rumors, but it also creates a situation in which the rules governing the behavior of inmates and officers are obscured. Although the Inmate Grievance Procedure may well serve to clarify existing rules and procedures, it appears that the presently employed technique of providing feedback has only created a more ambiguous working and living environment for inmates and officers. Furthermore, the credibility of the grievance procedure in the eyes of both inmates and officers would be enhanced by a more formalized procedure which would produce more wide-spread and public information about the resolution of grievances.

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\*The Director of the Inmate Grievance Procedure has since standardized these forms and initiated periodic training sessions.

By virtue of their social and physical distance from Central Office, the superintendents at Attica, Auburn and Bedford Hills generally feel that there is inadequate communication between their particular facility and Central Office. One such communication inadequacy is the view of the three superintendents that the response from Central Office Review Committee frequently misinterprets the true nature of the grievance and that the resulting action taken by C.O.R.C. has much broader implications than were involved in the original grievance. In fact, the interpretation may be so broad as to have entirely missed the issue within the grievance.

A second communication inadequacy lies within the superintendents' feeling that they have insufficient input into those decisions by C.O.R.C. which will ultimately affect their facility. Acknowledging that they have the opportunity for input as the grievance initially crosses their desk, the superintendents feel that C.O.R.C. should contact them nonetheless after a preliminary decision has been made but before that decision has been rendered. This would enable C.O.R.C. to obtain the superintendent's reaction and additional input prior to the forthcoming directive. At the very least, it appears that this would be a politically expedient gesture toward the superintendents on behalf of C.O.R.C. (C.O.R.C. argues they are quick to call superintendents.)

The third inadequacy which appears to be prevalent in organizations of this size and nature is the feeling among those at the facilities that the persons in Albany are unaware of their unique situations and limitations in dealing with certain decisions made by C.O.R.C.



Superintendents and other administrative staff support this claim by reference to the infrequent visits to the facilities by the Deputy Commissioners.

The Deputy Commissioners indicated during interviews in March, 1977 that by and large they feel that the superintendents have adequate opportunity for providing their input prior to the rendering of a decision. Not only does the superintendent make a written recommendation with regard to all grievances coming before C.O.R.C., but it is reported that superintendents or relevant deputy superintendents are consulted -- or at least informed -- of decisions in advance. Furthermore, the Deputy Commissioners report that decisions which will affect all facilities are made on a basis of the lowest common denominator -- that is, departmental policy will not be established at a level greater than that permitted by the facility least able to meet those expectations. Finally, it appears impossible that Deputy Commissioners would have the time to make more extensive visits to the facilities. Given the small number of Deputy Commissioners and the large number of facilities, were a Deputy Commissioner to visit one facility per week it would be at least 18 weeks before he would be able to return to the same facility. Interview notes indicate furthermore that Deputy Commissioners are forced by the structure of the position to rely upon their assistants to make the necessary visits to the facilities and to provide feedback with regard to all matters of importance.

2) Performance of Duties. The success of any organization depends in large part upon the degree to which its personnel adequately

**CONTINUED**

**2 OF 8**

perform the duties and obligations of their respective positions. This analysis of the grievance procedure will consider the extent to which the relevant personnel are fulfilling their responsibilities within the spirit of the principles of the grievance procedure.

The IGRC members and the Inmate Grievance Clerk appear to be adequately contributing to the smooth operation of the procedure by the dedication and zeal that they generally bring to their tasks. Because of the nature of the position and the way its responsibilities are structured, the Grievance Clerk is both the single most important position and that with the greatest inherent problems. The procedure cannot operate effectively if the clerk does not adequately screen the grievances, attempt an informal resolution, and schedule and prepare grievances for committee hearings. One difficulty within the Clerk's position, then, is the fact that he or she must confront other inmates with the possibility that their grievances do not warrant the attention of the grievance procedure, either because of their insignificance\* or because they do not fall within the scope of "grievable" issues. A second area of potential problems is the fact that the position of Grievance Clerk requires certain skills and levels of expertise in writing and organizing grievances. The tendency for the clerk's position to be filled on the basis of friendship and trust among inmates is understandable and even necessary for the grievance procedure, yet minimal clerical and administrative skills must be a prerequisite if the grievances are to be reported in a legible and unambiguous manner.

The members of the Inmate Grievance Resolution Committee at Attica, Auburn and Bedford Hills appear to be working quite well together and

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\*Officially, all grievances are significant. Heavy work loads, scarce resources, etc. contributed to an occasional situation, however, in which some grievances were screened.

striving to provide a reasoned recommendation to resolve the grievance. The morale among the correctional officers serving on the committee appears quite high, and the cohesion between inmate and officer members has developed quite rapidly when forced to deal with common issues. The mutual respect which exists among committee members facilitates harmonious meetings which more often than not result in unanimous committee recommendations.

The traditional inmate vs officer adversary positions are apparent within these committees on only a few issues. The officers and inmates have learned to listen to alternative viewpoints and make reasoned decisions. The officers do not automatically support the notion of "security" and the inmates do not assume the grievances of fellow inmates about officer harassment are valid. The members of the committee appear to have developed a relationship of mutual respect and trust which allows them to work together on a problem-solving basis rather than at an adversarial level.

The role of the grievance coordinator within the local facility does not appear to have been clearly defined to either the coordinator or the superintendent. As a result, the coordinator's job responsibilities vary between facilities. Our investigation reveals that the coordinator position requires a full-time commitment to the ongoing procedure; coordinators are hard pressed to monitor the daily activities of the IGRC and the inmate clerk, keep abreast of status of grievances as they move in and through the system, disseminate new information or decisions pertaining to old grievances, provide instructional orientation to new correctional officers, and file the necessary communications with the Director of the

Inmate Grievance Program in Albany. In addition, the coordinator frequently finds himself mediating conflicts between inmates associated with the procedure and officers resistant to the procedure.

The ambiguity of the coordinator's responsibilities within the facility is evident by the difference in demands placed upon the coordinator by superintendents. The coordinator is at times expected to review the grievance reaching the superintendent's desk, research the issue, and prepare a tentative response for the Superintendent's signature.

Although they have not been provided with the necessary support services (part-time secretarial help) that would be required to meet the demands of the position, the coordinators are generally striving to perform their duties as best as possible within the limitations of time and resources and the ambiguity of their job description.

The structure of the grievance appeal process, which requires the superintendent to provide written replies or recommendations within an allotted period of time, places the superintendent in a generally untenable position. First, the large number of grievances which come before the superintendent has resulted in a situation in which increased demands for his time are being made with little or no assistance or release from other responsibilities. The superintendents appear to have assumed this additional responsibility in good faith and strive to meet the specified deadlines. While the deadlines are not always met, it cannot be assumed that the failure is automatically and universally due to the lack of cooperation by the superintendent. Clearly, the grievance procedure has a low priority within the omnipresent concerns of custody and control. Yet the perception among the inmates and officers that the superintendent

is indifferent to the procedure undermines its credibility within the facility.

Second, the superintendent must seriously weigh his decision on each grievance knowing that, should the grievant file an appeal, his decision will come to the attention of the Deputy Commissioners. These pressures provide for deliberate and rational decisions pertaining to facility and departmental policy, and encourage the superintendent to utilize his innovative skills to reach a satisfactory compromise at the facility level. On the other hand, however, the superintendent may assume a more traditional posture, merely state existing policy and procedure, and assume that the Deputy Commissioners will make the changes as they see fit. There are instances in which the superintendent has chosen to "pass the buck" rather than become involved in what may well become a controversial issue. Similarly, the superintendent may feel that some changes will have adverse effects either upon the morale of the correctional officers and his staff members or on maintaining order and security within the facility; in such a case it is politically expedient for him or her to allow such decisions to be made in Albany. The superintendent is then absolved of any responsibility for resulting problems and can enforce the decision while simultaneously raising questions about the merits of the decision.

### 3. An Analysis of Grievances

If volume is a criterion of success, the number of grievances filed during the first year of the Inmate Grievance Procedure in New York qualified this program as immensely successful. A total of 10,287 grievances were filed within the entire system under the Department of Correctional

Services. There were 1,510 grievances filed at Attica and 913 grievances filed at Auburn; Bedford Hills has only one-fourth the number of inmates as Attica or Auburn, but those inmates filed 1,433 grievances during the procedure's first year of operation. In sheer number of grievances filed, it appears that inmates were ready and willing to embrace this mechanism.

There is a tendency for a greater number of grievances to be filed in those facilities with the largest inmate populations. Utilizing the December 31, 1975, inmate population as a base, Attica had 1,843 inmates and 1,510 grievances; Green Haven had 1,626 inmates and 850 grievances; Auburn, with 1,586 inmates, produced 913 grievances; Great Meadow's 1,455 inmates filed 1,159 grievances; Clinton produced 908 grievances from its 1,451 inmates.

But, smaller general confinement facilities produced a higher number of grievances per inmate than did those facilities with larger population. Attica and Clinton, two large facilities, produced .8 and .6 grievances per inmate, respectively, while Bedford Hills (396 inmates), Wallkill (493 inmates) and Eastern (653 inmates) produced 3.6, 1.0 and 1.1 grievances per inmate, respectively.

We also find that the grievance procedure is proportionately underutilized in those facilities which provide the greatest freedom to inmates.\* Camps Adirondack, Georgetown, Monterey and Pharsalia had 87, 102, 75 and 73 inmates, respectively, but produced only 1, 13, 11, and 9 grievances, respectively, during the first year. Viewed differently, these 337 inmates filed .1 grievances per person, a rate much smaller than that of a comparable inmate population in general confinement. Reduced restraints, closer staff-inmate relations, proximity of release,

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\*These facilities were without a grievance coordinator; the effect of this difference is not known.

and the desire to maintain a low profile to avoid trouble are probable factors mitigating against high utilization of a grievance procedure for inmates in camps, community based facilities and similar situations.

An analysis of the number of grievances filed by each inmate who filed a grievance at Attica or Auburn indicates that most of the persons using the procedure filed only one grievance. The information in Table III-24 indicates that approximately 757 Attica inmates and 580 Auburn inmates account for the 1,510 Attica grievances and the 913 Auburn grievances, respectively. This suggests (1) that about one-third of the population filed at least one grievance and (2) that most of those who filed at least one grievance filed only one grievance. The fact that a sizable number of inmates filed two or more grievances suggests that their first experience was sufficiently satisfactory to warrant further use.

It is also apparent in Table III-24 that few inmates "abused" the procedure by filing a large number of grievances. Of the fifteen persons at Attica filing ten or more grievances, most filed ten to fifteen grievances during the year; the exceptions were the four persons who filed 29, 35, 39 and 45 grievances, respectively. At Auburn, only three persons filed more than nine grievances, and the extreme case was one inmate who filed 22 grievances.

Collective or group grievances were discouraged, and the information indicates that few such grievances occurred. When group grievances did occur, they tended to be relatively small groups. The major exception to this, however, was a single Auburn grievance filed by 300 inmates.

Figures III-3 and III-4 illustrate the weekly frequency with which grievances were filed at Attica and Auburn, respectively. Although the



TABLE III-24

PATTERN OF INMATE USE OF GRIEVANCE PROCEDURE,  
NEW YORK

	<u>Attica</u>	<u>Auburn</u>
Number of Grievances Filed Per Inmate User of Grievance Procedure		
One Grievance	513	429
Two Grievances	120	92
Three Grievances	47	33
Four Grievances	29	8
Five Grievances	19	8
Six Grievances	7	3
Seven Grievances	3	2
Eight Grievances	2	1
Nine Grievances	2	1
Ten or More Grievances	<u>15</u>	<u>3</u>
Total: persons who filed	757	580
Unknown identification	15	20
Number of Persons Involved Per Grievance		
One Grievant	1496	858
Two Grievants	7	38
Three Grievants	2	5
Four or More Grievants	1	12
Unknown	4	0

Inmate Grievance Procedure was not to begin operation until February 5, 1976, grievances were informally accepted as of January 26, 1976 at Attica; this accounts for the 31 grievances during week "zero." Also, the Attica grievance coordinator, on occasion, responded to the long time delays by refusing to accept new grievances until existing grievances could be processed; this accounts for those periods in which no grievances were filed.

Examination of Figures III-3 and III-4 indicates that there was no hesitancy on the part of inmates to utilize this procedure. The number of grievances per week filed at both Attica and Auburn during the first few weeks is the highest to be achieved during the entire year. This is probably due to the large reservoir of existing grievances against policy, procedure, programs, support services, etc., that suddenly are provided a legitimate outlet. More interesting is the fact that the weekly frequency of grievances filed at Attica rather consistently declines over the course of the year, resulting from a decrease in grievances among the population, a decrease in the procedure's credibility, the impact of changes in policy or procedures due to the grievance procedure, and/or the passing of an early period of "testing" of the procedure.

The number of grievances filed at Auburn drops off dramatically after the first few weeks, but then begins a rather consistent pattern of increase during the remainder of the year. This pattern suggests that the problems cited above may have hurt the credibility of the procedure after the first few weeks, but that use of the procedure has gradually returned. Note also that the frequency of grievances drops during weeks 45-50 at both Attica and Auburn; it is not known to what extent this may

TOTAL  
GRIEVANCES  
FILED  
(N=1,510)

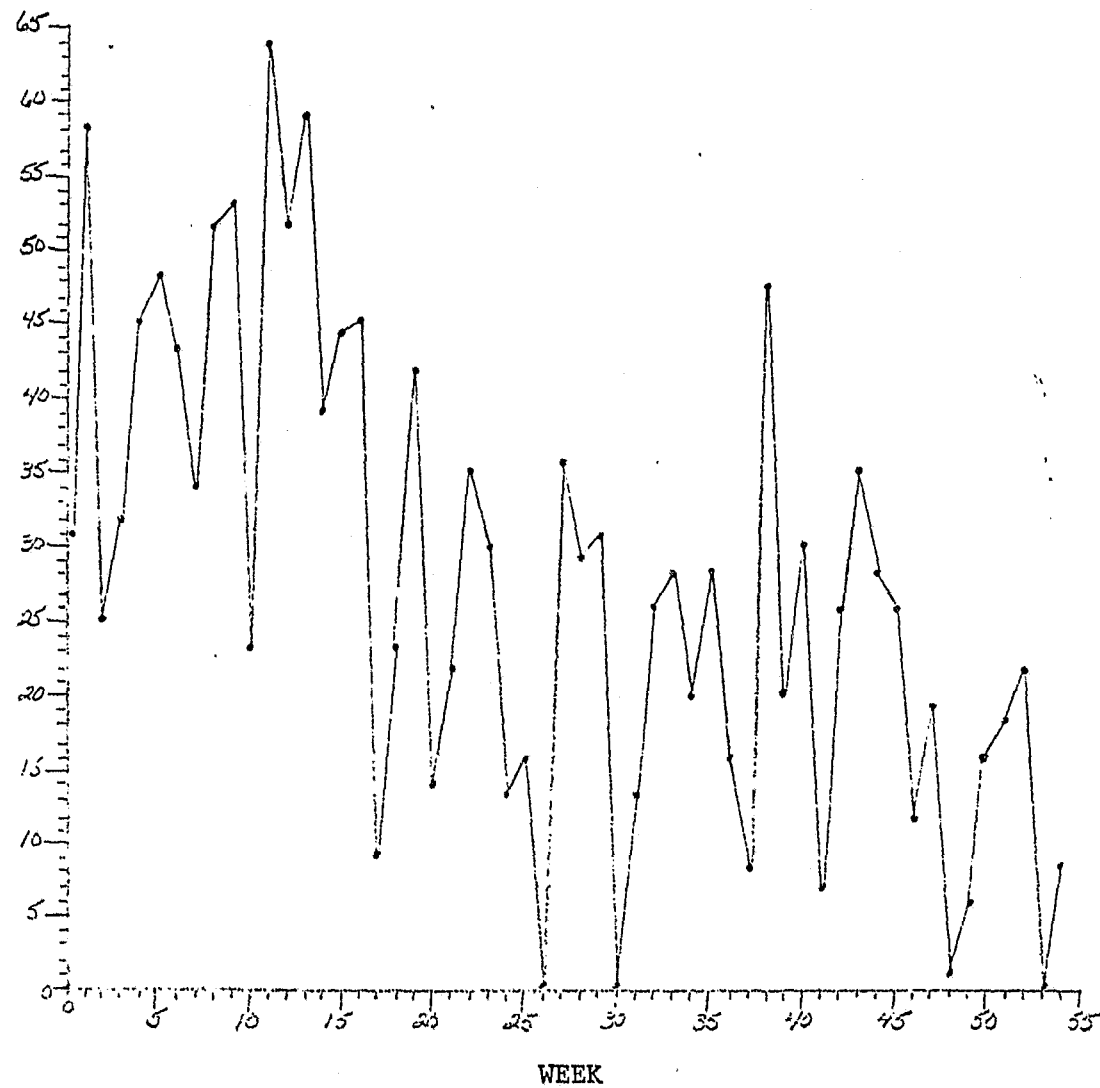


FIGURE III-3. FREQUENCY OF GRIEVANCE FILING,  
BY WEEK. ATTICA

(JANUARY 26, 1976-FEBRUARY 13, 1977)

TOTAL  
GRIEVANCES  
FILED  
(N=913)

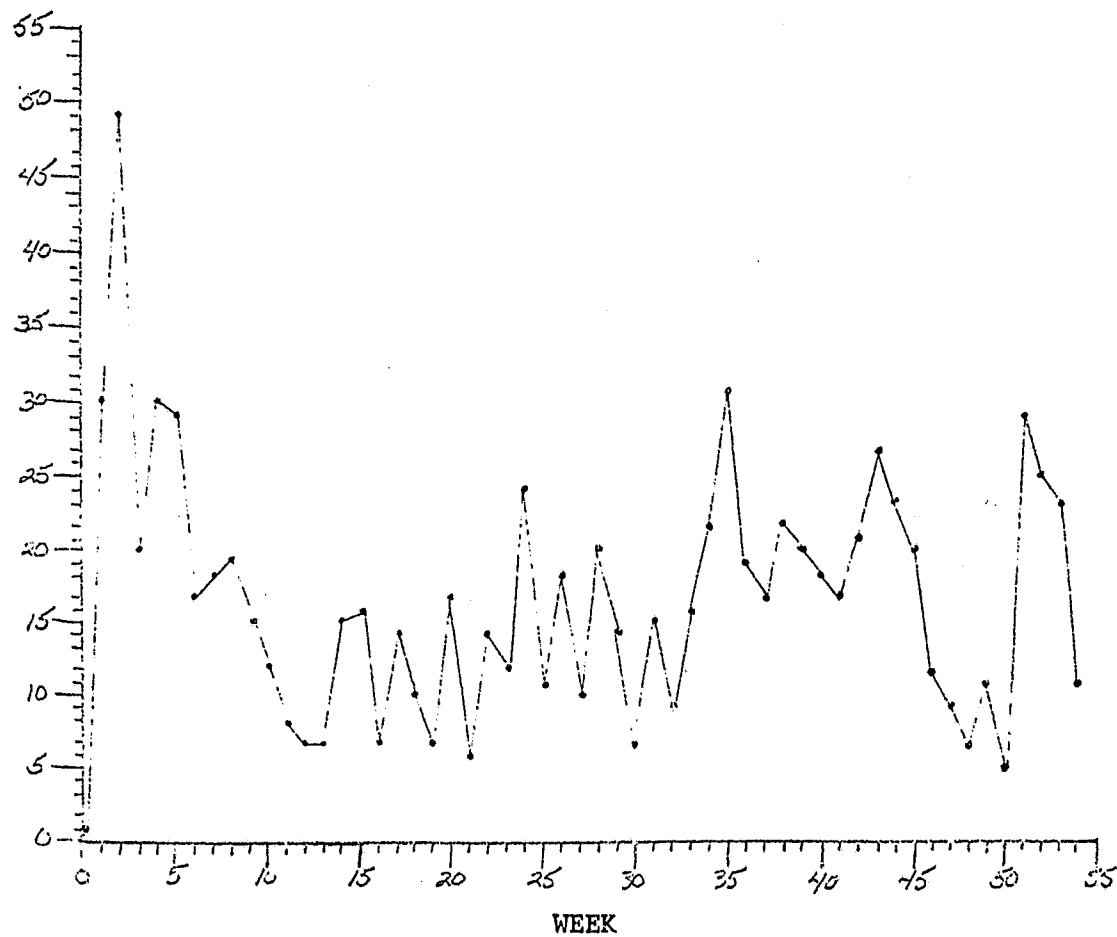


FIGURE III-4. FREQUENCY OF GRIEVANCE FILING,  
BY WEEK, AUBURN

(JANUARY 26, 1976-FEBRUARY 13, 1977)

be due to the Christmas holidays, special activities and expected visitors, and lessened inmate concern over everyday problems or increased inmate fear (real or unreal) of reprisals which would interfere with those events.

The Department of Correctional Services established a set of 14 categories for classifying each grievance filed (see Figure III-5). This scheme was utilized by the inmate clerk at each facility to record grievances on the grievance log sheet. The data presented in Table III-25 indicate the frequency of grievances in each category and the proportion of the total number of grievances which fall within each category as recorded at the respective facilities. Grievances concerning support services (medical, custodial, package room, state issue and commissary) are the most frequent type in the entire system, accounting for 21 percent of all grievances, followed by grievances against programs (call home, recreational, work assignment, library, group activities and organizations). At Bedford Hills, however, support services account for nearly half (48%) of all the grievances filed. In contrast, grievances against personal conduct of staff are the most frequent type at Attica, except for the large number recorded as miscellaneous grievances.

Yet differences between facilities in the assignment of grievances to one of the categories make meaningful comparisons difficult. At Attica, for example, 30 percent of all grievances are classified as miscellaneous. This category also accounts for a sizeable proportion (12%) of all grievances within the total system, but only four percent of those at Bedford Hills and 10 percent of those at Auburn.

FIGURE III-5

NEW YORK GRIEVANCE CLASSIFICATION CODES

1. Housing - transfers; internal block affairs
2. Grooming Standards - hair; cleanliness; attire
3. Temporary Release - TRC; furloughs; work release; deathbed visits;  
medical release
4. Inmate Property - what the inmate is allowed as personal property or  
is requesting be given as property
5. Personal Conduct - Inmates - items involving inmate problems  
w/other inmates
6. Personal Conduct - Staff - the actions of the staff in regard to  
relations with inmates i.e., abuse,  
harassment, force
7. Security - search & seizure, segregation, keeplock, contraband
8. Visiting Privileges - visiting room; correspondence dept; legal mail
9. Support Services - medical; custodial; package room; state issue  
items; commissary
10. Safety - protection of inmates in all areas including himself i.e.,  
suicide, self-mutilation
11. Inmate Rights - that which the inmate is allowed, (denial of):  
courts; counsel; religion; access to media
12. Programs - call home; recreational; work assignment; library;  
group activities and organizations
13. Educational programs - any program where a degree or certificate  
can be earned.
14. Miscellaneous - a catch all; any grievance which can not be  
grouped in any other category

TABLE III-25

TYPE OF GRIEVANCE FILED, NEW YORK  
1976

	<u>Attica</u>		<u>Auburn</u>		<u>Bedford Hills</u>		<u>Total System</u>	
	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>
Classification of Grievance								
Housing	36	2	38	4	99	7	707	7
Grooming Standards	11	1	11	1	41	3	313	3
Temporary Release	31	2	99	11	33	2	597	6
Inmate Property	93	6	49	5	92	6	885	9
Personal Conduct - Inmates	3	10	4	0	6	0	61	1
Personal Conduct - Staff	248	16	107	12	47	3	1101	11
Security	111	7	15	2	45	3	516	5
Visiting Privileges	68	5	141	15	56	4	779	8
Support Services	192	13	166	18	690	48	2157	21
Safety	4	0	0	0	16	1	68	1
Inmate Rights	158	10	46	5	24	2	533	5
Programs	92	6	130	14	202	14	1228	12
Educational Programs	6	0	10	1	23	2	154	1
Miscellaneous	454	30	95	10	59	4	1188	12
Unknown (not recorded as one of above)	3	0	2	0	0		0	
TOTAL	1510		913		1433		10287	

Since the Auburn grievance logs included a summary statement about each grievance (along with the category number assigned), a content analysis of these records was conducted. This reveals that 30 of the 95 grievances (31.5%) assigned as "miscellaneous" were grievances about policy, rules and procedure. Another 16 (16.8%) of the miscellaneous issues concerned the type and amount of food served in the mess hall. An additional 23 percent of the miscellaneous issues were almost equally divided between inmate pay and lost inmate property. Although category four (4) of the classification code (see Figure III-5) is labeled as "Inmate Property", it specifically refers to the property an inmate is allowed or requesting; this may account for the 12 grievances listed as "lost inmate property" that were assigned to "miscellaneous."

It is unfortunate that the large numbers of grievances being classified as miscellaneous were not noticed earlier and alterations made in the classification scheme. If indeed Attica had 454 grievances that do not fall within the existing thirteen categories, then new categories need to be constructed. This does not necessarily result in an increase in the number of categories, however, since those with only a few grievances can either be consolidated ("programs" and "educational programs" could be combined as "programs" with little loss of information) or omitted ("safety" and "personal conduct of inmates" are examples of those grievances easily relegated to "miscellaneous").

Furthermore, those categories with a large number of grievances could be broken down into sub-categories to provide more specific information pertaining to the grievance. It provides little information for social policy purposes to know that 690 grievances from Bedford Hills



concerned support services if one does not know which services were involved, or whether there was a change over time in the various services. This is especially relevant since medical services, commissary, and package room can each generate a large number of grievances.

Finally, the classification scheme does not indicate whether the grievance concerns the substance of a policy or procedure or its application. This distinction is especially important when considering that a grievance against the way a policy or procedure (e.g. medical support service, recreational program, inmate property, etc.) is carried out is quite different from challenging the very legitimacy of that policy or procedure. Although abuse, harassment, or use of force by an officer is grievable and categorized as "personal conduct-staff," it is clear that this category does not include all grievances which are directed at staff. A grievance originating in the application of a security or package room rule by an officer may not be categorized as a grievance against an officer. Such grievances are frequently against the manner in which the officer carried out or enforced a rule or procedure, however, and as such they should be identifiable. This could be remedied if each grievance were also classified as either policy-directed or incident-directed.

Recognizing these limitations and the difficulty of making comparisons between facilities, it is assumed that the manner in which grievances were classified within a particular facility remained relatively constant over time. Figures III-6 through III-14 therefore assume that any grievance filed at one point in time was classified in the same category as the same grievance would be classified at another point in time. To the extent that this assumption is valid, these weekly frequency

GRIEVANCES  
CONCERNING  
STAFF  
CONDUCT  
(N=248)

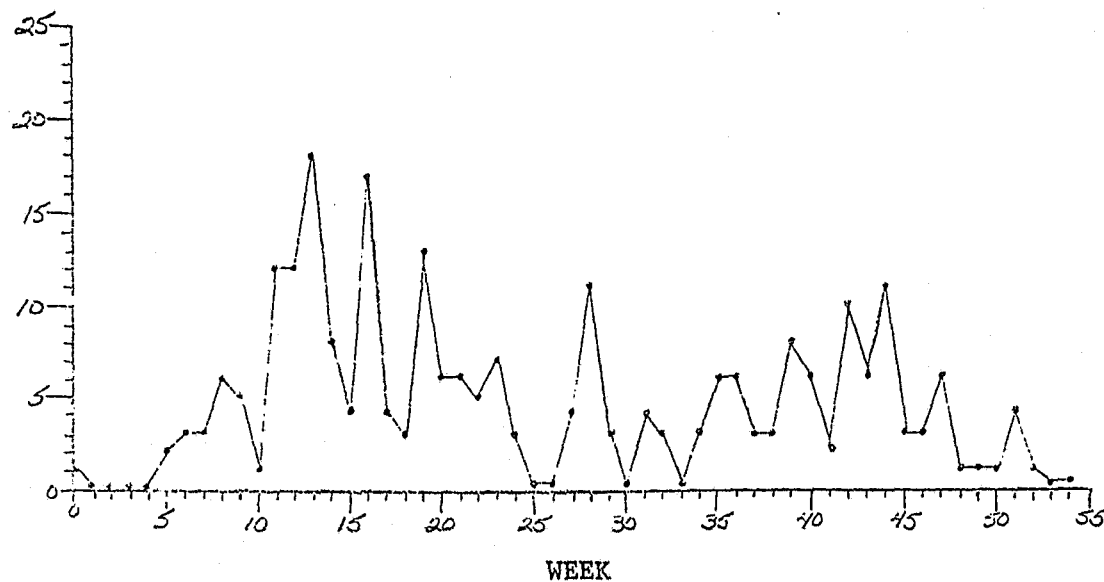


FIGURE III-6. FREQUENCY OF GRIEVANCES CONCERNING PERSONAL  
CONDUCT BY STAFF, BY WEEK, ATTICA

(JANUARY 26, 1976-FEBRUARY 13, 1977)

distributions suggest the possibility of variation over time among those categories which had the highest numbers of grievances filed.

Despite the generally high utilization of the procedure at Attica during the first few weeks, as already evident in Figure III-3, grievances concerning staff conduct were slowly introduced into the procedure. Figure III-6 also suggests that this type of grievance continued to be filed throughout the first year, an apparent indication that inmates accepted the procedure as one means of dealing with such issues. Figures III-7 and III-8 also indicate a rather steady rate of grievances concerning security and support services, respectively, at Attica. Figure III-9, however, indicates that very few grievances concerning inmate rights were filed at Attica after the first few weeks of the procedure. Either all issues pertaining to inmate rights were resolved to the inmates' satisfaction by this early set of grievances, or the procedure was not viewed by the inmates as a legitimate vehicle to deal with these issues as a result of early decisions handed down. A third likely alternative is that the most common inmate right issues were filed early but required extensive time to reach conclusion -- time during which similar grievances were not accepted.

Figures III-10 through III-14 indicate the weekly frequency with which certain types of grievances were filed at Auburn. Each illustrates a stable pattern of filing, with some increase in frequency during the last part of the year.

An analysis of records kept by the grievance clerks at Attica and Auburn is summarized in Table III-26. Sixty-nine percent of the Attica grievances and 53 percent of the Auburn grievances were recorded as "resolved".

GRIEVANCES  
CONCERNING  
SECURITY  
(N=111)

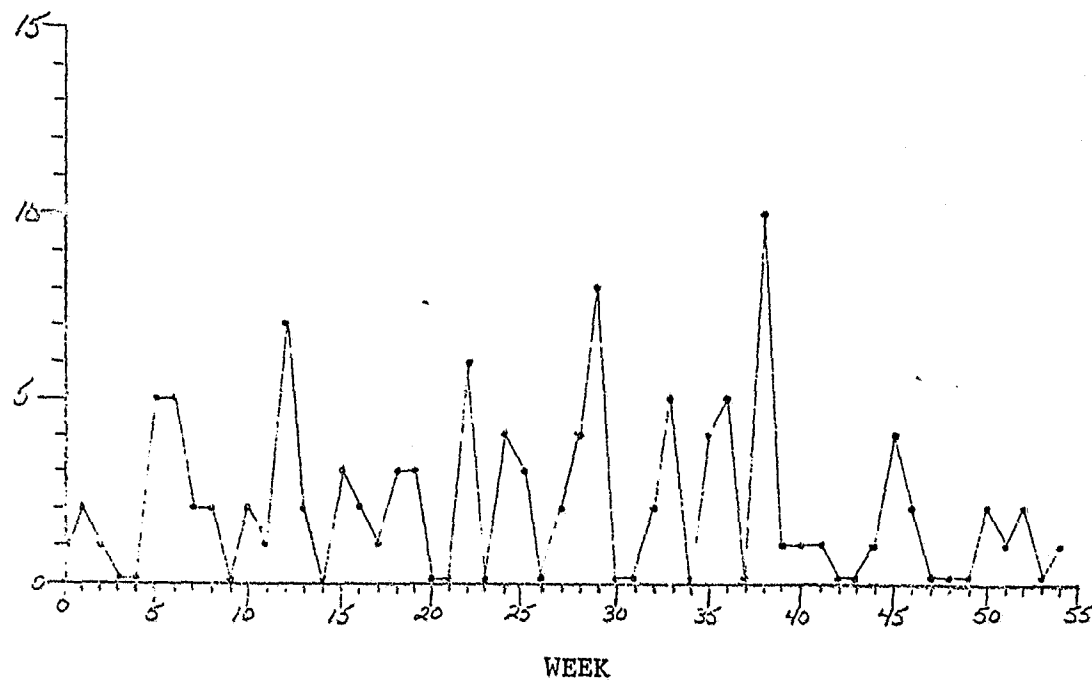


FIGURE III-7. FREQUENCY OF GRIEVANCES CONCERNING  
SECURITY, BY WEEK, ATTICA

(JANUARY 26, 1976-FEBRUARY 13, 1977)

GRIEVANCES  
CONCERNING  
SUPPORT  
SERVICES  
(N=192)

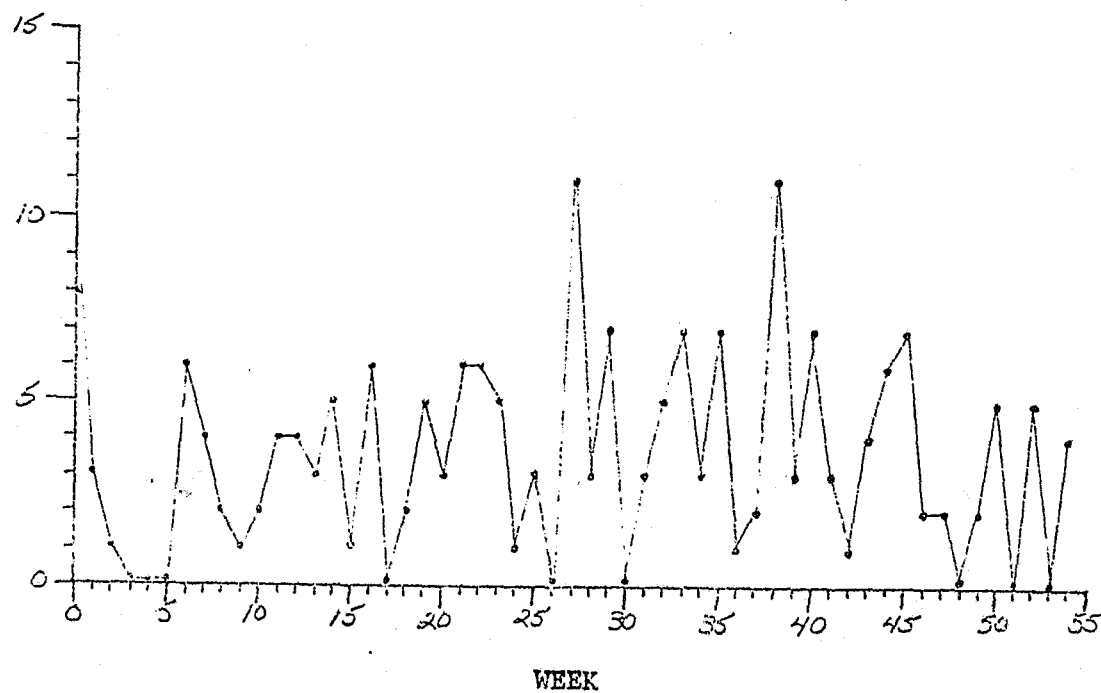


FIGURE III-8. FREQUENCY OF GRIEVANCE CONCERNING  
SUPPORT SERVICES, BY WEEK, ATTICA

(JANUARY 26, 1976-FEBRUARY 13, 1977)

GRIEVANCES  
CONCERNING  
INMATE  
RIGHTS  
(N=158)

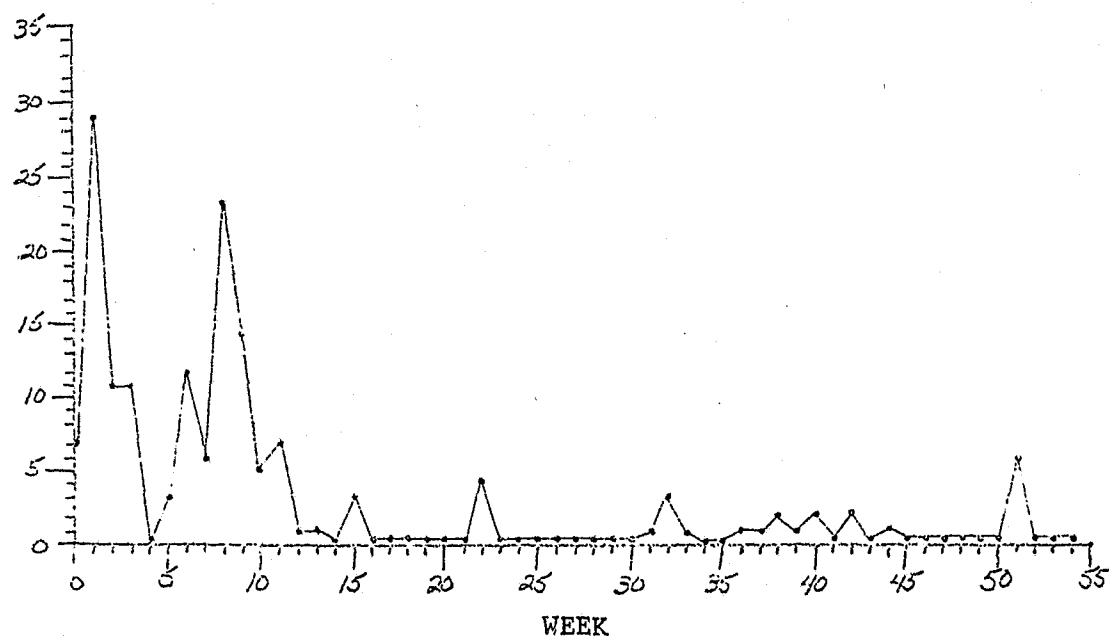


FIGURE III-9. FREQUENCY OF GRIEVANCES CONCERNING  
INMATE RIGHTS, BY WEEK, ATTICA

(JANUARY 26, 1976-FEBRUARY 13, 1977)

GRIEVANCES  
CONCERNING  
STAFF  
CONDUCT  
(N=107)

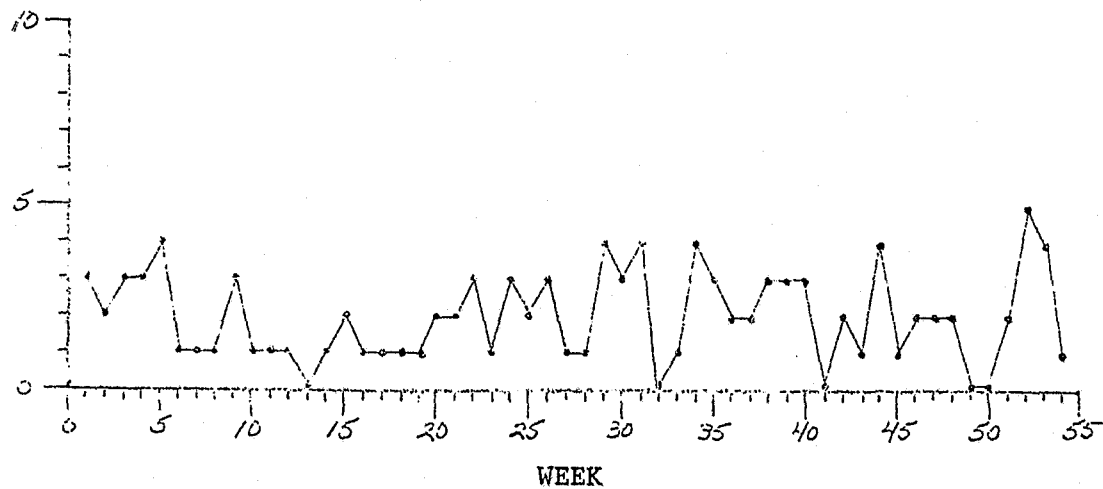


FIGURE III-10. FREQUENCY OF GRIEVANCES CONCERNING PERSONAL  
CONDUCT BY STAFF, BY WEEK, AUBURN

(JANUARY 26, 1976-FEBRUARY 13, 1977)

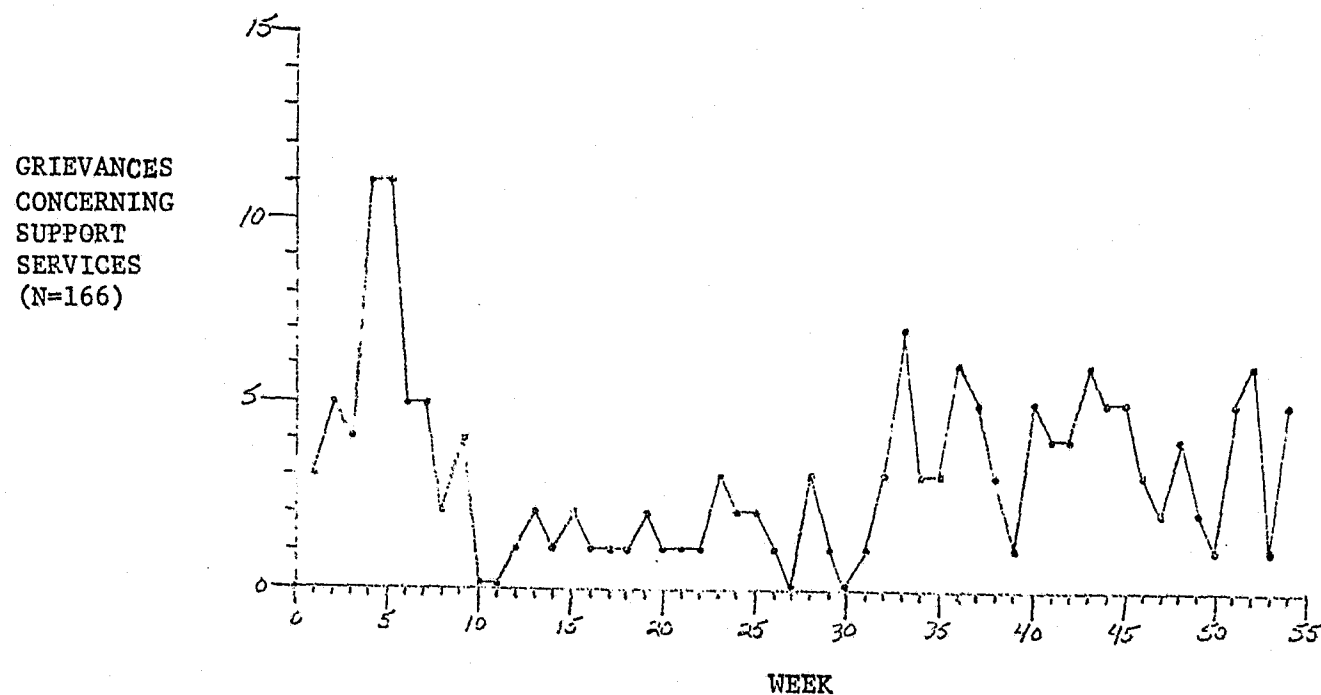


FIGURE III-11. FREQUENCY OF GRIEVANCES CONCERNING SUPPORT SERVICES  
BY WEEK, AUBURN

(JANUARY 26, 1976-FEBRUARY 13, 1977)



GRIEVANCES  
CONCERNING  
TEMPORARY  
RELEASE  
(N=99)

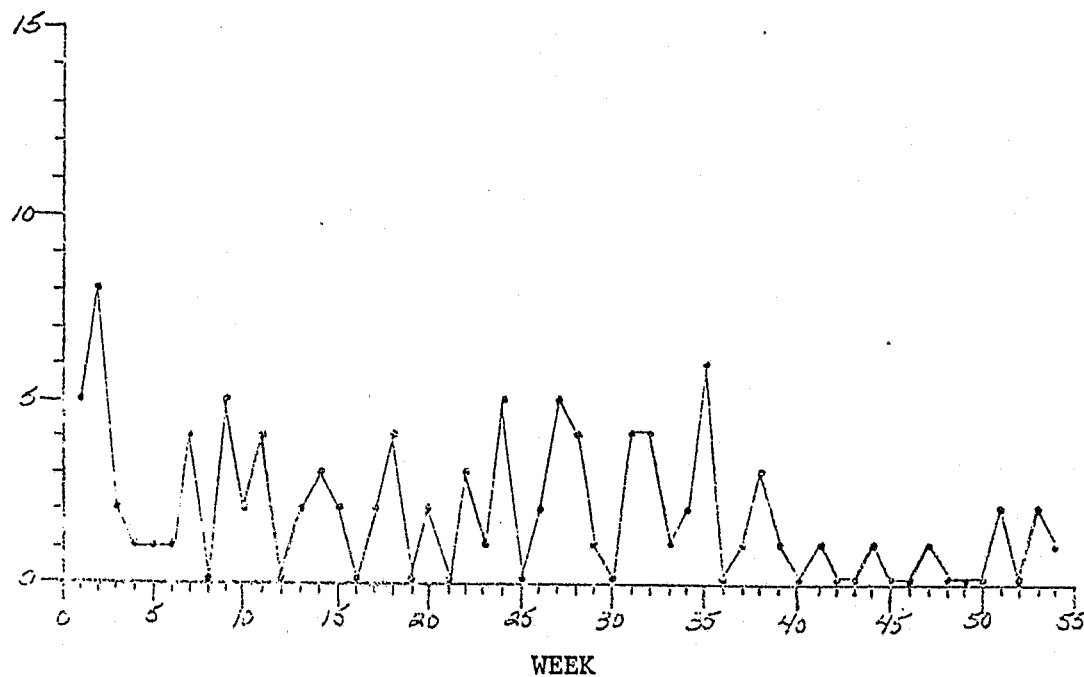


FIGURE III-12. FREQUENCY OF GRIEVANCES CONCERNING TEMPORARY  
RELEASE, BY WEEK, AUBURN

(JANUARY 26, 1976-FEBRUARY 13, 1977)

GRIEVANCES  
CONCERNING  
VISITING  
PRIVILEGES  
(N=141)

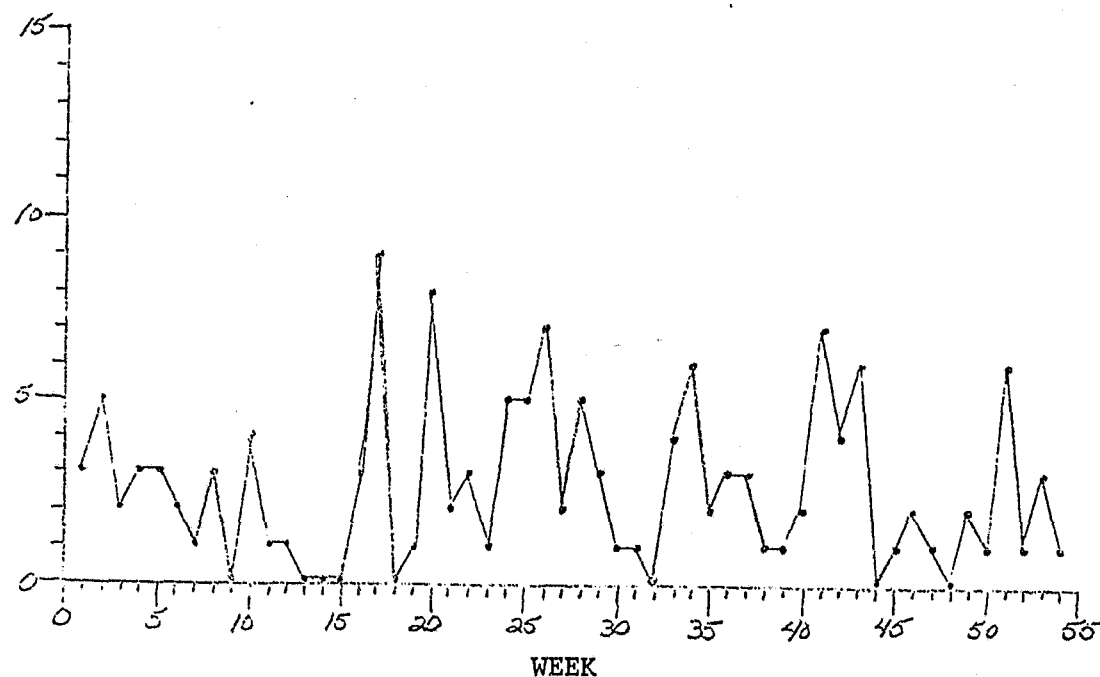


FIGURE III-13. FREQUENCY OF GRIEVANCES CONCERNING  
VISITING PRIVILEGES, BY WEEK, AUBURN

(JANUARY 26, 1976-FEBRUARY 13, 1977)

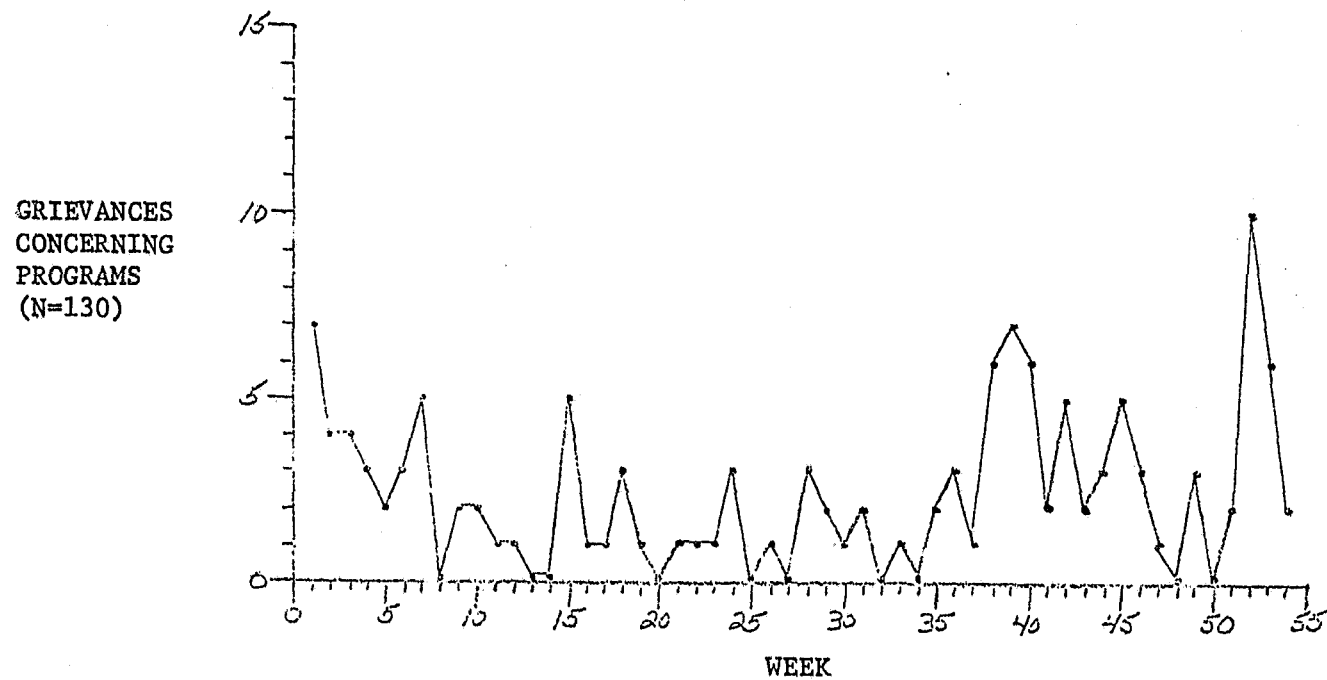


FIGURE III-14. FREQUENCY OF GRIEVANCES CONCERNING  
PROGRAMS, BY WEEK, AUBURN

(JANUARY 26, 1976-FEBRUARY 13, 1977)

Those that were dismissed, withdrawn, dropped due to transfer, or which were "open" at the end of the first year are considered unresolved. Most resolved grievances were terminated within the facility, although the superintendent at both Attica and Auburn was involved in the resolution of a large number of grievances. It is evident that if the grievance could not be resolved informally prior to the Inmate Grievance Resolution Committee Hearing, it was unlikely that the hearing would provide a resolution. In part this is due to the role assumed by the committee, especially at Auburn, where the committee merely voiced a recommendation and almost automatically forwarded the grievance to the superintendent. A more active role in resolution of grievances by the committee in those grievances which do not pertain to policy and procedure substantive issues would reduce the volume of cases coming before the superintendent. Yet the fact that few resolutions occur as a result of the hearings is also due to a preference among inmates that the final word should come from "the top," i.e., the superintendent.

The time delays mentioned earlier are apparent in Table III-26. For all cases requiring a hearing by the Inmate Grievance Resolution Committee, the mean and median number of days from filing to hearing greatly exceed the deadline. The volume of grievances contributed greatly to the delay when, because of the backlog of cases, grievants would be requested to permit time extensions. Without such extensions, the grievance is supposed to automatically by-pass the hearing and be forwarded to the superintendent. Another reason for delay -- especially the very long delays -- is the practice of accepting grievances from those persons placed in special housing and then delaying action on the grievance until the grievant is released and can attend the hearing.

TABLE III-26

LEVEL OF RESOLUTION AND TIME REQUIRED, NEW YORK  
(FEBRUARY 5, 1976-FEBRUARY 13, 1977)

	<u>Attica</u>	<u>Auburn</u>
Number of Grievances Filed	1510	913
Number Resolved by End of One Year	1041	481
Stage at which Resolution Occurred		
Filing Stage	2	2
Informal Stage	358	198
I.G.R.C. Hearing	123	8
Superintendent's Hearing	259	190
C.O.R.C. Hearing	273	76
Commission/Arbitration	26	7
Commissioner	0	0
Time Between Filing and I.G.R.C. Hearing <sup>a</sup>		
Average (range), in days	14.8 (1-114)	26.4 (5-112)
Median, in days	10.9	24.4
If Appealed, Time Between I.G.R.C. Hearing and Submission to Superintendent		
Average (range), in days	7.0 (1-116)	5.6 (1-70)
Median, in days	2.8	3.1
Time Between Submission to Superintendent and Return to I.G.R.C.		
Average (range), in days	12.1 (1-101)	8.1 (1-128)
Median, in days	8.4	6.0
If Appealed, Time Between Submission to C.O.R.C. and Return from C.O.R.C.		
Average (range), in days	73.3 (3-256)	86.9 (2-329)
Median, in days	68.0	86.0

<sup>a</sup>Includes only those cases which received a hearing by Inmate Grievance Resolution Committee.

Relatively little time elapsed between the hearing of the grievance and its submission to the superintendent. As the median indicates, half of all grievances forwarded to the superintendent were submitted within three days of the hearing. Similarly, the response from the superintendent tended to conform to the time limits; half of all grievances were returned by the superintendent within 8.4 days at Attica and 6.0 days at Auburn. Yet it is also the case that a large number of grievances encountered extensive time delay at this level: 10 percent of the grievances at Auburn required more than two weeks. The major source of the delay, however, is the time at the Central Office Review Committee.

Table III-27 provides an analysis of grievance resolution for each one-third of the 54 week period under review. The Attica grievance data indicate that the proportion of resolutions which occurred at earlier stages of the procedure increased over the period. This is especially apparent for I.G.R.C. hearing resolutions, which accounted for 4 percent of all resolutions and resolved 3 percent of all grievances during the first eighteen weeks, comprises 18 percent of all resolutions and resolved 12 percent of all grievances during the second 18 week period, and rendered 24 percent of all resolutions and resolved 15 percent of all grievances during the final eighteen-week period. Although many of the third-period grievances -- as well as some of those from the first and second period -- were unresolved at the end of the year and will be resolved at higher levels, the fact remains that the proportion of all grievances filed which are resolved by the I.G.R.C. committee has increased. This suggests that the hearings at Attica are becoming more of a grievance resolution device and less of a grievance recommendation committee. This is not the case at Auburn.

TABLE III-27

LEVEL OF RESOLUTION AND TIME REQUIRED, BY PERIOD FILED, NEW YORK  
FEBRUARY 5, 1976-FEBRUARY 13, 1977

	Attica <sup>a</sup>			Auburn		
	Weeks 1-18	Weeks 19-36	Weeks 37-54	Weeks 1-18	Weeks 19-36	Weeks 37-54
Number of Grievances Filed	748	399	332	323	272	317
Number Resolved by End of Year <sup>b</sup>	535	272	212	282	161	37
If Resolved, Level of Final Resolution						
Filing Stage	1	0	0	0	1	0
Informal Stage	155	117	85	121	71	6
I.G.R.C. Hearing	20	48	51	7	1	0
Superintendent	95	84	73	97	65	28
C.O.R.C.	239	23	2	52	22	2
Commission/Arbitration	25	0	1	5	1	1
Commissioner	0	0	0	0	0	0
Time Between Filing and I.G.R.C. Hearing <sup>c</sup>						
Average (range), in days	9.6(1-63)	24.1(1-114)	19.4(1-71)	22.0(5-94)	29.3(5-112)	41.7(18-72)
Median, in days	8.3	20.2	14.8	20.9	27.2	39.0
If Appealed, Time Between I.G.R.C. Hearing and Submission to Superintendent						
Average (range), in days	4.8(1-38)	15.9(1-116)	9.9(1-29)	5.2(1-57)	6.2(1-43)	3.6(1-11)
Median, in days	2.4	4.6	5.4	2.4	4.0	2.5
Time Between Submission to Superintendent and Return to I.G.R.C.						
Average (range), in days	8.9(4-70)	18.7(1-84)	9.2(1-36)	7.2(2-63)	10.4(2-128)	9.2(2-29)
Median, in days	7.9	10.1	7.0	5.3	6.5	7.3

<sup>a</sup> Those grievances filed before the procedure's official implementation date of February 5 have been omitted from analysis here. Therefore the totals for Attica will not equal those in other Tables.

<sup>b</sup> Since the data reported are based on only those grievances resolved at the end of the first year, the proportion of resolved cases during the last one-third of the year is expectedly lower.

<sup>c</sup> The average and median are computed on only those cases that reached I.G.R.C. level.

Furthermore, the changing pattern of time delays at each level of the process is evident in Table III-27. It is apparent that the lengthy delays occur within the second eighteen-week period rather than the first period. The number of resolved grievances during the third period at Auburn is too small for comparison, yet the Attica data indicate that the time delays were reduced during the third period. This pattern parallels the earlier comments that inmate cynicism and rejection of the procedure's credibility increased during the year but returned to a lower level by the end of the year.

Table III-28 presents the percent of grievances resolved during each of the three periods by type of grievance. Although serious questions have already been raised about the utility of this classification scheme, the absence of alternative information compels its use. In general, the percent of grievances resolved decreases from the first period to the second period for all types of grievances at Auburn. At Attica, the total change is not significant and, indeed, the percent of grievances resolved increases in some instances. Moreover, the information in the table does not suggest that any one type of grievance is more amenable to resolution than any other type.

Tables III-29 and III-30 present a breakdown of the stage in the grievance procedure at which the grievance was resolved by type of grievance, for Attica and Auburn, respectively. An elementary but important dichotomy can be created by grouping the information according to whether the resolution occurred prior to or after reaching the superintendent. This distinction is important because it indicates whether resolution has been accomplished by persons associated with the Inmate Grievance Procedure



TABLE III-28

GRIEVANCE RESOLUTION, BY TYPE OF GRIEVANCE AND PERIOD FILED, NEW YORK  
(JANUARY 26, 1976-FEBRUARY 13, 1977)

Type of Grievance	Attica						Auburn					
	Weeks		Weeks		Weeks		Weeks		Weeks		Weeks	
	1-18		19-36		37-54		1-18		19-36		37-54	
	Number	Percent Resolved	Number	Percent Resolved	Number	Percent Resolved	Number	Percent Resolved	Number	Percent Resolved	Number	Percent Resolved
Housing	5	80	6	83	25	88	13	85	10	50	15	13
Grooming Standards	5	60	4	75	2	50	6	67	3	67	2	0
Temporary Release	21	67	2	0	7	86	46	87	40	55	13	0
Inmate Property	21	71	27	63	45	60	27	85	12	75	10	10
Personal Conduct-Inmates	0	--	2	0	1	0	0	--	0	--	4	25
Personal Conduct-Staff	98	74	80	68	69	65	30	87	40	58	37	8
Security	38	68	46	67	26	42	5	100	3	33	7	0
Visiting Privileges	25	68	24	75	19	58	40	90	59	61	42	19
Support Services	44	66	76	64	64	58	59	90	40	70	68	18
Safety	0	--	3	67	1	100	0	--	0	--	0	--
Inmate Rights	126	70	10	80	15	73	20	90	15	47	11	18
Programs	29	69	27	78	35	71	44	86	22	55	64	9
Educational Programs	5	100	1	0	0	--	8	88	2	50	0	--
Miscellaneous	330	73	91	70	23	65	25	84	26	58	44	5
	748 <sup>a</sup>	72	399	68	332	64	323	87	272	59	317	12

<sup>a</sup>One case unknown.

-- whose task it is to find a resolution when possible -- thereby reducing the necessity of involvement by administration. The distinction may also shed some light on the issue of incident vs. policy grievances. Incident grievances can be resolved at the I.G.R.C. level but policy grievances are most likely to require administrative decisions. The fact that 75 support service grievances were resolved prior to administrative action suggests that many of these were concerned with incidents of implementation by facility personnel.

It is evident in Table III-29 that grievances concerning security, visiting privileges, and programs were as likely to be resolved before leaving the I.G.R.C. hearing as after reaching the superintendent. Grievances concerning inmate property and support services were more likely to be resolved before reaching the superintendent, and grievances concerning housing, temporary release, staff conduct and inmate rights were more likely to be resolved at the administrative level. The number of grievances concerning grooming, inmate conduct, safety and education programs is too small for interpretation.

Equally as important is the finding that many grievances are resolved informally rather than by the more formal I.G.R.C. hearing. Grievances pertaining to housing, inmate property, security, visiting privileges and support services were frequently resolved informally. This is further indication that many of these may have been incident grievances. The areas in which the I.G.R.C. hearing resulted in frequent resolutions are staff conduct, support services, and programs. Of all grievances reaching the superintendent, only those pertaining to inmate rights were significantly more likely to be resolved at central office than by the superintendent.

TABLE III-29

STAGE OF RESOLUTION BY TYPE OF GRIEVANCE, ATTICA  
(JANUARY 26, 1976-FEBRUARY 13, 1977)

Type of Grievance	Filing Stage	Stage at Which Resolution Occurred					
		Informal Stage	IGRC Hearing	Superintendent	C.O.R.C.	Commission/ Arbitration	Commissioner
Housing (31/5) <sup>a</sup>	0	10	2	17	2	0	0
Grooming Standards (7/4)	0	4	1	0	2	0	0
Temporary Release (21/10)	0	3	2	6	10	0	0
Inmate Property (59/34)	0	28	7	17	5	2	0
Personal Conduct-Inmates (0/3)	0	0	0	0	0	0	0
Personal Conduct-Staff(173/75)	1	42	35	52	40	3	0
Security (69/42)	0	26	8	13	20	2	0
Visiting Privileges (46/22)	0	17	4	18	7	0	0
Support Services (121/71)	0	55	20	27	19	0	0
Safety (3/1)	0	0	1	2	0	0	0
Inmate Rights (112/46)	1	31	8	20	44	8	0
Programs (66/26)	0	19	13	20	12	2	0
Educational Programs (5/1)	0	2	0	1	2	0	0
Miscellaneous (328/126)	0	121	22	66	110	9	0
TOTAL (1041/466)	2	358	123	259	273	26	0
% of those resolved	0.2	34.4	11.8	24.9	26.2	2.5	0.0

<sup>a</sup>The numbers in parentheses indicate the number of grievances resolved, on the left, and the number of grievances unresolved as of February, 1977, on the right.

The data for Auburn, presented in Table III-30, present a completely different image, largely due to the failure of the I.G.R.C. hearings to produce resolutions. The frequency of resolution before reaching the superintendent and after reaching the superintendent is equivalent for grievances concerning housing, temporary release, staff conduct, inmate rights, and programs. There are too few cases for interpretation in the areas of resolution for grooming, inmate conduct, safety and education programs. The remaining three categories are inmate property, visiting privileges, and support services, and for each category the resolutions are significantly more likely to occur after the grievance reaches the superintendent. While it is true that a number of grievances were resolved informally -- especially temporary release, support service, visiting privilege, staff conduct and program grievances -- for no category of grievances did resolution occur more frequently prior to leaving the I.G.R.C. hearing than when the superintendent became involved. This may indicate strong confidence that the superintendent will provide a just resolution, a failure among those working with the procedure to seek resolution, a desire to avoid the inmate or guard reaction to a decision by passing it "upstairs" -- or a combination of these reasons.

#### 4. Impact on Grant Objectives

##### a. The Reduction of Violence

The legislation mandating an Inmate Grievance Procedure in all adult correctional facilities in the State of New York was directed largely toward providing a mechanism which would reduce the amount of violence within correctional facilities. One objective of this evaluation, therefore, is to assess the impact of the Inmate Grievance Procedure upon the

TABLE III-30

STAGE OF RESOLUTION BY TYPE OF GRIEVANCE, AUBURN  
(JANUARY 26, 1976-FEBRUARY 13, 1977)

		Stage at Which Resolution Occurred						
		Filing Stage	Informal Stage	IGRC Hearing	Superintendent	C.O.R.C.	Commission/ Arbitration	Commissioner
<u>Type of Grievance</u>								
Housing	(18/20) <sup>a</sup>	0	9	0	5	4	0	0
Grooming Standards	(6/5)	0	3	0	1	2	0	0
Temporary Release	(62/37)	0	30	1	21	10	0	0
Inmate Property	(33/16)	0	12	0	18	3	0	0
Personal Conduct-Inmates	(1/3)	0	1	0	0	0	0	0
Personal Conduct-Staff	(52/55)	1	25	1	19	6	0	0
Security	(6/9)	0	3	0	2	1	0	0
Visiting Privileges	(80/61)	0	27	0	38	14	1	0
Support Services	(93/73)	0	37	1	37	16	2	0
Safety	(0/0)	0	0	0	0	0	0	0
Inmate Rights	(27/19)	0	9	1	13	3	1	0
Programs	(56/74)	0	24	2	19	9	2	0
Educational Programs	(8/2)	0	3	0	4	1	0	0
Miscellaneous	(38/57)	0	15	2	13	7	1	0
TOTAL	(480/431)	1	198	8	190	76	7	0
% of those resolved		0.2	41.2	1.7	39.6	15.8	1.5	0.0

<sup>a</sup> The numbers in parentheses indicate the number of grievances resolved, on the left, and the number of grievances unresolved as of February, 1977, on the right.

amount and type of violent behavior within the facility. Interviews with Deputy Commissioners, superintendents, correctional officers and inmates consistently elicited comments suggesting that the grievance procedure would have minimal, if any, impact upon the level of violence within prisons. Prison violence, it was asserted, is the result of such wide-ranging factors as gambling debts, homosexual liaisons, inmate power struggles, loyalties to group memberships (e.g., outside street gangs, religious groups, ethnic groups), overcrowding, and living conditions within the facility. On the other hand, there was a faint hope that the inauguration and successful implementation of the procedure may serve to provide an alternative means of venting the frustration and anger which accumulates within inmates. That is, it was thought that an effective Inmate Grievance Procedure may serve to lower the level of tension by providing the inmates with a technique for airing their complaints about those rules and procedures which they feel are unwarranted.

Two independent techniques were utilized to assess the relationship between the introduction of the Inmate Grievance Procedure and the amount of violence in the facility. First, the survey of inmates and correctional officers at both Auburn and Attica included items designed to provide an indication of the perceived level of violence within the facility. The information contained in Tables III-31 and III-32 clearly and consistently indicates that inmates and correctional officers do not feel that the level of violence in 1977 is lower than it was reported to be in 1976. Indeed, there is consensus between inmates and correctional officers that there has been a slight increase in the frequency of (1) inmate-staff fights, (2) inmate-inmate fights and (3) the abuse of inmates by staff

TABLE III-31

INMATE RESPONSES TO SELECTED  
ITEMS PERTAINING TO VIOLENCE, NEW YORK

	Attica		Auburn	
	1976	1977	1976	1977
% indicating inmate-staff fights <sup>a</sup>	(N=156)	(N=92)	(N=187)	(N=250)
a. never occur	12.8	10.9	34.2	22.4
b. occur monthly	41.7	31.5	35.8	43.2
c. occur weekly	21.1	30.5	13.4	16.8
d. occur daily	11.6	20.6	9.6	8.4
% indicating inmate-inmate fights <sup>a</sup>	(N=171)	(N=96)	(N=209)	(N=261)
a. never occur	6.4	12.5	2.9	4.2
b. occur monthly	20.5	34.4	43.5	21.8
c. occur weekly	33.4	37.5	39.7	59.4
d. occur daily	29.9	13.6	10.6	11.5
% indicating staff abuse of inmate <sup>a</sup>	(N=168)	(N=99)	(N=204)	(N=259)
a. never occurs	7.1	2.0	11.3	6.2
b. occurs monthly	8.3	6.1	10.8	13.1
c. occurs weekly	27.3	23.3	24.6	30.1
d. occurs daily	50.6	67.6	49.6	45.6
% reporting involvement in fight with other inmate in last two months	19.9 (N=171)	15.8 (N=101)	6.7 (N=224)	14.1 (N=269)
% agree, feeling in here now is tense	92.2 (N=167)	96.1 (N=103)	72.2 (N=216)	79.6 (N=275)

<sup>a</sup>The percentages may not total 100% because the "don't know" responses have been omitted in the presentation.

TABLE III-32

CORRECTIONAL OFFICER RESPONSES TO SELECTED  
ITEMS PERTAINING TO VIOLENCE, NEW YORK

	Attica		Auburn	
	1976	1977	1976	1977
% indicating inmate-staff fights <sup>a</sup>	(N=59)	(N=77)	(N=139)	(N=118)
a. never occur	8.5	6.5	26.6	12.7
b. occur monthly	79.7	70.1	64.7	67.8
c. occur weekly	6.8	20.8	4.3	15.3
d. occur daily	5.1	2.6	2.9	1.7
% indicating inmate-inmate fights <sup>a</sup>	(N=63)	(N=78)	(N=154)	(N=119)
a. never occur	1.6	0.0	0.0	0.0
b. occur monthly	12.7	12.8	17.5	9.3
c. occur weekly	58.8	52.6	70.8	69.7
d. occur daily	26.9	34.7	11.0	19.3
% indicating inmate abuse of staff <sup>a</sup>	(N=62)	(N=77)	(N=150)	(N=114)
a. never occurs	0.0	0.0	4.0	0.9
b. occurs monthly	13.0	2.6	12.7	11.4
c. occurs weekly	6.3	18.2	19.4	15.8
d. occurs daily	80.7	79.2	64.0	72.0
% reporting involvement in fight with inmate in last two months	14.3 (N=63)	11.5 (N=78)	7.8 (N=156)	16.4 (N=116)
% agree, feeling in here now is tense	74.2 (N=62)	88.4 (N=78)	49.7 (N=157)	71.5 (N=119)

<sup>a</sup>The percentages may not total 100% because the "don't know" responses have been omitted in the presentation.



and abuse of staff by inmates. Furthermore, there is a slight increase in the percentage of inmates and officers who agree that the feeling in the facility is tense. To the extent that the perceived level of tension and the perceived frequency of altercations and abuse are indicative of the level of violence within a facility, the results of the survey clearly demonstrate that the level of violence within both Auburn and Attica has not been reduced during the year in which the Inmate Grievance Procedure was introduced.

The second technique utilized to assess the level of violence within the facilities is the analysis of disciplinary records. There were 4337 offenses reported in the Auburn daily journal between November 2, 1975 and January 15, 1977. The Attica daily journal reported 5999 offenses between November 30, 1975 and January 29, 1977. A change in record keeping format did not permit the recording and analysis of records from both facilities over the same time period, but sufficient overlap exists to indicate the general trend in both facilities over an entire year.

Figures III-15 through III-24 present the frequency distribution of the 4337 offenses at Auburn over the 63 week period from November 2, 1975 to January 15, 1977. A cursory examination of Figure III-15 indicates that there has been a slight decrease in the total number of offenses during this period of time. This decrease becomes even more visible when we compare the average frequency of offenses from weeks 1 through 14, before the Inmate Grievance Procedure was initiated, to weeks 15 through 59:

weeks 1-14 averaged 82.69 incidents

weeks 15-29 averaged 77.29 incidents

TOTAL  
DISCIPLINARY  
OFFENSES  
(N=4337)

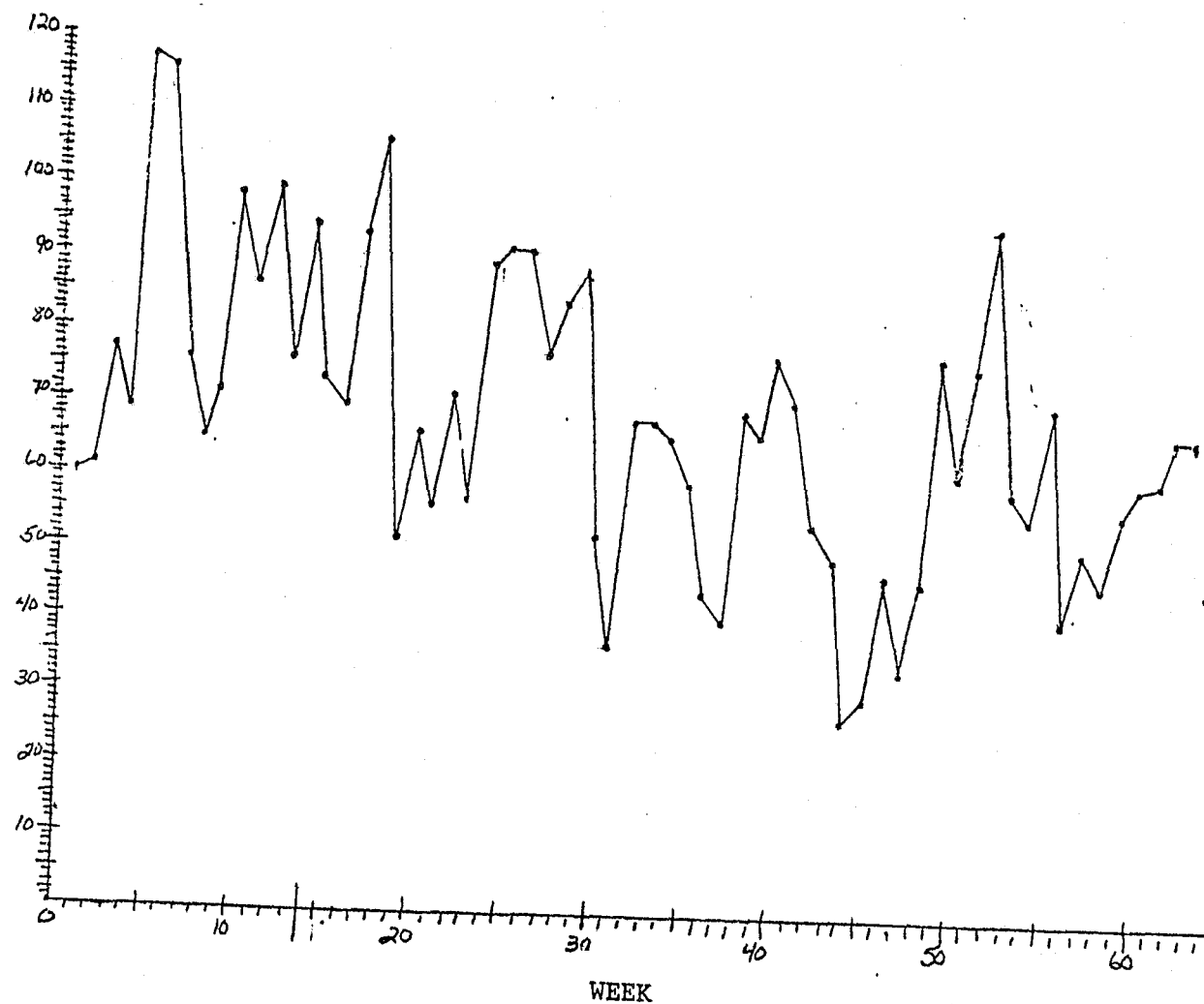


FIGURE III-15. FREQUENCY DISTRIBUTION OF TOTAL DISCIPLINARY OFFENSES FOR 63 WEEKS, AUBURN  
(Inmate Grievance Procedure Initiated at 14th Week)

weeks 30-44 averaged 59.64 incidents

weeks 45-59 averaged 57.57 incidents

Figures III-16 through III-24 provide the frequency distribution over time for each type of offense and yield more specific information about the relationship between the Inmate Grievance Procedure and the observed decrease in total offenses over time at Auburn. Offenses against self, other inmates, and officers and staff are plotted in Figures III-16, III-17, and III-18, respectively. Close inspection of these Figures indicates that these offenses against persons, or violent offenses, are not reduced over time. In fact, there appears to be a very slight increase in the frequency of offenses against other inmates and offenses against officers and staff. In short, there is no evidence to suggest that the initiation of the Inmate Grievance Procedure served to reduce the amount of violence within the prison as measured by the data obtained from the Daily Journal at Auburn.

Figures III-19, III-20 and III-21 provide the frequency distribution over time of offenses against personal property, institutional property, and both institutional and personal property, respectively. Analysis of these Figures indicates that there is no change in these offenses against property during the 63 week period of analysis at Auburn. Therefore, the initiation of the Inmate Grievance Procedure does not appear to have affected the frequency with which inmates damage personal or institutional property.

Figure III-22 illustrates the frequency of reported occurrence of offenses against rules or procedures and demonstrates a sharp decrease in these offenses during the period under examination. The average number

OFFENSES  
AGAINST  
SELF  
(N=24)

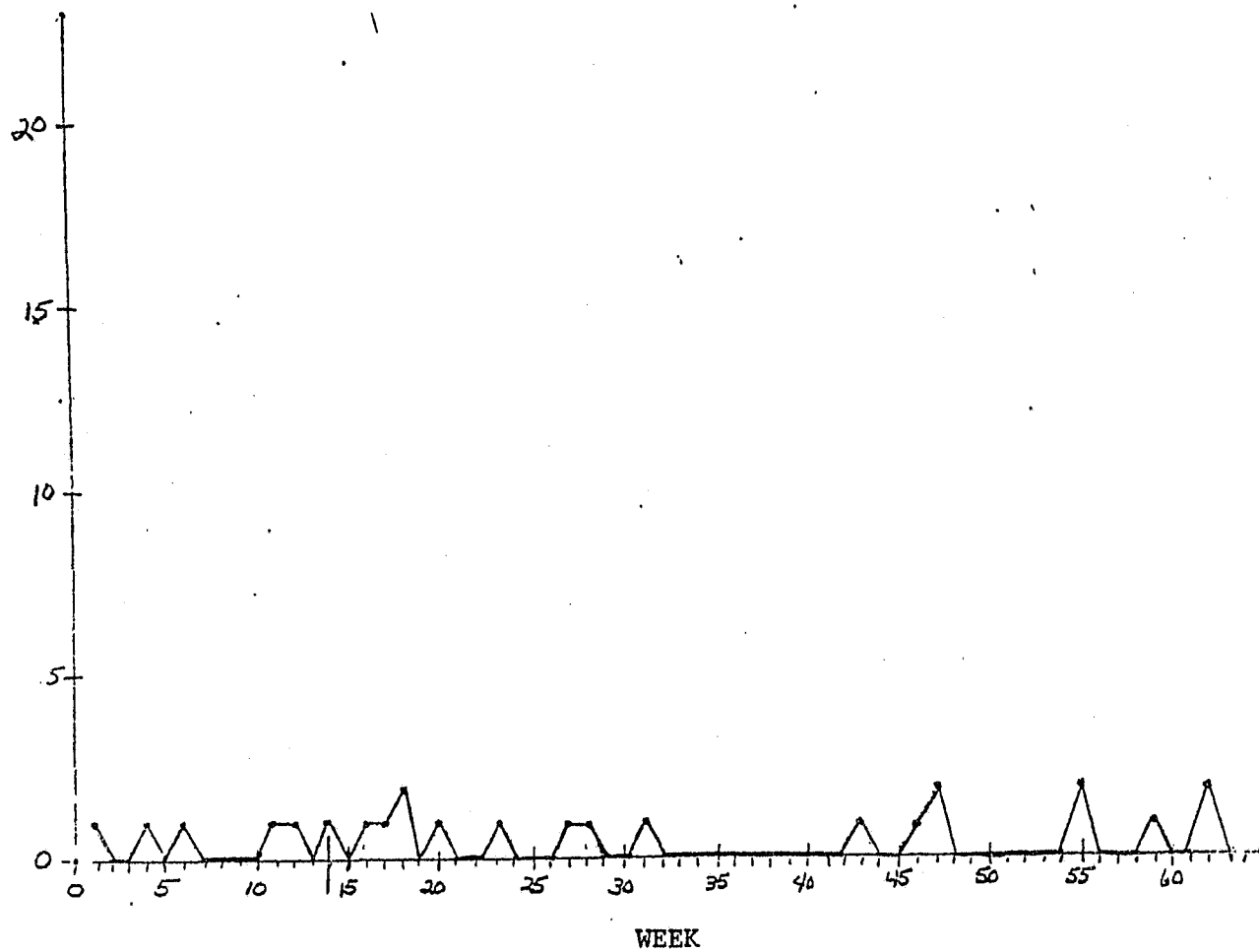


FIGURE III-16. FREQUENCY DISTRIBUTION OF OFFENSES AGAINST SELF FOR 63 WEEKS, AUBURN  
(Inmate Grievance Procedure Initiated at 14th Week)

OFFENSES  
AGAINST  
OTHER  
INMATES  
(N=390)

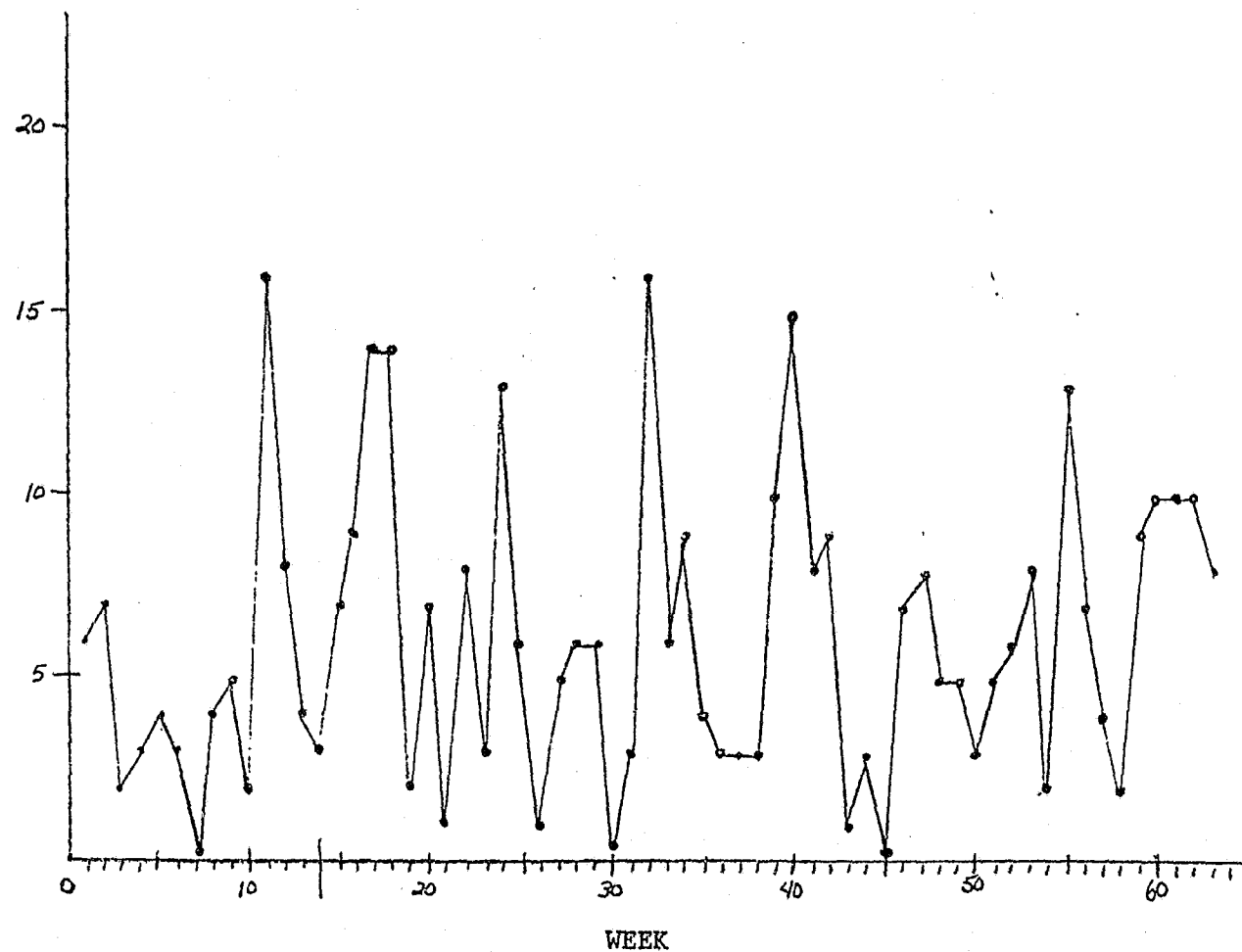


FIGURE III-17. FREQUENCY DISTRIBUTION OF OFFENSES AGAINST OTHER INMATES FOR 63 WEEKS, AUBURN  
(Inmate Grievance Procedure Initiated at 14th Week)

OFFENSES  
AGAINST  
OFFICERS  
AND STAFF  
(N=292)

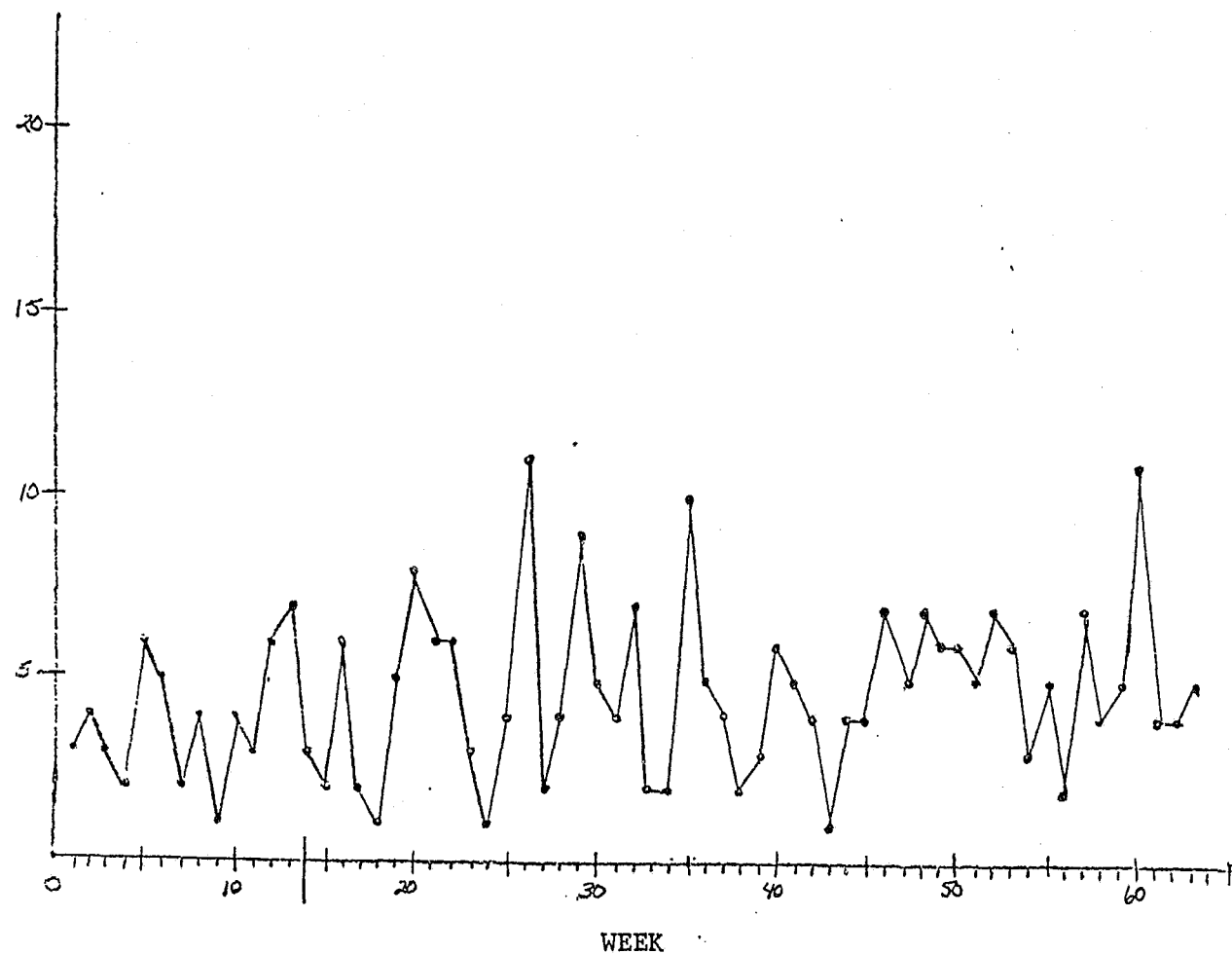


FIGURE III-18. FREQUENCY DISTRIBUTION OF OFFENSES AGAINST OFFICERS AND STAFF FOR 63 WEEKS, AUBURN  
(Inmate Grievance Procedure Initiated at 14th Week)

OFFENSES  
AGAINST  
PERSONAL  
PROPERTY  
or CELL  
(N=26)

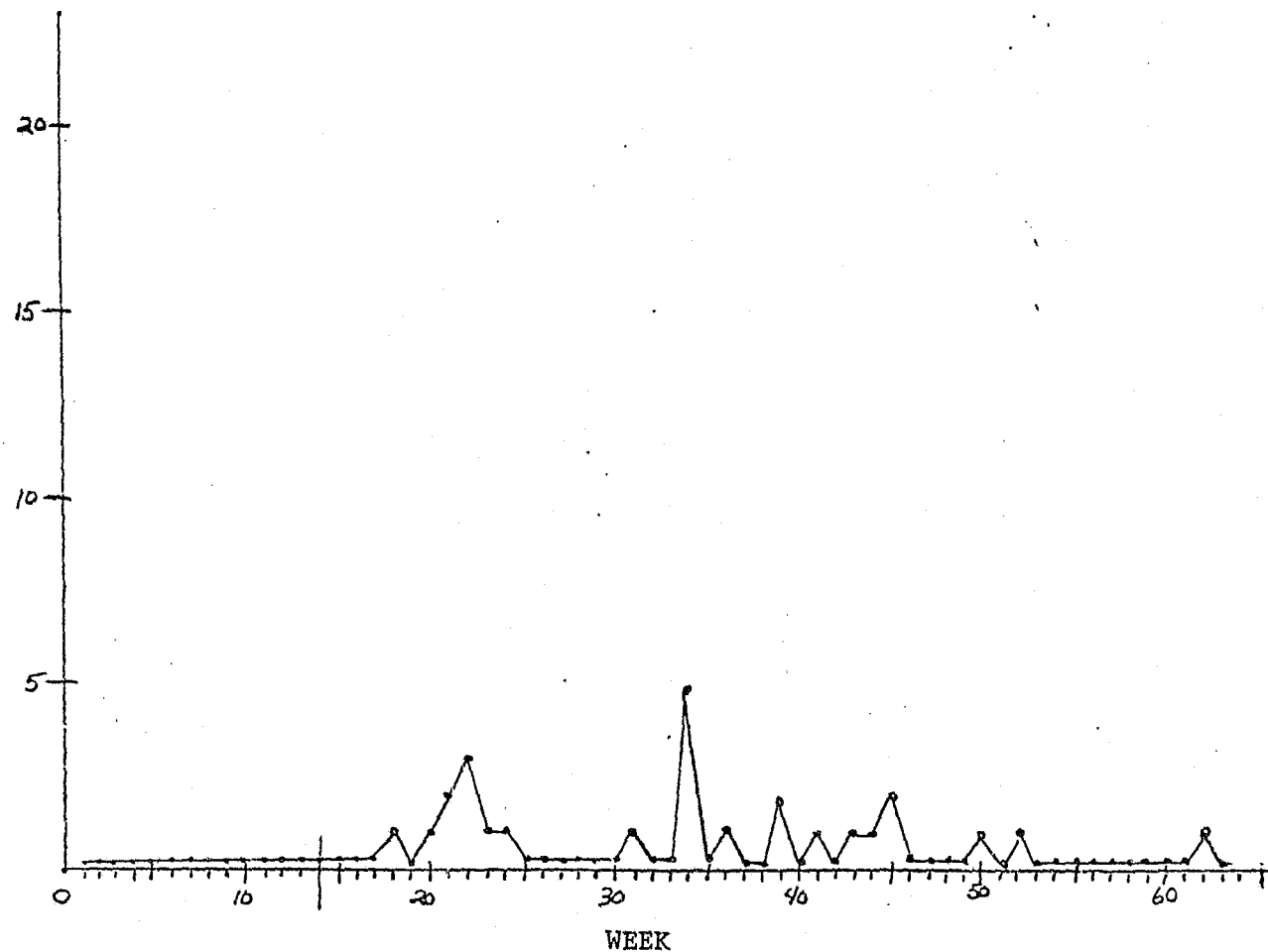


FIGURE III-19. FREQUENCY DISTRIBUTION OF OFFENSES AGAINST PERSONAL PROPERTY OR CELL FOR 63 WEEKS,  
(AUBURN - Inmate Grievance Procedure Initiated at 14th Week)

OFFENSES  
AGAINST  
INSTITUTIONAL  
PROPERTY  
(N=213)

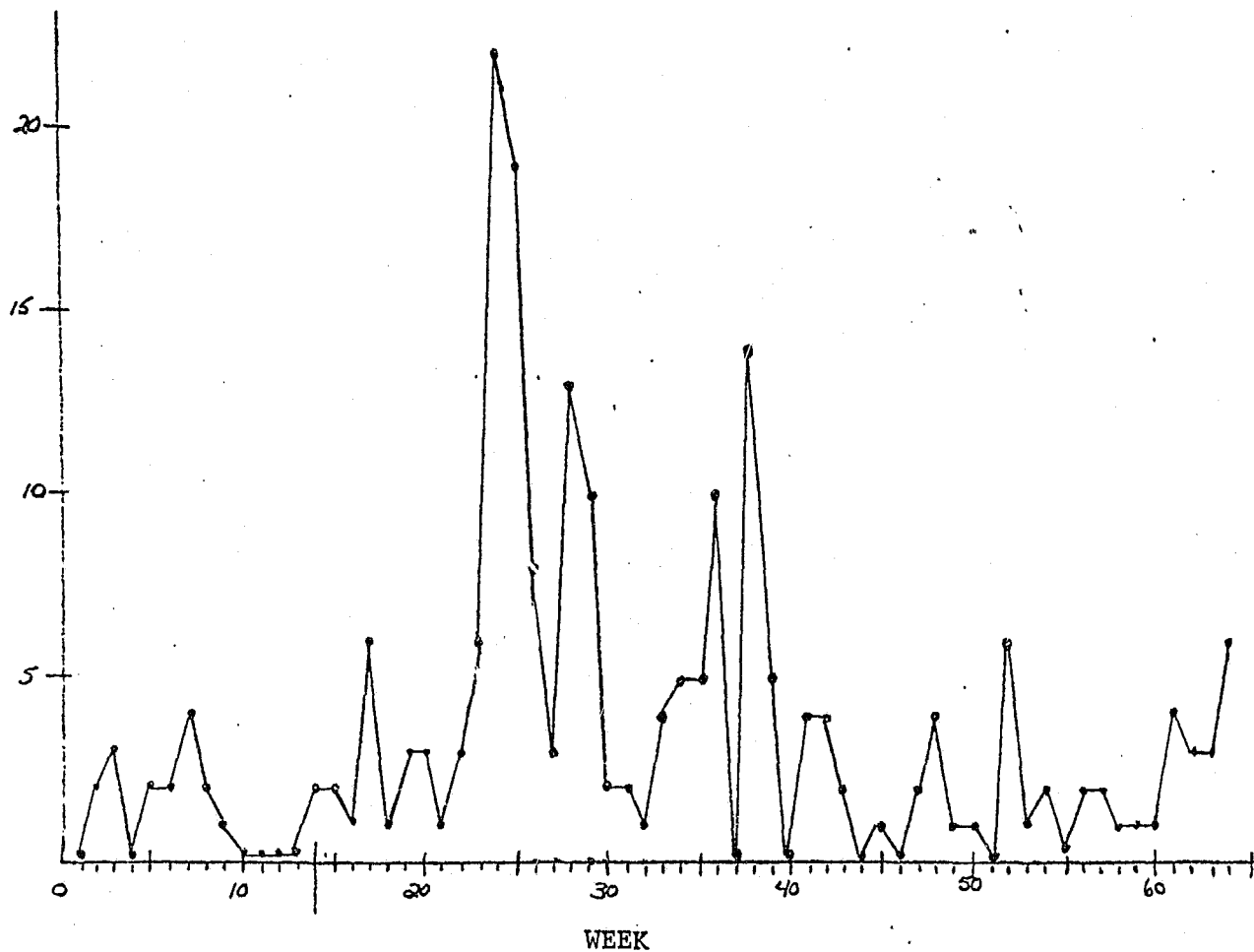


FIGURE III-20. FREQUENCY DISTRIBUTION OF OFFENSES AGAINST INSTITUTIONAL PROPERTY FOR 63 WEEKS, AUBURN (Inmate Grievance Procedure Initiated at 14th Week)



OFFENSES  
AGAINST  
PROPERTY  
(N=239)

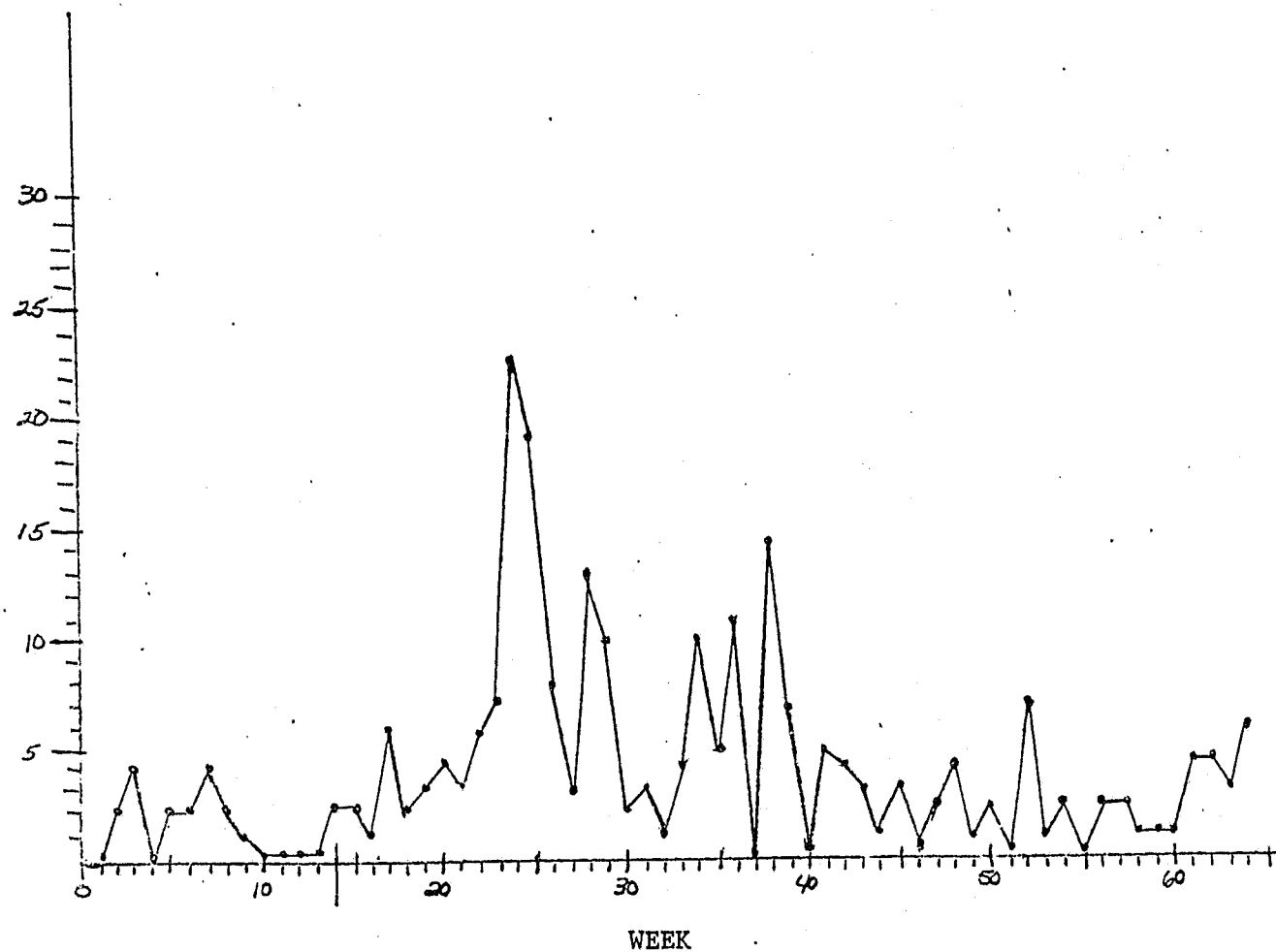


FIGURE III-21. FREQUENCY DISTRIBUTION OF OFFENSES AGAINST PROPERTY FOR 63 WEEKS, AUBURN  
(Inmate Grievance Procedure Initiated at 14th Week)

OFFENSES  
AGAINST  
RULE or  
PROCEDURE  
(N=2324)

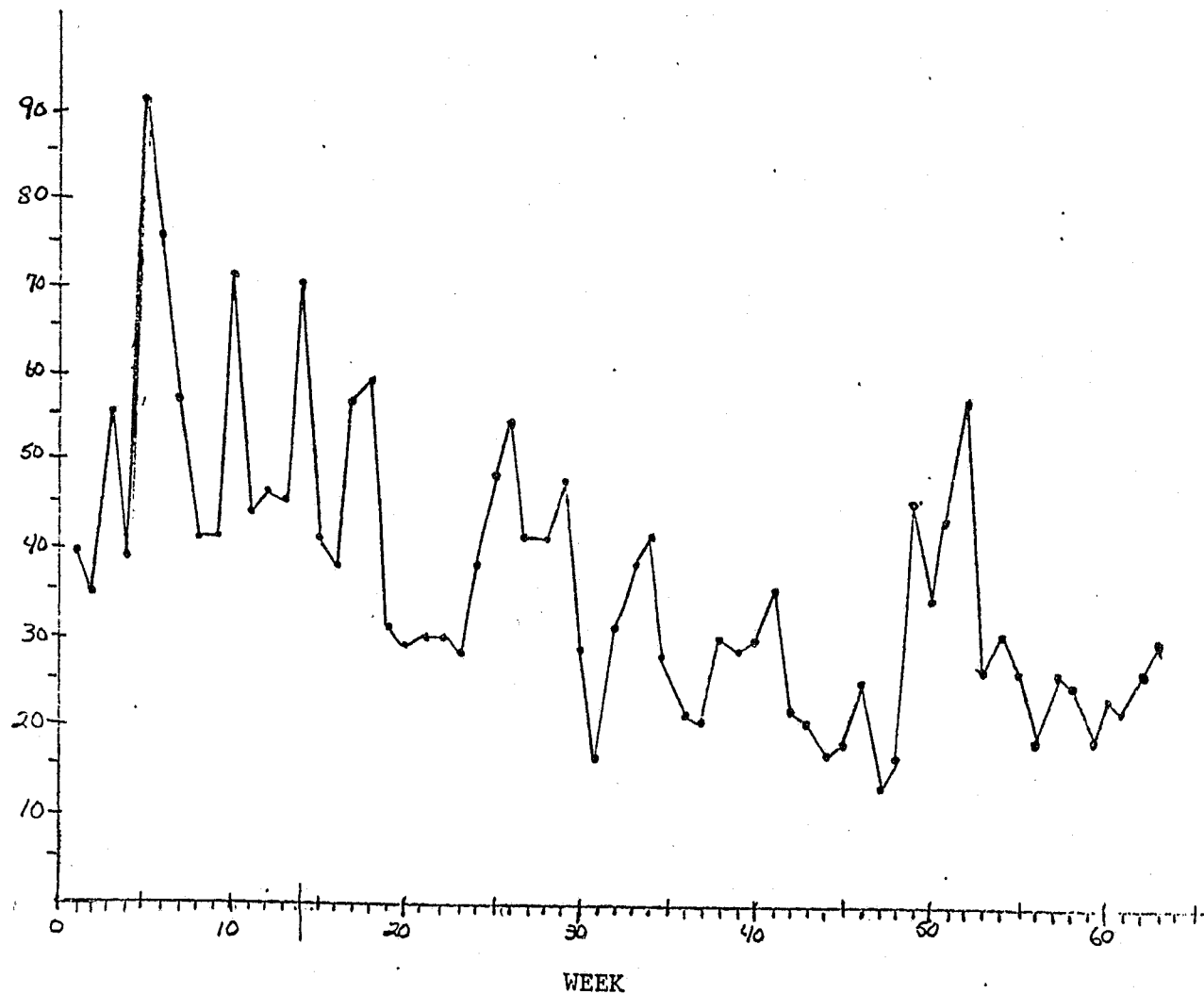


FIGURE III-22. FREQUENCY DISTRIBUTION OF OFFENSES AGAINST RULE OR PROCEDURE FOR 63 WEEKS, AUBURN (Inmate Grievance Procedure Initiated at 14th Week)

OFFENSES of  
REFUSAL of  
DIRECT ORDER  
(N=938)

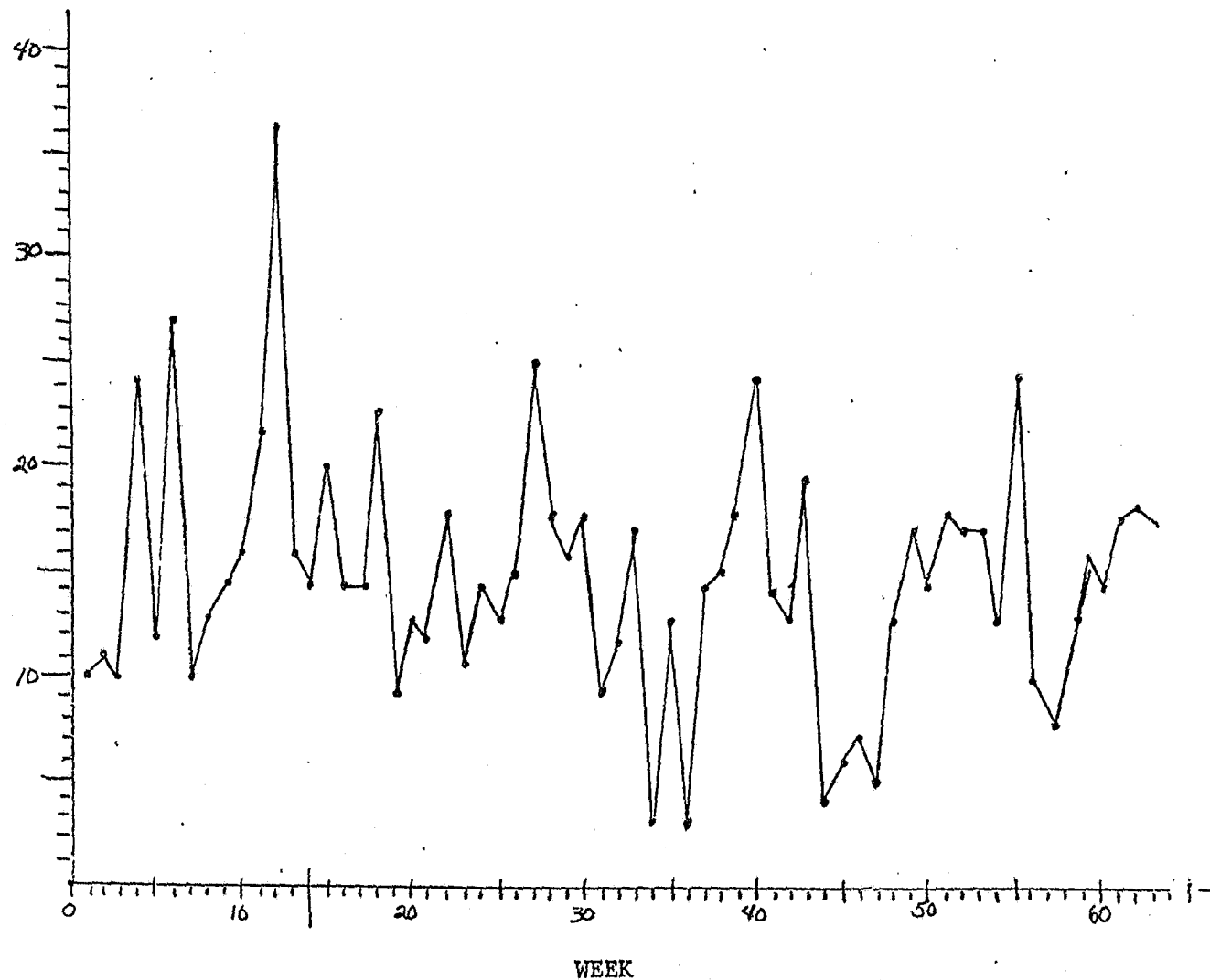


FIGURE III-23. FREQUENCY DISTRIBUTION OF REFUSAL OF DIRECT ORDER FOR 63 WEEKS, AUBURN  
(Inmate Grievance Procedure Initiated at 14th Week)

OFFENSES  
AGAINST  
RULES,  
PROCEDURES,  
DIRECT ORDERS  
and FURLOUGH  
(N=3315)

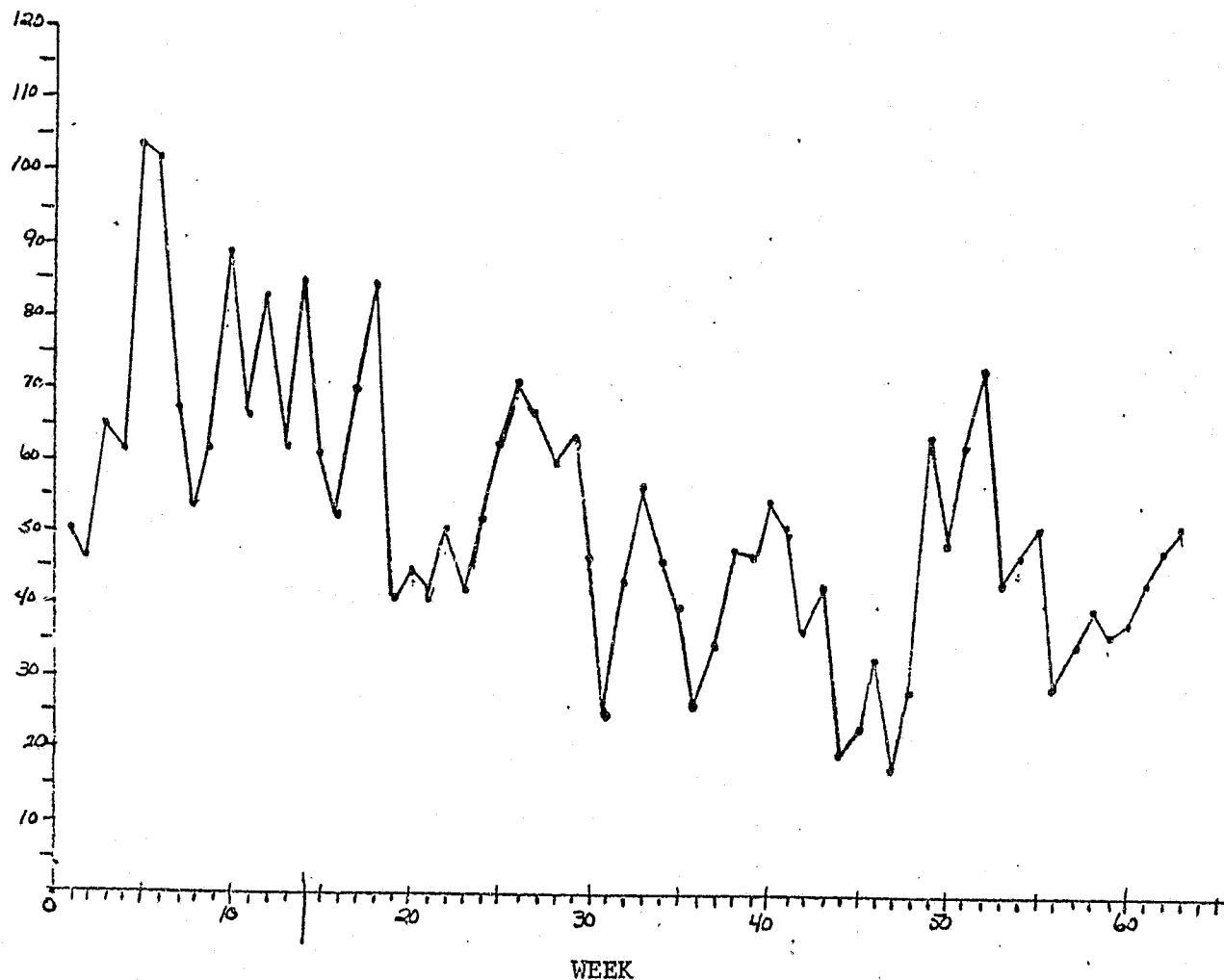


FIGURE III-24. FREQUENCY DISTRIBUTION OF OFFENSE AGAINST RULES, PROCEDURES, DIRECT ORDERS AND FURLOUGHS FOR 63 WEEKS, AUBURN(Inmate Grievance Procedure Initiated at 14th Week)

of offenses during weeks 1 through 14 is 52.54, and there is a substantial decrease during weeks 15-29 ( $\bar{X} = 40.79$ ), 30-44 ( $\bar{X} = 27.67$ ), and 45-59 ( $\bar{X} = 28.73$ ). Figure III-23, which pertains to refusing to follow a direct order, shows a slight decrease during this time also. Figure III-24 combines offenses against rules or procedures and refusal of a direct order, and adds offenses against furlough rules. It is clear from Figure III-24 that there has been a substantial decrease in those types of offenses pertaining to order within Auburn following the initiation of the Inmate Grievance Procedure. It is this decrease that accounts for the decreases in total offenses observed in Figure III-15.

The analysis of the 5999 recorded disciplinary reports at Attica from November 30, 1975 to January 29, 1977 is illustrated in Figures III-25 through III-34. An examination of the pattern of total offenses over the 61-week period in Figure III-25 reveals that no noticeable decrease has occurred following the inauguration of the Inmate Grievance Procedure on February 5, 1976. In fact, it is apparent that a dramatic increase occurred between April 18 and July 17 (weeks 20-32) and the frequency by the end of the 61-week period had only returned to the level that existed prior to the procedure's implementation.

weeks 1-10 averaged	90.20 incidents
weeks 11-20 averaged	101.10 incidents
weeks 21-30 averaged	124.10 incidents
weeks 31-40 averaged	102.00 incidents
weeks 41-50 averaged	86.70 incidents

Figures III-26, III-27 and III-28 reveal the pattern of violent offenses against persons. Figure III-26 indicates no noticeable change

TOTAL  
DISCIPLINARY  
OFFENSES  
(N=5999)

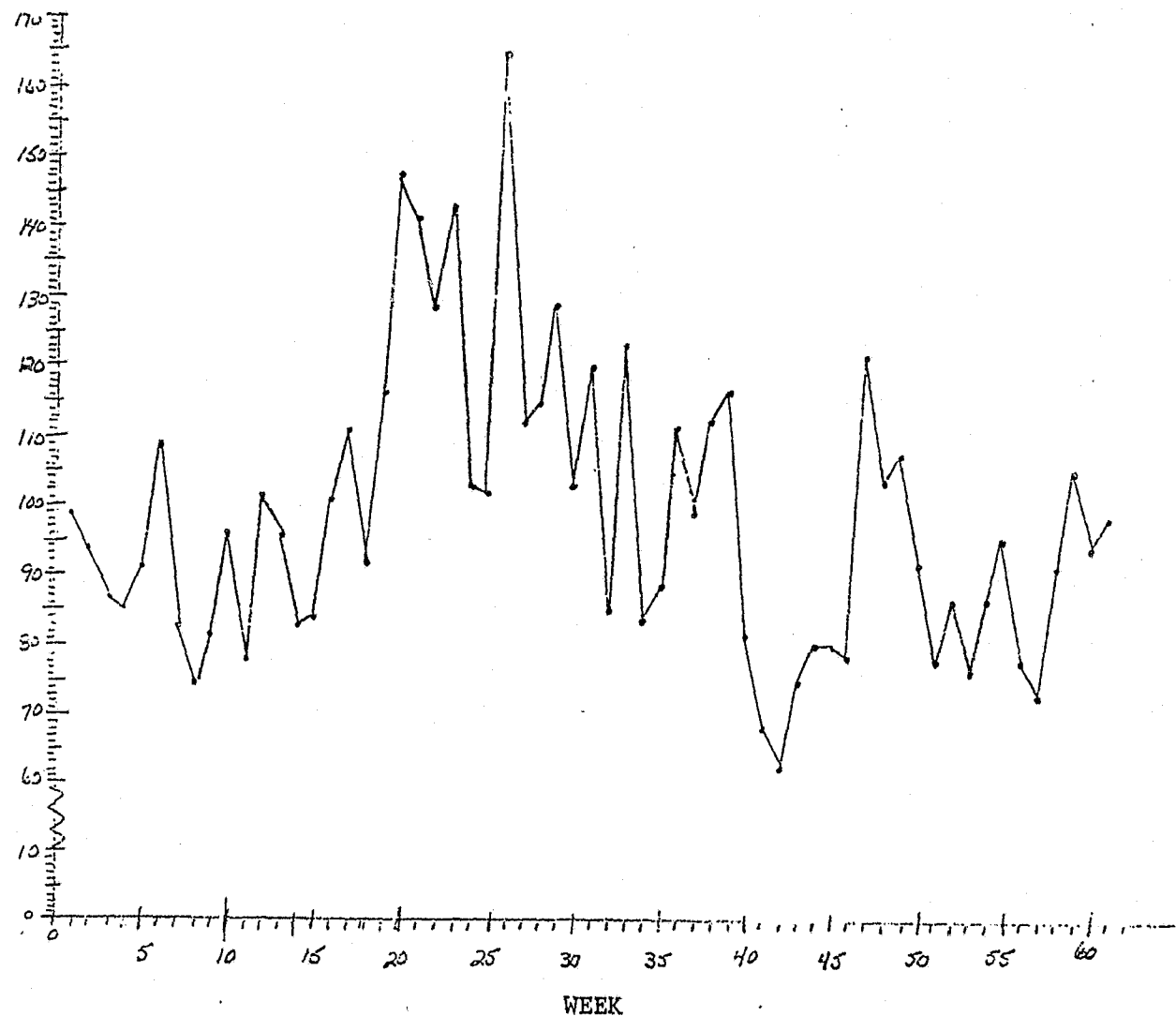


FIGURE III-25. FREQUENCY DISTRIBUTION OF TOTAL DISCIPLINARY OFFENSES FOR 61 WEEKS, ATTICA.  
(Inmate Grievance Procedure Initiated at 10th Week)

OFFENSES  
AGAINST  
SELF  
(N=12)

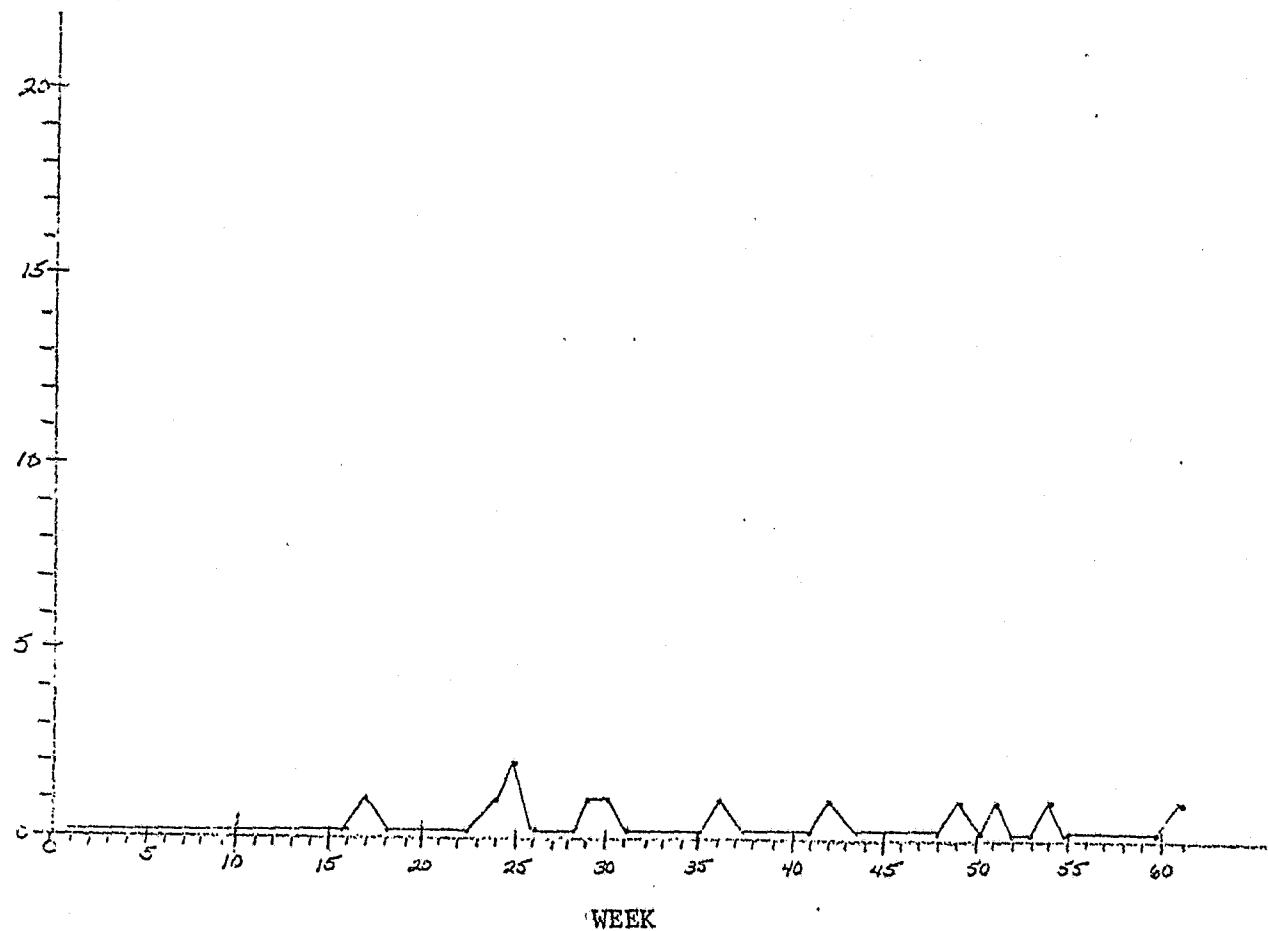


FIGURE III-26. FREQUENCY DISTRIBUTION OF OFFENSES AGAINST SELF FOR 61 WEEKS, ATTICA  
(Inmate Grievance Procedure Initiated at 10th Week)

OFFENSES  
AGAINST  
OTHER  
INMATES  
(N=563)

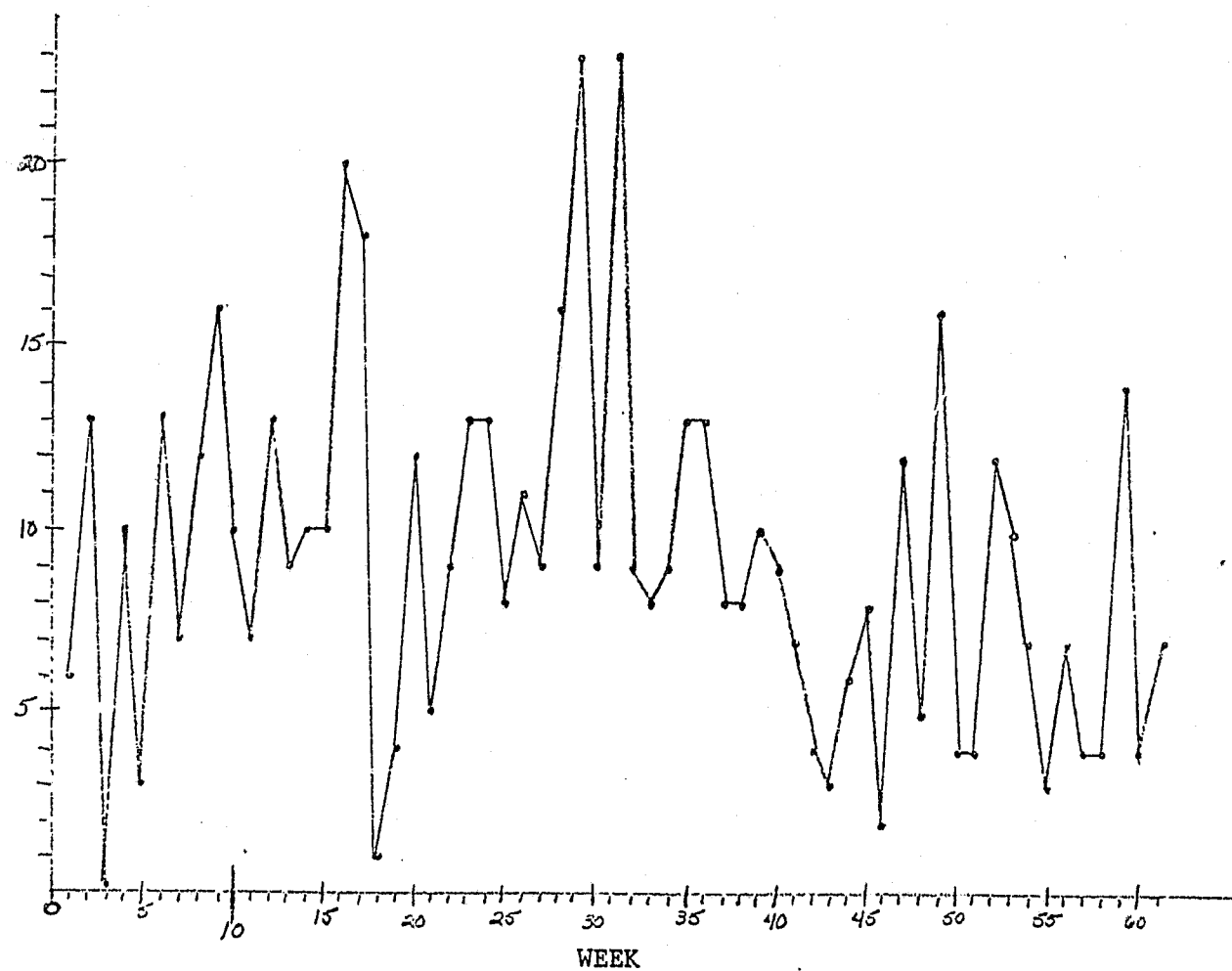


FIGURE III-27. FREQUENCY DISTRIBUTION OF OFFENSES AGAINST OTHER INMATES FOR 61 WEEKS, ATTICA  
(Inmate Grievance Procedure Initiated at 10th Week)



OFFENSES  
AGAINST  
OFFICERS  
AND STAFF  
(N=1008)

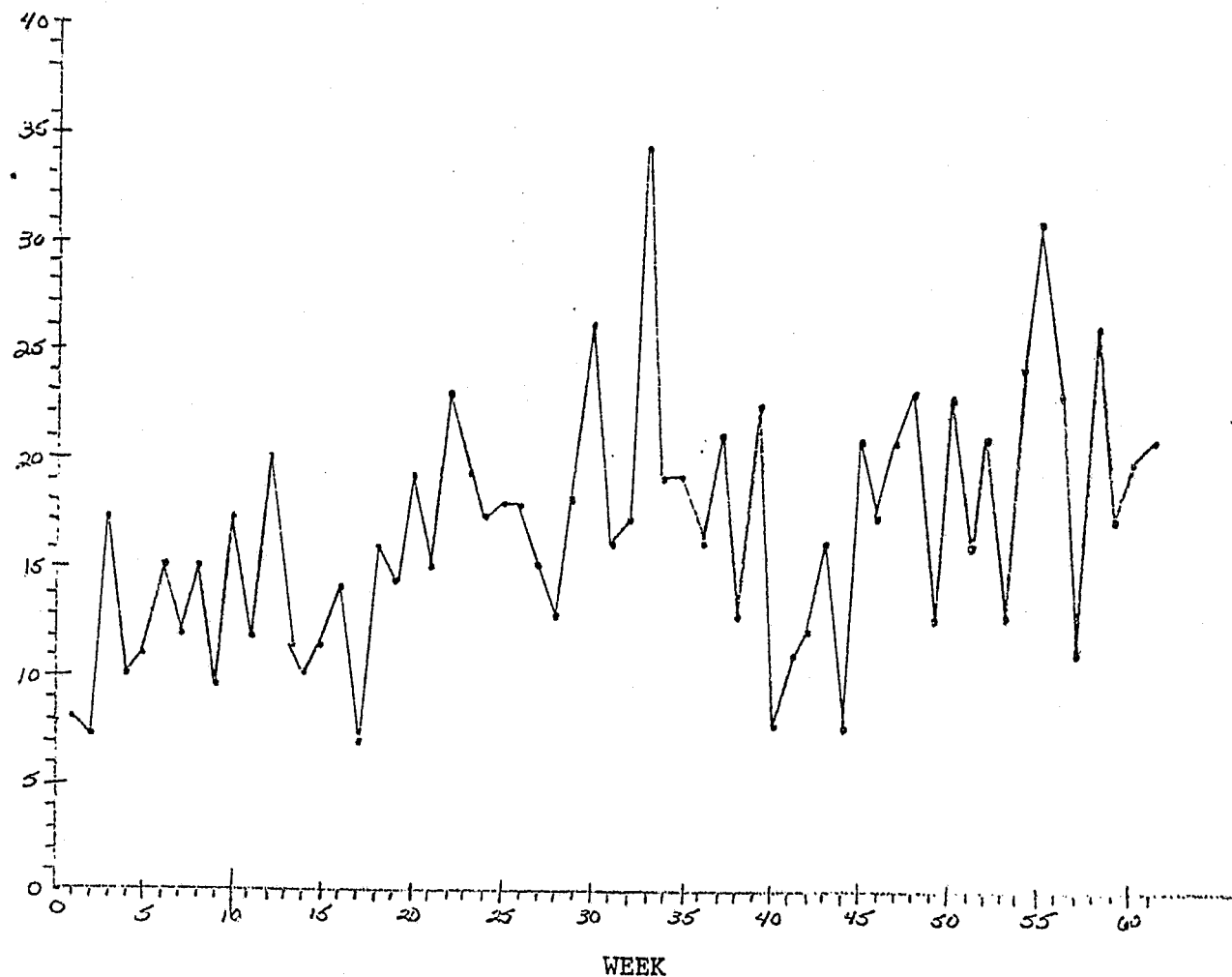


FIGURE III-28. FREQUENCY DISTRIBUTION OF OFFENSES AGAINST OFFICERS AND STAFF FOR 61 WEEKS  
(Inmate Grievance Procedure Initiated at 10th Week)

in the frequency of inmate offenses against self. Figures III-27 and III-28, representing offenses against other inmates and offenses against officers or staff, respectively, do not suggest that the level of violence within Attica decreased as a result of the Inmate Grievance Procedure. The mean number of recorded inmate offenses against other inmates vacillated during the 61-week period ( $\bar{X}$  = 8.0 for weeks 1-10, 10.4 for weeks 11-20, 11.60 for weeks 21-30, 11.00 for weeks 31-40, 6.7 for weeks 41-50, and 7.9 for weeks 51-60), returning to a pre-procedure level by the end of the period under examination. The mean number of offenses against officers and staff also vacillated, but there is evidence to suggest a general linear pattern of increase during the 61-week period. The average number of incidents during the ten weeks prior to the Inmate Grievance Procedure's operation was 12.1, and for successive ten-week periods the average increases from 13.4 to 18.2 and 16.5, reaching a new high of 20.2 during the final ten-week period. The vacillation and the absence of any apparent decrease in the frequency of assaults on officers and staff suggests that the level of violence in Attica was not decreased as a result of the Inmate Grievance Procedure.

Figures III-29 and III-30 depict the pattern of offense against personal property or cell and institutional property, respectively; these two offenses are combined in Figure III-31 to illustrate the overall pattern of offenses against property at Attica. Figure III-29 indicates no changes had occurred in the seldom-encountered offense against one's own personal property or cell. Figure III-30 again demonstrates the dramatic increase during weeks 20-32, but it also shows that these property offenses never return to the level that existed prior to the Inmate Grievance Procedure. Consequently, offenses against property, summarized in Figure III-31, do not appear to have been reduced at Attica.

**CONTINUED**

**3 OF 8**

TABLE III-54  
(continued)

<u>INMATES (cont.)</u>	<u>South Carolina</u>
b. clothing issued change for the better change for the worse no change	(N=159) 37.1 7.5 55.3
c. recreational opportunities change for the better change for the worse no change	(N=154) 33.1 7.8 59.1
d. medical services change for the better change for the worse no change	(N=156) 25.6 17.3 57.1
e. visitation rules change for the better change for the worse no change	(N=152) 32.2 7.2 60.5
f. legal services change for the better change for the worse no change	(N=144) 18.1 9.0 72.9
g. personal privacy change for the better change for the worse no change	(N=152) 19.1 15.1 65.8
h. treatment by correctional officers change for the better change for the worse no change	(N=148) 30.4 10.8 58.8
i. treatment by administrators change for the better change for the worse no change	(N=145) 29.0 13.1 57.9
j. job training and educational opportunities change for the better change for the worse no change	(N=145) 40.7 6.9 52.4
k. other change for the better change for the worse no change	(N=74) 23.0 9.5 67.6

the need for citizens groups to become involved in the procedure at correctional facilities. The Society contacted CCJ for additional information. In June of 1976 an initial meeting was arranged at the Society office with Linda Singer of CCJ, Commissioner William Leeke, and Ted Moore, Wilkes Assistant Director of Administration. Leeke and Moore are both from the Columbia area and have a long acquaintanceship; furthermore, there has been an ongoing working relationship between the Alston Wilkes Society and the South Carolina Department of Corrections.

These local citizens were to serve as needed to arbitrate or mediate those grievances appealed to the level of the Commissioner. Citizen involvement was minimal, however, due to the fact that the role of these citizen volunteers was defined as arbitrators. Since only a few grievances reached the level of the Commissioner, there was little opportunity (only two occasions to September 1977) to utilize the service and training of the Alston Wilkes Society. Since their role was defined as arbitrators, they were not utilized to monitor the procedure's operation or oversee implementation of resolutions.

The small number of grievances generated and the proportionately smaller number of grievances necessitating arbitration could not have been foreseen. When the pattern became clear in mid-year, however, and it was evident that no sustained involvement by the Alston Wilkes Society could be expected if they were utilized as arbitrators only, it is unfortunate that the initiative was not made by the Alston Wilkes Society, the Commissioner, or the Center for Community Justice to redefine their role and create a structure that would permit more sustained involvement at a lower level in the process.

Brown and Moore indicated in our interviews that they had hoped to have a bigger role with the program than was probably intended by CCJ officials. They found the training for their role as outside arbitrators to be very thorough.

Brown and Moore were quite critical of the slow pace followed to implement the procedure at Kirkland. They seemed quite dismayed that there were approximately five months between the initial announcement and the beginning of the procedure at Kirkland. They recruited and trained the volunteers to serve as arbitrators, and feel responsible for preparing many more arbitrators than subsequently were needed. To date, only two grievances have reached the level of outside arbitration.

During the first year of operation of the Inmate Grievance Procedure at Kirkland, the Society made site visits to observe the operation of the procedure. While they always received positive reports, they seemed to doubt the information. It appears that, as a vigorous group anxious to assume a high level of involvement, they expected more attention from CCJ.

From their point of view, the entire process has been too slow as a form of new service delivery system to inmates. They were unaware that the procedure had been expanded from Dorm 1 to Dorms 2 and 7 before October 1, 1976, and then expanded to the entire facility by February 1, 1977. Brown and Moore had the distinct impression that facility-wide expansion was not accomplished prior to May, 1977.

Brown and Moore indicated they "know Kirkland and its problems." They expected conditions of confinement and violation of rights to be big grievance issues. They expected more formal hearing resolutions to be necessary. They expected other types of problems to surface more

rapidly, e.g., library access, canteen issues, visitation rights. Both men seemed to be expecting more institutional reform and rapid change -- -- now -- than has seemed to be the case. They are genuinely concerned about what will happen after the official designers, implementators and monitors are gone.

Now that the Commissioner of the Department of Corrections has decided to implement the Inmate Grievance Procedure in all South Carolina institutions, there should develop a larger number of grievances requiring arbitration, and a corresponding increase in the involvement of the members of the Alston Wilkes Society -- if the Commissioner chooses to call upon them. The potential for significant citizen involvement again exists in South Carolina, but it may again dissipate for lack of structure.

#### 5. Summary and Recommendations

It is important to distinguish between impact (or outcome) and process evaluation. The major concern of the correctional administrators is with impact: were inmate grievances resolved quickly, fairly and at the lowest level? The Kirkland experience was most successful when judged by this outcome criterion. A process evaluation, which examines the manner of operation and the achievement of program objectives, asks whether the framing principles and initial design were achieved and, if achieved, whether they led to the desired outcome. As has been pointed out earlier, the impact of the Inmate Grievance Procedure cannot be attributed directly to the intrinsic merits of the mechanism. Rather, the successful outcome is due to both (1) the commitment and involvement of key personnel and (2) the number and type of grievances. It is not clear that these same personnel could be as effective had there been a greater number of grievances or more policy-oriented grievances. Nor is it clear that other

personnel, with lower involvement and less skill, could be as effective even with the same grievances. Therefore, although the program has been "successful" from an outcome criterion, the "program" cannot be credited with the success.

This distinction presents a dilemma: should a technique that is providing successful grievance resolutions be preserved even if it deviates from that designed or should the fundamental principles and design of the procedure be advocated and maintained even if it results in a less successful grievance resolution mechanism? This evaluation recognizes the advantages of the former, yet advocates the latter for two reasons. First, the evaluation efforts have been directed toward a process, and the evaluation must take exception when the integrity of that process has been or is about to be compromised. Second, an objective of the evaluation is to discern the replicability of this process in other settings and the stability of this process over time, and it is difficult to propose that a similar situation could be duplicated elsewhere or remain stable when its success is due to idiosyncratic factors.

For these reasons, the following pages are devoted to an examination of the process and a discussion of how three existing conditions could affect the impact of the Inmate Grievance Procedure.

a. Structure of the Grievance Committee

The organizational structure of the grievance committee is unique in comparison to other states because it provides for such a large number of inmate and officer committee members. Whereas elsewhere each housing unit has a grievance clerk, at Kirkland each housing unit has an inmate committee member. Whereas elsewhere two officers are assigned to serve



on the committee, the officers at Kirkland are assigned to serve on a committee when they can be released from other assignments. Whereas elsewhere there is a "pool" from which the rotating chairman is selected, at Kirkland the inmate and officer members, as well as the chairman, are selected from three pools. The size of the inmate and the officer member "pools" from which a working committee is formed to hear any particular grievance is so large that potential problems are created by this structure:

1) the level of familiarity, trust, and genuine comradery among committee members, especially between inmates and officers, is less than experienced elsewhere.

2) the level of investment in the procedure and its success is diluted by the rather infrequent occasions when the members are actively working on the procedure.

3) there are communication gaps between members which extend over time since the inmate grievance clerk is the only person (other than Deputy Warden Brown) who knows all the grievances brought to the committee and the resolutions provided by the committee, warden or commissioner.

4) the present structure has the unintended consequence of counter-productivity in an attempt to gain credibility among the inmate population. By having one committee member from each dorm and a comparable number of officers, statistical analysis suggests that a grievance structure that draws four-person committees meeting on a weekly basis from "pools" sets up the conditions wherein any one member may not serve more than one time in five weeks, and any single officer/inmate pair may not serve together more than one time in 15 weeks. In addition, it is within

the range of probability to overlook some member entirely.\* This form of grievance structure has two added negative consequences: that of suggesting a low priority for the procedure to inmates within Kirkland, and, by the absence of a visibly cohesive inmate/officer committee, that of suggesting that the members are unwilling or unable to engage in joint effort directed toward a successful program.

b. Number and Type of Grievances

One reason for the success of the Inmate Grievance Procedure is the fact that few grievances have been filed and that the majority of those filed have been incident-related grievances. Yet the structure of the committee is such that a substantial increase in the number of grievances and/or an increase in the proportion of policy-related grievances will increase the likelihood of failure. The procedure can operate efficiently only so long as the grievances remain small in number and easily amenable to informal resolution by the inmate clerk. The present structure of the committee is not prepared to meet increased demands upon its time. Nor is it clear that its present level of organization and communication would tolerate additional strain.

The continuation of a small number of grievances, largely resolved informally, presents credibility problems too, however. An under-utilized procedure risks low visibility, low priority, and low credibility. Furthermore, the informal resolution of grievances precludes the routine operation of the remaining stages in the process, thereby

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\*Because officers must be released from their assignment to serve on the committee, and because certain duty assignments are easier to "cover" or more flexible, the effect is to increase the involvement of those officers more easily relieved and decrease the involvement of those officers in critical duties. While the problems of communication and solidarity mentioned earlier are reduced for those officers who frequently serve on the committee, these problems become greater for those whose involvement is rare.

(1) undermining the principles of joint input by officers and inmates and outside review and (2) reducing the legitimacy of the procedure. In addition, it is more difficult to monitor the structural features generating grievances (even incident grievances may be due to the faculty operation of some unit, such as the mail room), the fairness of the resolution, and the implementation of the resolution when grievances are resolved informally.

Therefore it appears that a delicate balance must be maintained in Kirkland. The present structure is not designed to effectively deal with a large number of grievances requiring the attention of the Inmate Grievance Committee. Yet the principles and structure of the Inmate Grievance Procedure require that the Committee's role be fulfilled to assure the continued credibility of the procedure.

c. Administrative Involvement

The final arena of potential problem is the extent to which administrative personnel have been involved at the earliest stages of the grievance process. As has been pointed out, Deputy Warden Louisa Brown has been intensely involved with the procedure -- meeting almost daily with the clerk, sitting in on Committee hearings, and actively working for resolution at the earliest possible stages. This type of involvement has been largely responsible for the procedure's success to date, yet it also establishes a situation which may lead to future problems for the procedure.

One manner in which a problem may arise is by the sudden withdrawal of this involvement. Because Deputy Brown's involvement has been so intense and so consistent since the procedure began, it is not clear that

the procedure could continue to operate effectively in her absence.\* That is, we can not separate the success due to the intrinsic merits of the procedure and the work of its personnel from the success due to Deputy Brown's active involvement in the daily activities of the procedure. Should another person assume this role or should she reduce the level of her involvement in the procedure, the operational efficiency of the procedure may be seriously threatened.

Yet the continued high involvement of administrative personnel poses the same problem as outlined earlier. Joint inmate and officer resolution is not being allowed to occur, administrative input at only a designated level of appeal/review is being abridged, and the high involvement may come to be viewed by inmates as "close supervision" by the administration. Given the number of informal resolutions and the Deputy Warden's input at that level, the procedure may in time become an "ombudsman" system wherein the clerk is viewed as assistant to the Deputy Warden.

d. Recommendations

The following recommendations are offered in relationship to those problem areas of structure, grievances and administrative involvement.

1) With regard to the structure of the Grievance Committee and the resultant problems (potential or real) of communication, investment, and inmate credibility:

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\*Louisa Brown resigned as Deputy Warden in June, 1978 to assume the position of Warden at the women's facility. Since this occurred just as this report was being finalized, the evaluators have not had the opportunity to assess the impact of the resignation. The point is not moot, however, since the comments are applicable if the new Deputy Warden is expected to perform in a similar manner.

(a) that the staff member "pool" be eliminated, and that specified officers be allocated to the grievance committee for specified periods of time;

(b) that a lower-level administrative position be created to devote full-time to the procedure; the responsibilities would include orientation of new officers and inmates, training of new committee members, preparing monthly statistical tabulations, and monitoring adherence to time limits, performances of personnel, and implementation of resolutions.

(c) that the problems identified by the evaluation team concerning the present committee structure and its impact of potentially limiting participation of inmate members be addressed as a problem; however, that NO INMATE MEMBERS BE REMOVED except by attrition through transfer or parole to avoid endangering the credibility of the procedure;

(d) that an organized method of achieving comradery and promoting communication between inmate and staff committee members and the grievance clerks be established;

(e) that consideration be given to some form of written communication between committee members that covers the scope and activities of current grievances and their status toward resolution;

(f) that more systematic records be kept about the frequency of participation of individual committee members on hearing committees. These records should be utilized to assure constant rotation and, hence, involvement by all members.

(2) With regard to the Number and Type of Grievances and the resultant problems of commitment and credibility:

(a) that the inmates be encouraged by staff to submit more policy-oriented grievances and to appeal negative decisions to the next level. This will generate more visibility for the procedure.

(b) that even some of the incident grievances be forwarded to the Inmate Grievance Committee for input.

(c) that a systematic system of monitoring grievances be initiated to pinpoint those structural units, procedures, and so forth that may be causing incident grievances and that these incident grievances (although previously resolved to the satisfaction of the grievant) be brought before the Inmate Grievance Committee to document the need for systemic change rather than continued case-by-case resolution.

(d) that a monthly memorandum be developed for circulation among the officer/inmate members and chairpersons which includes: the total number of grievances to date; the number resolved at each level (or pending at each level); and policy changes that can be attributed to the grievance procedure. Furthermore, that some command staff such as the shift supervisors be asked to have the monthly newsletter circulated, initialed by the staff, and returned to the inmate clerk.

3) With regard to administrative involvement and the dilemma that reduced involvement may reduce efficiency while continued involvement may undermine credibility:

(a) that the Deputy Warden gradually, over a fixed and publicized period of time, withdraw from daily involvement in the resolution of grievances by the clerk of the Inmate Grievance Committee.

(b) that the Deputy Warden continue to monitor the frequency of grievances and the implementation of resolutions and continue active involvement in securing implementation.

(c) that the Deputy Warden encourage the clerk and Committee members to request her assistance when necessary, but only after they

have wrestled with the issue and need information or input from the administrative level.

(d) that the Alston Wilkes Society be considered as the group to permanently serve in the capacity of citizen monitors of the grievance procedure and the implementation of resolutions. These monitors would report to both the Commissioner and the Warden.

## D. Colorado

### 1. Implementation

Conditions at the male maximum security prison in Canon City, Colorado, long have been a concern in the state. The facility has an overcrowded tri-ethnic inmate population and an almost all-Anglo staff, set in a small prison town in south central Colorado. Canon City Maximum had a population of 623 inmates at the time the Inmate Grievance Resolution Procedure was instituted in June 1976. There was a major inmate strike in 1971. The prison was the subject of a scathing American Correctional Association study in 1973 and a Grand Jury report in 1974, which offered a harsh indictment of "staff chaos" and poor administrative leadership. There were major riots in May and September 1975; the May disturbance prompted a report by the State Attorney General's Office pointing to a major failure in "the duty to care for inmates," to "the incredible amount of violence inside the walls," and to the poor command procedures and "inaccessability" of the Superintendent and his staff.\*

Excerpts from the 1975 Attorney General's Report further underscore the conditions of the setting into which the CCJ and State correctional officials attempted to introduce an inmate grievance procedure in 1976:

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\*Report of the Attorney General on the Events and Causes of the May 18, 1975, Riot at the Colorado State Penitentiary. The 1974 Grand Jury Report is cited in this document.



- The current situation (of extreme overcrowding) breeds... contention and unrest, and has no rationale other than the penitentiary's penury and its inability to provide adequately for the inmates in its care. (p. 33)
- Race is a pervading fact of life in Canon City, where the polarization between the Anglo guard and minority inmate population, confirmed by the 1974 U.S. Civil Rights Commission study, has been paralleled by racial polarization within the inmate population. (p. 35)
- Above all... the penitentiary must begin to set up a meaningful counseling program and to implement an effective affirmative action program to recruit minority counselors. (p. 38) The penitentiary still does not have an affirmative action plan. (p. 40)
- The investigative team was shocked at the number of weapons available in the current penitentiary environment. Inmates and line officers agree that there is no difficulty in obtaining weapons, and such exotic weapons as handguns, homemade napalm, and homemade nitroglycerine have been reported. (p. 41)
- The inmates have altogether too much idle time. The daytime work program is totally inadequate to keep the inmates busy. (p. 45)
- The breakdown of the disciplinary system at the penitentiary has occurred over a long period, from the impact of new constitutional and legal requirements on an untrained staff and the continual bending of the rules by the penitentiary administration. (p. 48)
- Enormous amounts of contraband are introduced daily into the penitentiary. The worst problem is that of alcohol, which precipitates

the most violent incidents. Inmates can smuggle in drugs without guard assistance. (pp. 52-53)

- The administration of the penitentiary is perceived by both inmates and line officers as aloof and inconsistent, and the perceived quarrel between the Canon City administration and the Denver-based Division of Corrections has exacerbated the problem... The bickering and back-biting has not abated and has now reached the press. (pp. 54-55)
- (Citing the 1973 ACA Report:) The penitentiary cannot be efficiently staffed due to its design... It now takes a disproportionate amount of manpower to man the towers...\* At the same time the main cellhouse is staffed with four officers to supervise 350 inmates. (pp. 56-57)

In addition the study indicated 110 reported violent incidents in the prior seven years, resulting in 10 deaths, a total of five convictions, and 35 instances where the log simply shows "Victim refused to testify." (pp. 64-65; Appendix II)

It was in this context that the CCJ staff agreed, late in 1975, to undertake the development of inmate grievance procedures in the Canon City maximum facility. Initially Gary Bowker at the LEAA regional office in Denver had contacted Singer about the possibility of working in Canon City, and with the help of Diane Callahan (the corrections specialist in the LEAA Colorado State Planning Agency), negotiations were begun with the Director of Corrections, Gerald Agee. The Governor

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\*Our data indicate that nearly half of all security officers -- 56 of 114 -- are needed to man the towers.

had fired Agee's predecessor, and brought Agee in to head the Division from his position as Director of Youth Services for the State. Singer said in an interview early in 1976 that initiation of the inmate grievance procedure "has the Governor's blessing."

After deciding to enter Colorado and eliciting the necessary commitment from the Division, CCJ staff met with Agee and all but one of the 12 facilities superintendents for a day on December 10, 1975, to discuss plans for instituting the procedure. The idea received a mixed reception from the superintendents, but Superintendent Nick Evans of Canon City maximum was willing to proceed -- reluctantly -- on a 90-day "experimental" basis. CCJ staff stressed the need to work slowly and cautiously.

Despite strong support from Agee (and, it appears, from the Governor), a number of obstacles to effective implementation can be identified, among them: a high level of hostility and suspicion on the part of many of the superintendents, a number of postponements of important meetings and training sessions, an obvious lack of commitment to the procedure on the part of Evans as evidenced by his demeanor in the first training session for administrative personnel at maximum, a great deal of dead time for inmates (resulting in gang organizing and aimless lounging in the yard), lax security procedures, a high level of tension between staff and inmates, and a general aura of mistrust and cynicism permeating relationships in the facility.

In spite of these obstacles, the Inmate Grievance Procedure went into effect at the Colorado State Penitentiary in Canon City on June 17, 1976, following half a dozen site visits by CCJ staff to develop the design and conduct training with administrators, line staff and inmates.<sup>16</sup>

Time 1 surveys were administered and interviews conducted in the facility before the procedure became operational, and our concern about the general receptivity of the situation was heightened by what we learned on site and in a series of interviews within and outside the Division of Corrections in Denver. While the superintendent seemed optimistic, saying "We could not have picked a better time, because of other changes already in effect," further probing gave no indication that the program was viewed as a formal means for obtaining resolution of inmate complaints. Indeed, it appears that the superintendent did not inform his own staff of the forthcoming procedure. Interviews with assistant superintendents indicated that they had received limited information about the grievance procedure and, therefore, were unaware of how it would affect their area of responsibility. The Hearings Officer (i.e. the coordinator of the existing process most likely to be affected by introduction of the grievance procedure), said he had heard virtually nothing about the new procedure until he talked with the evaluators on June 15, 1978.

Laue had grave misgivings about whether the procedure would take root and be effective, as summarized in a July 22 letter to Research and Planning Director Norma Phillips. The high level of staff resistance, the absence of a commitment of sufficient time of a staff person to attend to the detail of the procedure, and the absence of a plan for ongoing staff training and orientation all were noted. The letter concluded with another "grave concern":

It appears that the facility has an inordinate amount of dead time and a dearth of programs -- and both conditions,

I believe, lead to aimlessness, gang organizing and interpersonal as well as intergroup tension. I consider these conditions to be negative predictors regarding the inmate grievance system, and I do not think the new procedures can get a fair test when begun in this context.

a. The Prison Climate

A climate of tension and hostility characterized the Colorado State Penitentiary when the Inmate Grievance Procedure was introduced in June, 1976. The inmates were divided into three factions -- white, black, and brown -- and violent episodes among these groups resulted from the struggle of each group to gain control over such illicit inmate activities as the sale of drugs and to assert its position of dominance. The conflict was largely between the black and Hispanic inmates; white inmates were the minority and were less well organized. The ease of access to weapons and the frequent inmate assaults upon inmates also generated a high level of tension among correctional officers. The recent inmate riots contributed to the correctional officers' hostility toward and distrust of inmates.

The degree of tension within the prison is illustrated by the responses from both inmates and correctional officers to the questionnaire administered prior to the operation of the Inmate Grievance Procedure. As is evident in Table III-55, nearly 95 percent of the inmate and correctional officer respondents indicate that the feeling within the prison was "tense." More specifically, 38.7 percent of the inmates and 37.0 percent of the officers report that assaults between inmates and staff occur at least weekly. Assaults between inmates

are reported to occur at least weekly by 80.3 percent of the officers and 76.2 percent of the inmates. As ~~might~~ be expected from the frequency of assaults, the level of verbal abuse is also quite high: nine of ten officers reported that verbal abuse of staff by inmates occurs daily, and nearly half of the inmates reported daily verbal abuse of inmates by correctional officers.

The data presented in Table III-55 also reveal a high level of property destruction and theft among inmates. In response to the question asking the frequency with which something in the prison is damaged by an inmate, over half the inmate respondents and 92.7 percent of the officers indicate that such activities occur at least weekly. Similarly nearly all officers and more than three-fourths of the inmates report that something is stolen from an inmate at least weekly.

These data, together with observations by those familiar with the prison, suggest a prevailing climate of tension and hostility within the prison. While this may be viewed as an indication of the need for an effective grievance resolution mechanism, it must also be recognized as a rather hostile environment for the implementation of any mechanism calling for the cooperative effort of inmates and correctional officers.

A final point is necessary. The hostile and tense climate within the prison may be seen in retrospect as a reason for the failure of the Inmate Grievance Procedure. Certainly it will explain a great deal of the initial negative response to the procedure by officers and inmates (discussed below). Yet this factor alone cannot account for failure. The climate at Attica was not substantially different

TABLE III-55

CORRECTIONAL OFFICER AND INMATE RESPONSES TO SELECTED  
ITEMS PERTAINING TO VIOLENCE, COLORADO  
(June, 1976)

	Correctional Officers	Inmates
% Agree, feeling in here is tense	94.5 <sup>a</sup> (N=72)	94.7 (N=114)
% indicating inmate-staff fights <sup>b</sup>	(N=65)	(N=109)
a. never occurs	10.8	17.4
b. occurs monthly	52.3	42.2
c. occurs weekly	23.1	20.3
d. occurs daily	13.9	18.4
% Indicating inmate-inmate fights <sup>b</sup>	(N=71)	(N=109)
a. never occurs	0.0	3.7
b. occurs monthly	19.8	18.3
c. occurs weekly	60.6	55.1
d. occurs daily	19.7	21.1
% Indicating verbal abuse of staff by inmate and of inmate by staff <sup>b,c</sup>	(N=72)	(N=114)
a. never occurs	0.0	7.7
b. occurs monthly	2.8	13.2
c. occurs weekly	4.2	30.6
d. occurs daily	93.0	47.4
% Indicating something in prison damaged by inmates: <sup>b</sup>	(N=72)	(N=105)
a. never occur	0.0	19.1
b. occur monthly	7.0	28.6
c. occur weekly	11.2	25.7
d. occur daily	81.5	24.7
% Indicating something stolen from inmate: <sup>b</sup>	(N=70)	(N=113)
a. never occur	0.0	8.8
b. occur monthly	5.8	10.6
c. occur weekly	24.3	36.3
d. occur daily	70.0	42.4

<sup>a</sup>The numbers in parentheses are the total number of respondents answering that particular item of the survey.

<sup>b</sup>The percentages may not total 100% because the "don't know" responses have been omitted in the presentation.

<sup>c</sup>Correctional officers responded to a question pertaining to verbal abuse of staff by inmates; inmates responded to a question pertaining to verbal abuse of inmates by staff.

than that at the Colorado State Penitentiary. In both cases there was a high level of tension and a high frequency of assaults, thefts, and damage reported by both officers and inmates. The key difference, it appears to us, lies in the degree of administrative support for the procedure, the absence or presence of a legal mandate, and the level of administrative effort expended to create a viable, legitimate Inmate Grievance Procedure. This is discussed in more detail elsewhere in our report.

b. Correctional Officer Responsiveness

The receptivity of correctional officers to the Inmate Grievance Procedure can be viewed in terms of both their responsiveness to any new procedure designed to hear inmate grievances and their attitudes toward this particular model of a grievance mechanism. Data presented in Table III-56 indicate a resistance to any new program. Slightly over 80 percent of the officers indicate that inmates already have too many legal rights, and more than 90 percent feel that the authority of the officer is undermined by changes and reforms. More relevant, however, is the finding that nearly all of the officers feel they will help inmates with problems. In fact, few officers indicate that inmates with complaints should seek help from someone other than an officer, counselor or teacher.\* The established grievance machinery,

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\*It is unfortunate that teacher and counselor were combined as one response choice and cannot now be analyzed separately. In this Colorado prison, "counselor" is an official term for those correctional officers who are assigned the responsibility of dealing with inmate questions and concerns about such matters as hospital visits, parole hearings and classification board meetings. It may well be that the officers who approve of an inmate's use of "teacher or counselor" are approving of the correctional officer counselor rather than the teacher.



TABLE III-56

ATTITUDES OF CORRECTIONAL OFFICERS TO INMATE  
GRIEVANCE PROCEDURE AT IMPLEMENTATION, COLORADO  
(June 1976)

	<u>Colorado<sup>a</sup></u>
% Agree, inmates here have too many legal rights	82.6 (N=69)
% Agree, new changes and reforms are weakening the authority of the officers	91.3 (N=69)
% Agree, if inmates come to me for help, I will try to help them	97.1 (N=68)
When inmate has a complaint, who should he go to first about that problem?	(N=70)
a. another inmate	1.4
b. an officer	35.7
c. a counselor or teacher	51.4
d. the Inmate Awareness Committee	4.3
e. the Superintendent	0.0
f. other	7.1
% Agree, most of the problems inmates have are caused by inmates themselves	90.0 (N=70)
% Agree, inmate grievance procedure will do more harm than good	42.3 (N=71)
% Agree, inmate grievance procedure will solve some of our big problems	14.1 (N=71)
% Agree, inmate grievance procedure shows common sense	25.7 (N=70)
% Agree, inmate grievance procedure will increase complaints about trivial matters	79.7 (N=69)
% Agree, inmate grievance procedure will help inmates and hurt staff	50.0 (N=68)
% Agree inmate grievance procedure can do serious harm	58.0 (N=70)

<sup>a</sup>The numbers in parentheses are the total number of respondents answering that particular item of the survey.

the Inmate Awareness Committee, does not appear to have much support among correctional officers.

More specific questions directed to the Inmate Grievance Procedure are also reported in Table III-56. Few officers envisioned that the procedure would be useful in dealing with the major problems in the prison, and only one-fourth of the officers thought the procedure showed common sense. On the other hand, half of the surveyed officers felt that the procedure would hurt the staff, over half indicated that the procedure can seriously jeopardize existing conditions, and over three-fourths agreed that the procedure would increase trivial complaints by inmates.

In summary, correctional officers perceived no need for an inmate grievance resolution mechanism, felt such an innovation would weaken their authority vis-a-vis the inmate and undermine their desire that inmates with problems and complaints seek out officers, and anticipated that the new procedure would have little positive impact on current conditions.

c. Inmate Responsiveness

Survey items designed to ascertain inmate receptivity at the time of implementation demonstrate that the inmates were seeking a viable mechanism to deal with their grievances and that the Inmate Grievance Procedure was favorably viewed by the inmates. It is of interest in light of the correctional officers' stated willingness to help inmates that only a small fraction of the inmate respondents felt that staff are willing to help inmates. The data in Table III-57 also indicate that inmate complaints are most likely to be taken to

TABLE III-57

ATTITUDES OF INMATES TO INMATE GRIEVANCE PROCEDURE  
AT IMPLEMENTATION, COLORADO  
(June, 1976)

	Colorado <sup>a</sup>
% Agree, we have no influence on how we are treated here	60.6 (N=109)
% Agree, most of the staff are willing to help an inmate	4.4 (N=113)
If you have a complaint about something, who would you go to first?	(N=108)
a. another inmate	23.1
b. an officer	8.3
c. a counselor or teacher	15.7
d. the Inmate Awareness Committee	25.9
e. the Superintendent	8.3
f. other	18.5
% Agree, the new Inmate Grievance Procedure will do more harm than good	12.8 (N=109)
% Agree, the new Inmate Grievance Procedure will solve some big problems	31.8 (N=110)
% Agree, the new Inmate Grievance Procedure shows common sense	64.5 (N=110)
% Agree, most inmate complaints will be worked out "very" or "pretty" well with Inmate Grievance Procedure	44.6 (N=110)
% Agree, most inmates will not file grievances with new procedure	36.3 (N=113)
% Agree, inmate grievance procedure will help inmates and hurt staff	8.1 (N=110)
% Agree, inmate grievance procedure cannot do serious harm	47.7 (N=109)

<sup>a</sup>The numbers in parentheses are the total number of respondents answering that particular item of the survey.

the Inmate Awareness Committee or another inmate rather than to an officer, counselor or teacher. Note, however, that even the Inmate Awareness Committee -- the formally established mechanism to resolve inmate grievances -- receives the support of only one-fourth of the inmates.

Specific items pertaining to the newly established Inmate Grievance Procedure, also reported in Table III-57, suggest that inmates viewed this new mechanism with some skepticism; yet there is also an indication of relatively strong support. Only 12.8 percent agreed that the procedure would do more harm than good, nearly two-thirds felt the procedure shows common sense, nearly one-third held hope that the procedure would be able to deal with some of the major problems in the prison, and somewhat less than half felt the new procedure would be able to work out inmate grievances "pretty well" or "very well". In short, the level of inmate responsiveness to the Inmate Grievance Procedure shortly before implementation was characteristic of that found in other sites. While their responsiveness may be described as guarded, suspect and cynical, it does not appear to be any more hostile than that of inmates of other prisons.

## 2. Operation of the Grievance Procedure

The grievance procedure in the Colorado State Penitentiary operated for a little more than seven weeks before it was terminated by administrative fiat following the stabbing death of an inmate on August 10, 1976. At that time, the entire institution was locked-down, all programs and most services were terminated until further notice, and a special session of the Colorado legislature was called (eventuating in additional appropriations for the Division of Corrections).

During the operation of a grievance procedure, 134 grievances were filed. In the course of a site visit November 8-9, 1976, Hepburn was able to retrieve 77 of the individual grievances from the storeroom where they literally had been dumped during the sweep of the facility that followed the August 10th incident. No other grievance records were available, so we have no way of knowing whether our sample is representative of the total population of grievances.

The limited data available on the disposition of the grievances, and Hepburn's November interviews and conversation with top administrators, inmates, and with Gordon Roetker (a correctional officer who worked diligently before and throughout the operation of the procedure to make it work), indicate that the procedure had begun to function reasonably well, despite many problems. This judgment is confirmed by CCJ staff. Grievances were being filed, informally investigated, and heard by the Committee, then sent to Superintendent Evans. Evans both rejected and sustained inmates' positions -- although there was no mechanism beyond a written "yes" from the superintendent's office for implementing or publicizing policy or procedural changes resulting from the grievance procedure. Some appeals went to Denver and of those, some went to outside arbitration, as detailed later in this section.

While only 77 cases are available for analysis, a case log shows the distribution of the filing of the total number of 134 grievances over the seven-week period. There was an initial flurry of filings (42 cases -- or 31 percent of the total) in the first week of the procedure's operation, then the frequency leveled off and had reduced to only seven during the seventh and final week (see Figure III-35).

NUMBER  
OF  
GRIEVANCES  
FILED

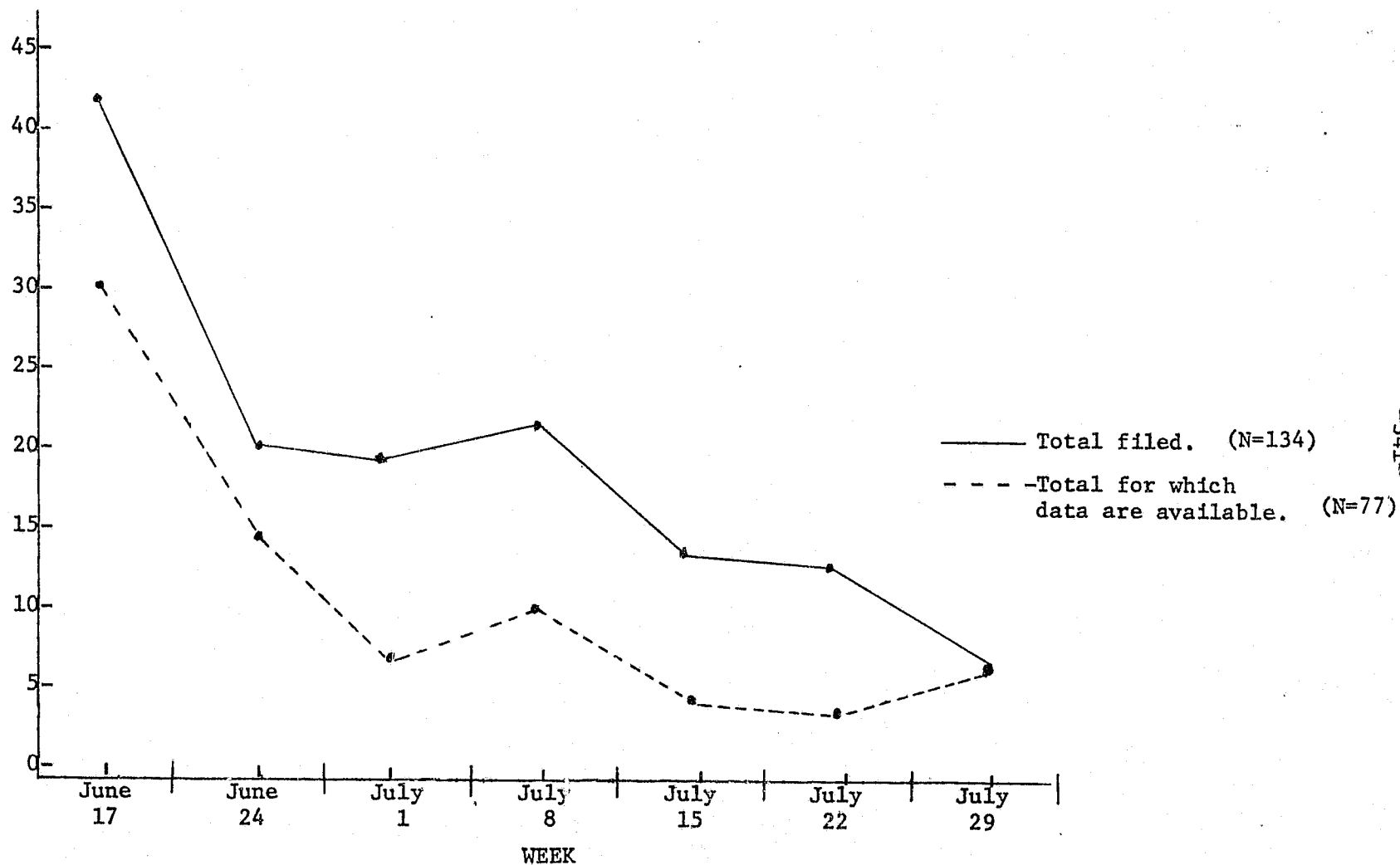


FIGURE III-35. GRIEVANCES FILED BY WEEK, COLORADO  
STATE PENITENTIARY

While data on disposition of all 134 grievances are not available, Table III-58 indicates that, of the 77 cases for which the record was retrieved, only five (six percent) were informally resolved -- a much lower percentage than in the other systems in which the CCJ has worked. Thirty one (40.3 percent) were resolved at the level of the Inmate Grievance Resolution Committee, 41 (53.3 percent) went to the Superintendent, 9 (11.7 percent) to the Director of Corrections, and six (7.8 percent) to arbitration. While it is not possible to determine at what stage (or, in many cases, whether) resolution occurred, it is clear that the procedure was involving corrections personnel at many levels in the system -- and, therefore, making its impact felt.

The greatest proportion of the 77 grievances for which we have data were classified as Lost Inmate Property, representing a frequency of 15 (19.5 percent). Lost Inmate Property includes grievances about missing items of clothing from the laundry, lost property from cells, the boxes from home picked up from the package room with missing items (many instances were verified in this category). The biggest single issue within this category is money missing from inmate accounts. Again, many cases were verified.

The Classification category contains nine items (11.7 percent), most of them policy-related issues about criteria-inconsistencies, such as mandatory program participation (which includes work) in the face of the reality that only a portion of the inmates can be accommodated by the programs available.

TABLE III-58

TYPE OF GRIEVANCE BY STAGE IN THE GRIEVANCE PROCEDURE  
 COLORADO STATE PENITENTIARY  
 (June 17 - August 4, 1976)

Type of Grievance <sup>a</sup>	Number Reaching Each Stage					
	Filed	Informal Resolution <sup>b</sup>	I.G.C. Hearing	Superintendent	Director of Corrections	Arbitration
Housing	3	0	3	3	0	0
Grooming Standards	0	0	0	0	0	0
Temporary Release	3	0	3	3	2	2
Inmate Property-Requested	5	0	5	3	1	1
Inmate Property-Missing	15	0	15	10	1	0
Personal Conduct-Inmates	0	0	0	0	0	0
Personal Conduct-Staff	4	0	4	0	0	0
Security	7	1	6	3	0	0
Visiting Privileges	2	0	2	0	0	0
Support Services	8	1	7	4	2	1
Safety	0	0	0	0	0	0
Inmate Rights	4	0	4	4	0	0
Programs	8	0	8	2	0	0
Educational Programs	0	0	0	0	0	0
Classification	9	1	8	6	2	1
Inmate Pay	4	0	4	1	1	1
Miscellaneous	5	2	3	2	0	0
TOTALS	77	5	72	41	9	6

<sup>a</sup>This categorization scheme reflects that used in the New York System, with the addition of categories for Classification, Inmate Pay, and Inmate Property-Missing.

<sup>b</sup>The data available to us do not record attempts at informal resolution, and corroborative interviews and observations indicate that the grievance clerk for the initial five weeks did not informally investigate grievances. Therefore, data are not included for this category with the exception of those classifications where informal resolutions were reported.



Program grievances included work assignments and recreation, with the eight filings (10.4 percent) split between these two issues.

Support Service includes medical service, and eight (10.4 percent) grievances are represented here. All but one pertained to poor medical emergency care.

Medical service is in a separate division within the State, and prisoner grievances carry little weight there. Superintendent Evans only referred questions and issues to the Medical Director without recommendation,

Other categories with smaller frequencies but in which important issues were raised included:

Staff Action. Four grievants complained about staff seizure of inmates and their placement in disciplinary lock-up on the basis of "snitch notes" or "general harassment".

Security. Seven grievances inmates seized or in lock-up without charges pending investigations, who were later released, or whose cell was searched with no inmate present.

Inmate Rights. Two grievants requested the right to be represented by legal counsel at disciplinary and parole board hearings. A third case was a grievance against the state policy that has no provision for the \$100 release money for a paroled inmate from out-of-state. A fourth case was a request for legal typing service for inmates in administrative segregation.

Ten of the total grievances filed were from past events where redress was still being sought. It is not possible to determine from the records available to us how often final resolution occurred within

the time limits for the procedure. However, analysis of the records indicates that grievances were systematically filed twice weekly, with the necessary Committee hearings scheduled for one week later. In general, grievances were forwarded to the superintendent within 48 hours for his consideration.

The Colorado design provided for complaints to be processed through all stages for final resolution within 55 days. Records further indicate that grievances filed before June 30 had reached arbitration within 35 days. This provides every indication that the Inmate Grievance Procedure was adhering to the specified time limits.

### 3. Analysis: Problems, Termination, and Institutional Change

Hepburn's visit to the Canon City facility November 8 and 9, 1976, provides the major basis for a reflective analysis of the operation of the inmate grievance resolution procedure and its impact on the institution and its functioning. Operation of the procedure was terminated on August 10, 1976, when the entire facility was locked-down following the stabbing death noted earlier in this section. Although the procedure had developed visibility (and apparently some credibility, at least among inmates) in the facility -- and although there had been numerous official recommendations for the development of some systematic procedure for dealing with inmate grievances<sup>17</sup> -- there has been no attempt to re-institute it or a comparable process since the lock-down. Singer and other CCJ officials made numerous attempts through telephone calls and letters in August and September to meet with Agee and/or Evans to discuss the future of the procedure, but Colorado officials were unresponsive. Agee, Evans, and others had been invited and expected

to participate in the conference of commissioners and other officials from the other three states at Keystone, Colorado, September 20-22, 1976, but they did not appear.

Interviews in Canon City in November indicated that a major structural overhaul had taken place in the prison aimed at achieving tighter administrative control, and with no role for inmates in working out their complaints similar to the role they had played while the Inmate Grievance Resolution Program was in effect. The major changes included (1) reassignment of staff, (2) a strict behavior modification program relating inmate classifications to performance on selected criteria (work, discipline, etc.), (3) reclassification of all inmates (with review every 30 to 90 days), (4) confiscation of all inmate personal property (to be returned as rewards for good behavior), (5) removal of money and tokens from inmates, and (6) stricter visiting procedures. Inmates who achieve the two highest levels in the classification system are paid and earn good time, and those at the highest (honor) level have a slightly larger cell and the privilege of having their own property in the cell. Of the 604 inmates in the population at the time of the November site visit, 226 or 37 percent were in protective custody, administrative segregation, or in the lowest classification ("Regressive 1" -- a disciplinary rather than a working status). So the traditional lack of programmatic and work activity at the facility apparently continued after the lock-down and restructuring.

In discussing the operation and impact of the grievance procedure, the superintendent, assistant superintendents, officers, and inmates interviewed gave mixed reviews. Assistant Superintendent James Brittain

(the highest administrator with direct day-to-day responsibility for the procedure), thinks the grievance procedure was a good idea and that June was a good time to initiate the procedure, primarily because racial incidents, gang wars, etc., were at a minimum. He feels that the grievance procedure at least significantly reduced the number of letters that he and Superintendent Evans received from inmates. Apparently Brittain and the Superintendent, upon receipt of a letter, would return it to the inmate indicating that it was something that should have been taken up through the grievance procedure. When asked about the resistance and hostility by the staff members toward the grievance procedure, Brittain acknowledged that these continued to exist. When asked how it would be possible to initiate guard involvement to obtain their support for the grievance procedure, Brittain suggested: (1) rotation of the Committee member more often to provide a better understanding, (2) demonstrating through the grievance procedure how ambiguous or outmoded procedures can be removed, and (3) making the staff aware that the Grievance Committee will make their job easier and safer if the inmate can take his grievances to the Committee, because inmates become more "manageable".

Captain Harold Harris, a member of the Committee, felt that certain changes needed to be made in the grievance procedure. He felt that the Committee was much too time consuming, and that fewer personnel should operate it -- especially fewer or no command personnel. He also mentioned that frivolous issues comprised about a third of the total grievances and should be omitted. The frivolous issues, Harris argued, were in part due to the inadequate clarification of what is and what

is not grievable, and the fact that the clerk was put in the position of having to tell inmates whether the grievance was fileable. Harris admitted that he did not initially think the grievance procedure would work, but that it did in fact work.

Both Brittain and Evans agreed that the incident in August was more of an excuse for, rather than a cause of, the general lock-up and discontinuation of prison programs. Evans indicated that he had wanted to "gain control of the prison" from the inmates for quite some time. He cited an incident in March, in which the inmates went on a sit-down strike, as an example of an attempt by the administration to regain control. He apparently felt that this effort in March failed, and that the incident in August was sufficient to promote the general lock-up. Brittain and Evans also both indicated that the lockup provided a rationale for political activity. A special session of the state legislators was called and, as a result, a new multi-million dollar package was passed. Included are the following: (1) a new law with a mandatory five-year penalty for any inmate in possession of contraband, (2) appropriations for nine additional work supervisors, (3) communication equipment (26 mobile pack unit radios and two base stations) and civilian dispatchers, (4) 13.5 positions in security to provide escort services for those inmates housed in Dorm 3 under administration segregation or classified as Regressive-1's, and (5) 17 new counselor positions.\*

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\*Counselors function more as monitors than clinicians in that their task is to attend to a small group of inmates to insure that they report to the physician, attend adjustment hearing committees, etc.

Roetker, we conclude that the grievance procedure did not operate as well as it might have for the following reasons:

1) The Grievance Clerk was ineffective; apparently he did not weed out the improper grievances, nor did he try to resolve grievances informally. It was not until after the fifth week of the seven week life-span that he was removed and a new clerk installed. The new clerk seems to have handled the job well during his short tenure.

2) The Committee of inmates and officers did not function for hearings as outlined. As Evans stated, "they organized but made no decisions." Apparently when a Hearing Committee met, it did not recognize its authority to make decisions without the sanction of other members from the inmate or officer pools.

3) Both Evans and Agee failed to carry out their assigned responsibilities. Both agreed to support the recommendation of the committee, yet neither followed through on those recommendations. After a period of three to four weeks, Roetker assumed the initiative and saw to it that the appropriate personnel were given copies of the resolution signed by Evans or Agee, attaching a memo indicating what these personnel were to do in light of the resolutions.

4) The grievance procedure suffered certain built-in, structural problems. One such problem was the distinction between what is and what is not grievable. With regard to classification, for example, it was never clear to Evans, Roetker, Harris and to committee members with whom we talked whether classification is or is not grievable. Should classification be grievable, a related problem exists: many of the decisions are made at the medium security unit, and as a result of that

Superintendent Evans acknowledged that he would like some vehicle for inmate/staff communication. He feels that the grievance procedure as designed took up too much staff time. He, like Harris and Brittain, felt the size of the committee should have been reduced.\* Evans feels that grievances on classification should be omitted, and he would like to see trivial grievances omitted, but he recognizes the difficulty of doing the latter. The major advantage of the grievance procedure, according to Evans, rests in communication, i.e., it provides a controlled outlet for discussion. When asked if he viewed the grievance procedure as a "window-in," Evans indicated that he already was in close contact with the facility and routinely received both inmate letters and disciplinary reports.\*\* Evans further stated that the actual problem-solving aspect of the grievance procedure was less real than was the communication effect. He said he envisioned plans for reviving the grievance procedure or some variation of the grievance procedure in the future. He would like to make certain changes as noted above before reviving it, and at this point its revival is a low priority item. He would not speculate on when the grievance procedure or its variation might be implemented.

As a result of information obtained in discussion with Brittain, Evans, Harris, Security Assistant Superintendent Goertz, and especially

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\*The Colorado design utilized the large inmate and officer pool structure described in the detailed South Carolina section of this report. The large committee was due to the presence of three ethnic groups. CCJ felt the size could be altered during the scheduled 90-day review.

\*\*Our observations of Colorado compared to facilities in other states led us to a contrary conclusion.

decision, the inmate is sent to the maximum security unit, the grievance is entered at maximum, but the medium security unit refuses to acknowledge it. Another example occurs in the hospital, which is under the Department of Institutions and grievances cannot compel change. Another form of structural problem is the inadequate commitment of resources: no funds were allocated for replacement of line or command personnel assigned to the committee, although requested, no funds were expended for staff training, and no funds were expended for a supervisor or coordinator position. Finally, the volume of grievances placed sufficient stress on the committee membership structure to produce a negative effect on the hearing committee's decision making power, similar to that discussed in the South Carolina section of this report.

In November 1976, Hepburn felt from talking with inmates that the inmate grievance procedure still retained some credibility and had it been re-started immediately, it would have had a good chance of being accepted and utilized by the inmates. But Evans, Brittain, and others had indicated that they do not want to renew the grievance procedure in its previous form for fear that the inmates would use it to grieve the changes made since August 10th. Therefore, it seems likely that no grievance procedure will be initiated in the foreseeable future. If a procedure were constituted, we predict that grievances against policy and procedures will not be permitted.

#### 4. Evaluation of the Five Impact Objectives

Because the grievance procedure was aborted in the August 10, 1976, lock-down, and because the dramatic structural changes in the Canon



City facility have severely contaminated the pre/post experimental design, it is not possible to offer an analysis of the impact of the Inmate Grievance Resolution Procedure on the five impact objectives. Inferences may be drawn from the data and interpretations reported previously in this section, but they cannot be viewed as scientifically substantiated.

In place of analysis or inferences, we offer the following brief observations regarding the impact objectives.

a. Institutional violence

The Colorado State Penitentiary has a long and brutal history of inmate-on-inmate violence, as cited earlier in this and other reports. Three independent sources (one inside, two outside of the facility) told us that the high number of inmate-on-inmate assaults are tolerated or even tacitly encouraged by line staff. It is unlikely that the seven-week operation of a grievance system that was tolerated by the administration, resisted by staff, and only briefly tested by the inmates could have any significant (or measurable) impact on the level of violence within the facility. Furthermore, the massive structural changes could have a direct effect on this objective: for example, the larger proportion of the population now in some form of lock-up would have some effect on the amount of violence. We must conclude that the level of violence will remain high at the facility until some of the problems we -- and others -- noted in our visits are addressed.

b. Inmate Perceptions

We have no observations to report, except that some of the inmates with whom Hepburn spoke in his November site visit expressed some positive feelings about the procedure itself. We might speculate that

inmate perceptions of the fairness and efficiency of the facility in dealing with inmate complaints should worsen following the short-term operation of a procedure whose outputs got no implementation from the Superintendent or the Commissioner, and which was summarily terminated following a not-atypical violent incident in the prison.

c. Reduction in Litigation

No data are available. Hearings officer Arthur King was nonplussed at the prospect of instituting the grievance procedure during our June 1976 visit. Whatever changes may have occurred regarding justiciable grievances since then certainly could not be attributed with confidence to the seven-week operation of the procedure.

d. Number and Clarity of Written Policies

As a result of the lock-down and the attempt to regain administrative control of the facility, a revision of policies and procedures (often recommended in previous reports on Canon City) was undertaken, whose aim was to reduce their number from 96 to approximately 30. This was in process during Hepburn's November 1976 site visit, and was to be accomplished by December 1. Here again, no connection can be imputed between the instituting of the grievance procedure and this revision -- which is essentially a long-overdue administrative action precipitated by a violent incident and correctional politics in Denver and Canon City.

e. Citizen Involvement

There was no indication of citizen involvement in building or implementing the procedures, with the exception of the use of arbitrators. Mr. Brauer, a Denver attorney, recruited a group of volunteers to serve as arbitrxators. This group consisted of persons, not necessarily

attorneys, experienced in arbitration of grievances. Representatives of CCJ met with this group on several occasions to inform them of the Inmate Grievance Procedure process and the group's role as arbitrators in the process. Only one grievance went to this group for arbitration, however.

As with the other states, an independent citizen effort in monitoring any grievance procedure is crucial to its success and continued autonomy, in our judgment. This would be especially critical in Colorado, for the prison and the city of Canon City are so historically ingrown that the independent operation of a grievance system (or any system aimed at ensuring fairness in the processing of inmate problems) is especially hard to achieve.

\* \* \*

Our assessment of the Colorado experience -- made independently and often, as noted throughout this report -- was pointedly summarized by Alan Breed at the September 1976 Keystone, Colorado, gathering which Colorado correctional officials did not attend. There Breed, who recently had visited Canon City, pointed to several reasons for the failure of the procedure to take root at the facility, among them (a) lack of a climate for change, (b) a history of non-delivery on promises to inmates, (c) no strong identity of inmate groups, (d) lack of administrative support for the procedure below the Director's office in Denver, and (e) lack of staff training for implementation. His conclusion echoes ours:\* "My position now is that grievance procedures should not be introduced without prior legislation."

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\*Second Quarterly Report to the Center for Community Justice from the evaluators, April 22, 1976.

### E. Kentucky

Interest by the Kentucky Bureau of Corrections in the inmate grievance procedure first became apparent when Commissioner David Bland and Ombudsman Mike Montgomery attended a Center for Community Justice workshop, sponsored by the University Research Corporation, in the fall of 1976. As subsequent meetings resulted in more specific plans for implementation, it was felt that Blackburn Correctional Center, a minimum security unit in Lexington housing approximately 150 men, would be the suitable facility to introduce the procedure on a 90-day trial basis. Neither the Bureau of Corrections nor the Center for Community Justice anticipated a large number of grievances from Blackburn, and both felt that this would enable the Bureau to slowly institutionalize the procedure while becoming familiar with the effects such a procedure would have upon personnel, financial resources, and inmate satisfaction. In addition, the Superintendent at Blackburn Correctional Center was highly receptive to the inmate grievance procedure.

#### 1. Development and Implementation

A committee of inmates and staff at Blackburn was trained by the Center for Community Justice and designed the procedure to be used. CCJ staff provided the orientation to the inmates, and the inmate grievance procedure was initiated in May, 1977. Since Blackburn is comprised of three distinct units (First Offender Unit, On-The-Job Training Unit, and Career Development Unit), the resultant design called for a separate Committee within each unit. Each Committee consists of two staff members and two inmate members. The two staff members are the Unit Director and his designee; the Unit Director also serves as Committee chairman.

The two inmate members were initially selected because they were the members of the Resident Council; both inmate members also serve as "clerks" to assist grievants in completing the necessary grievance forms.

The two staff members of the committee are not correctional officers. Indeed, the 26 correctional officers employed at Blackburn were not involved in the design of the procedure and received little orientation to the process. As established, the Inmate Grievance Committee will always consist of the Unit Director and his designee and those two inmates who are elected to the Resident Council.

The length of time between the decision to inaugurate an inmate grievance procedure and the actual operation of this procedure was too short to enable the evaluation team to design and distribute questionnaires prior to implementation. Since it was anticipated that the experience at Blackburn was only a prelude to implementation elsewhere, the evaluators reasoned that this type of data gathering would be carried out in another Kentucky facility.

A representative of the evaluation team met with Montgomery in Frankfort after the procedure had been in operation for only a few weeks. This meeting centered around the Bureau's research objectives, types of data needs to evaluate those objectives, and existing limitations in securing those types of data. In addition to the preparation of a short questionnaire to be administered to inmates and staff when the procedure is expanded elsewhere in the system, the meeting also resulted in the design of two forms to be utilized at Blackburn. Since grievances were not being "tracked" at Blackburn, a grievance log was designed to record the processual flow of each grievance through the procedure; this enabled

the Ombudsman to monitor the grievances and to note the status and outcome of any particular grievance. In addition, a form was designed to record specific information about each grievance. The data on these forms, which included such information as the nature of grievance, the level of final review, and the disposition of the grievance, could be quickly analyzed to enumerate the characteristics of the grievance, grievant and outcome. Since no one at Blackburn was designated as a "clerk" or "coordinator," it was decided that one inmate would be assigned the responsibility to keep records for all three autonomous committees, maintain the grievance log, and complete the grievance information sheet for all grievances filed within Blackburn.

## 2. Operation and Expansion

By the end of July 1977, the experience with the Inmate Grievance Procedure at Blackburn was considered a success by the Commissioner, the Ombudsman and the Superintendent. Nearly 60 grievances had been filed, and most had been dealt with by the Inmate Grievance Committee. Twelve grievances, including two which had been referred to outside review, were received by the Commissioner. The Acting Superintendent felt that most of the grievances were legitimate issues, and that most had been resolved in favor of the grievant. Furthermore, he reported that the procedure had clarified some existing directives, illuminated some persistent problems which had failed to surface previously, and resulted in two new directives -- one pertaining to furloughs and one pertaining to meritorious good time -- applicable to the entire Bureau of Corrections.

A meeting was held on July 27 between Commissioner Bland and staff from the Center for Community Justice to review the progress at Blackburn and plan the expansion of the procedure into other facilities. The CCJ offered its assistance in implementing the procedure elsewhere in Kentucky, and proposed that any such expansion be done expediently. This argument was premised upon two factors: (1) the successful experience at Blackburn had provided significant information about the utility and constraints of the procedure in a minimum security facility, but little additional information would be forthcoming now; (2) the length of time for continued involvement by the Center was decreasing and the likelihood of their assistance would be reduced when the LEAA grant terminated on January 31, 1978.

The Commissioner agreed that the inmate grievance procedure should be implemented elsewhere as soon as possible, and suggested it be established in either the women's facility or in additional minimum security units. The CCJ, however, argued that the Bureau already knows how well the procedure works in a minimum security facility and that the time was appropriate to move to the maximum security facility in LaGrange. This suggestion was met with initial resistance by the Commissioner, largely out of concern for the added burden this may place on staff. Additional considerations were (1) the need to expend resources to employ a civilian coordinator and (2) the arrival of a new Superintendent at LaGrange who, although he had been the Superintendent at Blackburn and was receptive to the procedure, may not wish to bring this piece of programmatic baggage with him while trying to accomplish other initial tasks.

It was concluded that a subsequent meeting would be held shortly thereafter to enable the Center to make a formal presentation to the Commissioner's Executive Committee and the new Superintendent at LaGrange. This meeting would result in a decision for expansion of the Inmate Grievance Procedure to LaGrange.

It was nearly two months later that the decision was made to introduce the Inmate Grievance Procedure at LaGrange. The Center for Community Justice again assisted in the design of the procedure and its implementation. By this time, however, it was too late for the evaluation team to take an active role in the collection of data. Not only was there too little time to conduct an evaluation study, but remaining project funds were committed to completing the extensive evaluation of the procedure begun in the other four states.

A final meeting between a member of the evaluation team and Kentucky Bureau of Corrections representatives occurred in mid-December, 1977 to discuss research strategies and costs if the soon-to-be implemented grievance procedure at LaGrange were to be evaluated. The Bureau's Systems Management Unit had been assigned the responsibility to monitor and evaluate the procedure as it was implemented at LaGrange. The representative of the evaluation team met with the Unit Manager, a Unit research analyst and the new Ombudsman to discuss evaluation strategies. The initially-prepared questionnaires for inmates and officers were reviewed, sources of institutional data were discussed, and both time and labor costs were outlined. The new Ombudsman was unaware of the existence of the grievance logs and grievance information sheets,



initially designed for use in Blackburn; completed forms from Blackburn could not be located. These sources of data for grievances from Blackburn were therefore unavailable for evaluative analysis.

The Center for Community Justice staff met periodically from mid-January 1978 through March 1978 with the inmate and officer members of the Design Committee as well as administrators from LaGrange and Pee Wee Valley (a women's unit). The new grievance machinery was introduced to LaGrange on April 17, 1978 and to Pee Wee Valley on April 24, 1978.

During this time the Center for Community Justice was instrumental in securing an American Bar Association BASICS grant for the Young Lawyers Section of the Kentucky Bar Association. These funds will enable the Young Lawyers to serve as agents of outside review -- in addition to the Governor's Advisory Committee -- and to work with the Ombudsman in monitoring the grievance procedure.

F. Description and Interpretation of CCJ's Activities: A Perspective from the Quarterly Evaluation Reports

This report -- and especially this section -- is an evaluation of the development and impact of a procedure, not of an organization per se. We have been primarily interested in such questions as: Was an inmate grievance resolution procedure successfully developed and implemented in the target states? What problems were faced in this process, and how were they overcome? What impacts were made -- both on the five formal objectives and on the various constituencies in and of corrections in the United States.

Since the evaluation has been more formative than summative, we have been oriented toward support of the work of CCJ and have been careful to report to CCJ those crucial issues surrounding the implementation and operation of the Inmate Grievance Procedure in each state. Although CCJ did not always agree with our estimate of the problem or our suggested strategies of amelioration, CCJ did take note of our concerns. Agreement by CCJ did not necessarily result in change, however, since (1) some actions were beyond the intent and/or scope of CCJ's activities, (2) some actions were initiated by CCJ but thwarted by state or local personnel, and (3) some actions were not initiated by CCJ for lack of resources, time or priority.

It is not possible, however, to evaluate the procedure without commenting on the intervention organization and its personnel. Organizational and personal credibility are especially critical for any access into and potential influence on prison systems by any outsiders.

This section, then, offers a brief summary and interpretation of the work of the Center for Community Justice in this project, drawn primarily from our close working relationship with them and from the eight Quarterly Reports submitted to the CCJ.\*

1. The Center for Community Justice: Purposes and Personnel

The Center for Community Justice, founded in 1971, is described in the opening of this report as a small organization of young lawyers and others who have been interested in applying such techniques as negotiation, mediation, and arbitration to the resolution of inmate grievances in prison systems. The founding director was Linda R. Singer, an attorney who has worked and published extensively in the field of corrections and dispute resolution. Other major professional personnel for the grant period included Michael Keating (deputy director until mid-1977), Michael Lewis (a staff member from the outset and deputy director since mid-1977), Ann Horvitz, Charles Bethel, and Noel Brennan. Also heavily involved in the project was George Nicolau, Vice-President of the Institute for Mediation and Conflict Resolution in New York City, who, with his staff, collaborated in the Center's early work with the California Youth Authority and conducted much of the training and orientation for prison personnel involved in the grievance procedures.

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\*The eight reports were submitted as follows:

- I. January 20, 1976
- II. April 22, 1976
- III. July 19, 1976
- IV. October 20, 1976
- V. January 20, 1977
- VI. April 22, 1977
- VII. July 20, 1977
- VIII. October 19, 1977

It should be noted at the outset that our judgment of the CCJ personnel is highly positive; we view them as thoroughly competent professionals, sensitive to personal needs and social justice issues, and -- after three years of work together -- committed to the same goals of institutional reform and joint problem-solving. We have learned a great deal from working with them.

2. The Center for Community Justice, Social Intervention, and Citizen Involvement

The CCJ work which is the focus of our evaluative effort is an example of social intervention whose aim is to alter the target system(s) in ways believed to be important by the intervenors and others. All intervention is advocacy -- whether for party, outcome, or process. Party and outcome advocacy are the most frequent types. The current work, however, is an example of process advocacy, i.e., for the institutionalization of a particular set of procedures in a social system that will, in the eyes of the intervenors, yield just outcomes for the parties involved. Process advocacy is an especially useful form of intervention in service systems where there is a great power disparity between providers and clients (corrections systems offer a prime example), and in which direct party advocacy is impossible or inappropriate.

The development of inmate grievance resolution procedures by the Center is a classic form of process advocacy. The underlying and usually tacit belief is that the rights and needs of the least powerful groups in the system will be better served if a particular process can be introduced and legitimated to deal with recurring problems they face. The process thus becomes a buffer against the arbitrary exercise of power by the owners and managers of the system. We would argue further

that a key to the long-range success of inmate grievance mechanisms is the existence of outside monitoring and review (i.e., outside political leverage) on the prisons and correctional systems involved.

This last point is perhaps the most important one we want to make about this project and the development of inmate grievance procedures, for without strong outside oversight and influence on the procedures, they could easily be abolished (either actively or passively through neglect) by facility and/or system-wide officials on whom the inmates' can offer no power check. While this may not have been in the thinking of the Citizen Initiative Program in LEAA which funded the Center's grievances work, it is the major sociological justification for linking citizen participation with the development and implementation of inmate grievance resolution procedures.

The role of the Center in developing such procedures now is examined in light of this analysis. "Increasing citizen involvement in prisons and on behalf of prisoners" was one of the five major impact objectives, and provides the context for the Center's work. The Center's conception of citizen involvement saw them in a number of roles, primarily as arbitrators and as members of panels from which Inmate Grievance Resolution Committee chairpersons would be selected, but also potentially in offering other forms of technical assistance to committees, in an information diffusion role, etc. The evaluation team believes that there is one other important role -- perhaps the most crucial role of all for citizens -- that of monitor for the procedures. Our perspective as sociologists with experience in community organization leads us to place greater emphasis on this dimension than did the CCJ staff, whose primary focus

was on the technical details of getting Inmate Grievance Resolution Procedures established in the facilities.

### 3. A Chronology and Critique of CCJ Activities

This perspective is offered at this point because we now present a chronology and critique of the role of the CCJ from our eight Quarterly Reports -- and the role of citizen involvement is a continuing, important theme in those reports and this synopsis of them. We believe that a chronological reporting of the problems faced by the CCJ, the progress they made, and our recommendations to them, will best convey the nature of our formative evaluation and the issues to be confronted; in short, it will convey the "how to" picture to others interested in developing inmate grievance resolution procedures.

#### a. Quarter I (September 1 - December 31, 1975).

By the beginning of the grant period, CCJ already had firmly established its pattern of forming a working relationship with the state-level corrections officials, selecting facilities in which to develop grievance procedures, gaining access to those facilities, and conducting initial meetings and training with representatives of all the parties to be involved. When the evaluation team began its work, CCJ already had tested its approach in Green Haven Correctional Facility in New York, had successfully implemented the Ward Grievance Procedure in the California Youth Authority in conjunction with Nicolau and Breed, had consulted with New York officials regarding the development of the mandatory inmate grievance procedures law (passed by the New York State Legislature in August 1975), and had published a series of reports on inmate grievance mechanisms in various state facilities.

The CCJ model and approach were already well-developed, and the LEAA-funded project was underway, when the evaluation team began its work. The major foci of CCJ activity were in New York (helping prepare the state for implementation of the statutory grievance procedure early in February 1976), and in California (reviewing prior work with the ward grievance procedure and preparing for the application of the procedure to parole settings). It was clear to us that CCJ was well-respected by corrections officials in the two states.

We observed IMCR-sponsored orientation sessions in Albany for the facilities' security personnel and in New York City for superintendents in December 1975. Inadequate prior arrangements with the training academy in Albany and resistance of security personnel made the session there less effective than it could have been, in our judgment. The New York City session for superintendents was highly productive, both in promoting information exchange and in building support among the superintendents.

b. Quarter II (January 1 - March 31, 1976).

In our second Quarterly Report, we noted the following preliminary and impressionistic findings regarding the five impact objectives:

- Reduction of Violence. "Every correctional official with whom we have consulted in connection with the project has cautioned us that causation of violence in prisons is far too complex to be attributed to the presence or absence of effective grievance machinery."
- Inmate Trust. "It appears that inmates' sense of the fairness of institutional grievance handling will be a direct function of

rigid adherence to procedures established by the design committees -- especially turn-around time for appeals. Insufficient staff and underdeveloped procedures at the facilities and central office level in New York have contributed to delays in responding to appeals at both levels, and have challenged the initial credibility of the grievance system, we believe."

- Reduction of Litigation. The General Counsel to the Department "predicts an increase in litigation against the Department in the period covered by the CCJ grant" because of the LEAA grant to the bar association to place 35 lawyers in the system.
- Written and Clear Policies. "Clearly the implementation of the grievance law in New York has increased the number of written policies; there is widespread dispute as to whether clarity has been advanced."
- Citizen Knowledge and Action. "This is a difficult objective to evaluate." The Director of Volunteer Services for the Department "sent a memorandum to current prison volunteers asking them not to serve on grievance committees... 'to avoid confusion'. She believes an orientation to the IGRC would be helpful for volunteers, who often are asked informally by inmates to resolve grievances or advocate for them." "Little direct involvement" of volunteers was noted in New York, with the exception of persons who helped develop the system and those who have served as arbitrators. Initial meetings of CCJ staff with Alston Wilkes Society representatives in South Carolina were noted.



We made other observations about the responsiveness of the systems to CCJ's work in this period:

- The extremely heavy grievance load in New York (more than 2,000 in the first 1½ months) seriously strains the system, and calls for immediate funding and staffing increase at both the facilities and central office levels.
- In New York, the system was already suffering credibility problems because of changing signals from Albany and delays, and the Inmate Grievance Coordinators were being "virtually unanimously praised for their work."
- In Colorado, resistance by facilities' administrators is hindering progress, but "diligent work by the CCJ staff with the administrators and the design committees is moving the process ahead."

We made the following two specific recommendations to CCJ:

- That all the New York superintendents be provided the opportunity to debrief their initial experiences with the procedure soon.
- That CCJ push for clarification of the status of staff positions on the IGRC, for union resistance was hurting progress in implementation.

We then offered an initial formulation of the elements which would compose "the best plan for developing inmate grievance procedures in state prisons:"

- Secure a state law requiring such a procedure in all facilities, with a time deadline for implementation which includes phasing-in by all facilities.

- Set a rigid time limit for implementation.
- Phase the implementation, starting with a demonstration institution.
- Include funding for staff in the legislation -- to begin six months prior to implementation.
- Organize IGRC's by cell block or living unit within the facilities.
- Run a formal debriefing and evaluation at three-, six-, and 12-month intervals the first year, including central office personnel, appropriate legislators, facilities administrators, staff, inmates, and outside resources.

In this early recommendation of planning procedures, our orientation as sociologists is evident -- especially in the last point, which essentially calls for beginning a process of network-building to support and monitor this activity.

c. Quarter III (April 1 - June 30, 1976).

During this period, the procedure became operational at Canon City in Colorado, and final preparations were made by CCJ to begin implementation at Kirkland in South Carolina. We were particularly distressed by the resistance and management procedures we discovered in Colorado, and reported this verbally and in the Quarterly Report to the CCJ, as well as in the letter to the director of research for the Colorado Division (see Chapter II). We were especially concerned at the following finding, noted in our Quarterly Report (p. 5):

The Hearings Officer (i.e., coordinator of the process most likely to be affected by introduction of the inmate grievance procedure), said he had heard virtually nothing of the new procedure until he talked with Laue on June 15. He had not met any

CCJ staff or consultants. He feels that the grievance procedure will have little effect one way or another on life in the prison and the processing of prisoner complaints (most of which are due to conditions on the outside rather than the inside, such as family situations, he says).

In retrospect, this is another manifestation of our concern as sociologists for a system-wide view of implementation rather than one whose focus is primarily the technical aspects of the procedure.\*

Our "Problems and Recommendations" section read (emphasis added):

- Dramatic action needs to be taken in New York to unclog the backlog of grievances in Albany (and in some institutions at the level of the administration) before inmate confidence is irretrievably undermined.
- The citizen initiative component of the Center's work needs to be increased dramatically. In no state or location do we find what we would believe to be an adequate level of citizen involvement in the procedures. This is partly due to the lack of a community organization orientation on the part of most of the CCJ staff (virtually all of whom are attorneys), and partly due to complexities and resistances within the correctional systems. Specifically: the CCJ should provide funds to support community organization or community development specialists in each of the states to organize citizen input.

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\*As evaluators, we sought out all those persons upon whom the procedure may have the slightest impact and/or who were in positions to affect the procedure's operation. CCJ, in contrast, requested that Superintendent Evans suggest those persons he felt should be included in the training and design of the procedure.

- Citizen monitoring teams need to be developed in relation to each facility to provide an independent evaluation of the procedure's operation and sufficient pressure on the institutions to keep the process flowing and inhibit any tendencies toward retribution against grievants.
- Colorado desperately needs a full-time staff person to oversee development of the system...
- Staff training is another desperate need in Colorado. There is interest in organizing the type of ongoing orientation we observed at Attica.
- CCJ developmental and training activities need to be closely coordinated with existing mechanisms and related personnel in the systems we have observed. Long-range effectiveness of the CCJ's work may depend heavily on the willingness of such vested interests to support the grievance procedures after the outsiders have left.

d. Quarter IV (July 1 - September 30, 1976)

Heavy CCJ involvement in the various implementation-related activities continued during the fourth quarter: training, working with administrators regarding procedures, etc. The Canon City lock-down of the facility and shut-down of the Inmate Grievance Resolution Procedure took place during this quarter, and CCJ devoted a good deal of time to attempts at re-stating the procedure, with no success as calls, letters and telegrams to Denver (and some to Canon City) went unanswered.

In many ways the highlight of the quarter from the point of view of diffusion and utilization of the new procedures was the Keystone, Colorado conference September 20-22, which brought together key state-level

administrators and researchers from New York, California, and South Carolina (Colorado demurred) for a first-year debriefing. From that conference we synthesized a series of problems and recommendations regarding the procedures and CCJ's work, the highlights of which follow.

After reaffirming our previous Quarterly Report's recommendations about citizen involvement and the need for case backlog reduction in New York, we said:

The most critical need, we believe, is in the area of citizen involvement. The evaluation team is concerned that ongoing monitoring of the grievance procedures by a high-credibility group of citizens not connected with the prison system is required to ensure the continuation of effective grievance procedures after the CCJ project is completed in each system.

Forms of citizen involvement to date have included the use of citizens as arbitrators in all four states, the training of 25 Alston Wilkes Society members in South Carolina..., and plans at Nelles School in California to train a corps of citizen volunteers to help monitor and evaluate the operation of the grievance procedure there.

We summarized the "major problems" faced by the grievance projects by state:

- California -- Gaining psychological ownership and investment in the procedure on the part of each new cohort of staff and wards, and the transfer of the procedure to parole regions (which probably requires, in our opinion, a series of yet-to-be-made structural adjustments).

- New York -- Meeting time-limits at the Central Office and Commission levels (basically a problem of adequate staffing and organization).
- South Carolina -- No serious problems identified at the time of the Keystone conference, with the possible exception of the smallness of scope of the initial effort at Kirkland.
- Colorado -- "The work of the CCJ in Canon City probably is finished..."

Finally, we presented a list of the 10 most critical issues we believed the CCJ and the state systems would be facing in the second year of the project, based on our observations and conversations at Keystone as well as our ongoing research:

- What is the best mix of informal resolution to formal use of the procedure -- in light of efficiency and speed consistent with maintenance of high credibility of the procedure?
- The "investment problem": How to get each new cohort of staff and inmates appropriately committed to the procedure.
- What is grievable? We observe that one credibility problem faced by the procedure is that the institutions have generally defined some of the problems of deepest concern to inmates as non-grievable -- disciplinary actions, temporary release, and classification procedures, for example.
- Relationship of emergency grievance procedures to regular procedures /from a concern with over-use of emergency procedures to avoid time-delays/.

- Relationship of the grievance procedures to other institutional procedures -- notably disciplinary proceedings, liaison committees, hearing mechanisms, etc.
- Degree of centralization of the proceedings within each facility: tier, block, dormitory, facility-wide?
- Relationship of the grievance procedure to treatment staff strategies. An inherent conflict?
- Appropriate mix of sanction for grievance procedures: court order, administrative regulation, legislation?
- Justiciability: what proportion of problems that get into the grievance procedure are justiciable?
- In California, adaptation of grievance procedures to parole: the evaluation team believes that a radically different structure might be best, using advocates and a panel of mediators/arbitrators rather than an ongoing committee structure.

e. Quarter V (October 1 - December 31, 1976)

The fifth Quarterly Report contained extensive documentation of implementation procedures and problems we observed in the three operational states during the period. Most of these problems -- and related recommendations -- are contained in the state-by-state analysis in the previous sections of this chapter. Many of them relate to typical maturational or developmental stages of institutional innovations: trends in grievances types and modes of processing them, participant turnover, the "reinvestment" problem for each new cohort, the difficulties in making the shift to parole settings in California, developing outside support and leverage, etc. In Colorado, of course, the problem was one of simple survival of any grievance procedure, as documented.

We concluded that the next six months (January - June, 1977) will be "the critical period in determining whether the procedures will wither -- or become a strong, trusted, ongoing part of the structure of the systems and facilities in which they have been introduced." Our major recommendations to CCJ are excerpted:

Again... we are concerned with what we believe to be inadequate attention to citizen involvement in the grievance procedures. In no state is there a well-organized group of citizens capable of monitoring and overseeing the procedures to ensure effective and continuous operation. Some Wilkes Society members were trained as arbitrators in August, but none have been utilized as either arbitrators or monitors. We urge a serious effort (possibly including commitment of LEAA and/or CCJ-granted funds) to develop effective citizen monitoring capabilities in New York, California, and South Carolina. It should be obvious, in addition, that such citizen interest and influence would be an essential component of any resuscitated grievance arrangements in Colorado... We urge attention to our section on Problems and Recommendations in the last Quarterly Report... which lists issues we believe should form an agenda for a discussion of problems of institutionalizing the procedure.

f. Quarter VI (January 1 - March 31, 1977)

The occasion for the Time 2 site visits in New York provided the evaluation team the opportunity for extended observations and interviews in Attica, Auburn, and Bedford Hills. In addition, extensive analysis of institutional data was conducted in the St. Louis office. The Project



Director visited South Carolina. All in all, the field research provided a good basis for assessing problems and making recommendations in the implementation phase in these two states.

The Quarterly Report provided the major form of feedback to the CCJ about our analysis of institutional responses to the operation of the Inmate Grievance Procedure. We were able to present Time 2 data from the 12 facilities in New York in addition to the three target sites (Attica, Auburn, and Bedford Hills). We cited for CCJ the types of problems which we believed deserved greatest attention and on which they continued to work: ignorance of the purpose, scope, and structure of the grievance procedure on the part of large numbers of New York inmates; a continuing hostile and distrustful attitude on the part of officers; and massive problems of communication within the Department (and especially between the facilities and central office). We made a series of recommendations regarding procedures within the New York system to CCJ for their use in their ongoing work with the state, among them:

- Enforce time limits or restructure them to conform to realistic expectations.
- Adequate orientation of both new inmates and officers to the Inmate Grievance Resolution Procedure.
- Establish a committee of officers and inmates to be elected on a bi-annual basis to review the procedures and thus regularly call them to the attention of the inmates, guards, and administration.
- Develop procedures for improving communication between the central office in Albany with superintendents -- and with inmates, the latter through circulation of a monthly list of all the grievances resolved and the resulting changes in policy and procedures.

Some of the recommendations directed to CCJ regarding South Carolina were:

- Assignment of a person at least half-time to coordinate and monitor the grievance procedure.
- Restructuring the officer component on the Inmate Grievance Resolution Committee to eliminate problems of underutilization of some officers and promote coherence of the Committee.
- Rationalize written forms and communication mechanisms so Committee members and inmates are more aware of the work and accomplishments of the Committee.

Our observation is that the work of the CCJ and the responsiveness of Kirkland staff and inmates effectively addressed these concerns during the remainder of the project.

g. Quarter VII (April 1 - June 30, 1977)

CCJ now was involved in Kentucky, so the activities of the evaluation team Project Director turned in that direction in addition to the other states.

After indicating that there were "no new problems to be reported this quarter," the evaluation team offered one major recommendation for the CCJ to consider, as follows:

The evaluation team has long been concerned with such problems as inmate investment in the grievance procedure, implementation of grievance resolutions, orientation of new inmates and officers, monitoring of the grievance procedure, and citizen involvement. Since the grant terminates January 31, 1978, the activity of the Center for Community Justice must now be

directed in a constructive way toward phasing itself out and institutionalizing inmate grievance procedures in those correctional facilities where it has so actively intervened. Therefore, we recommend that CCJ initiate plans for a "Keystone II" conference to be held in November or January. Such a conference should include key personnel from New York, South Carolina, Kentucky, and California to discuss such agenda items as:

- What can Kentucky and South Carolina learn from New York and California with regard to the long-term problems and prospects of a system-wide inmate grievance procedure?
- What is the present state of those issues raised during the first conference, and what new issues deserve consideration?
- What can be done by CCJ (and the evaluation team) as they withdraw from the local scene to assist in the institutionalization of a viable inmate grievance procedure?  
Among relevant strategies are (1) greater citizen initiative and monitoring after the grant has elapsed and (2) dissemination of the advantages and disadvantages of the inmate grievance procedure, together with its principles, design, and impact, to other states for their consideration and possible implementation.
- What resources are available after the grant period for those states seeking assistance?

h. Quarter VIII (July 1 - September 30, 1977)

The evaluation team and consultants completed the major portion of the field work in New York, South Carolina, and California during this period, and visited Blackburn Correctional Facility in Kentucky with CCJ personnel to further assist in the start-up of the Inmate Grievance Procedures there. We offered no new recommendations for any state with the exception of South Carolina. Those recommendations included:

- That the problems identified by the evaluation team concerning the present committee structure and its impact on limiting participation of officer members be addressed by CCJ and South Carolina officials.
- That a monthly newsletter be developed for circulation among the officer and inmate members and chairpersons, to include the total number of grievances, number resolved at each level, policy changes attributable to the procedure, etc.
- That Warden Harvey be encouraged to consider the negative impact on the Committee proceedings that may occur if high level security personnel are included as chairpersons of the Grievance Committees /as he advocated/.
- That the Alston Wilkes Society be considered as the group to permanently serve in the capacity of citizen monitors of the grievance procedure and the implementation of resolutions.

As with the other recommendations, these were offered to CCJ in the spirit of the formative evaluator interested in adjusting procedures as implementation progresses. We are confident that our various series of

recommendations were taken into account by CCJ staff throughout the project as they constantly evaluated and re-planned their work.

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Since the grant had been scheduled to end August 31, 1977, we had agreed with the CCJ that we would end our series of Quarterly Reports to them with the eighth report. When no-cost extensions were granted to CCJ -- first to January 31, 1978, then to April 30, 1978 -- we discussed the situation with CCJ and jointly decided to continue to focus our work on analysis of the data collected during the two years of the original grant period and on preparation of the final report. So, with the exception of constant telephone contact, some consultations with CCJ staff in Washington, and visits to Kentucky, our activities during the period since September 30, 1977, have been directed toward analysis and writing in St. Louis.


\* \* \*

This review of our ongoing assessment of CCJ activities during the course of the project has been intended to present "findings" of a different kind than those offered in the first five sections of this chapter. The aim here has been to analyze the role of the CCJ in fostering these innovations through a review of our responses to their work as reflected in the "problems and recommendations" sections of our Quarterly Reports.

Our overall assessment of the CCJ effort is that they showed high professionalism and high quality work in attempting to introduce politically sensitive reforms into a very complex set of institutions. Whether they "succeeded" in the project goals can be better measured some five or 10 years in the future, when we can see whether the procedures

they initiated are a regular and effective part of the individual facilities and state departments of corrections into which they were introduced.

Our judgment is that this goal will be achieved with appropriate effort now to promote institutionalization of the procedures. To that end, we repeat our recommendation for a series of activities aimed at (1) sharing what has been learned among the participants in the CCJ's work, (2) spreading the idea to others in the corrections field, and (3) building appropriate networks of citizen influence to ensure autonomy and strength of the grievance mechanisms through monitoring and citizen oversight. We believe LEAA funds committed to such a task would be well-spent.



III

NOTES

1. It is difficult to compute the exact percentage of inmates who remained at Auburn (or Attica) from these data. Obviously, a large number of new arrivals and those transferred in may be among those transferred out within the year. Were we to assume that new arrivals are independent of those departing, 85 percent of the population is new at Auburn and 107 percent of the population is new at Attica (at Attica, the number of new arrivals is greater than the January 1, 1977 inmate population).
2. According to records furnished by the Bureau of Records and Statistical Analysis, Department of Correctional Services, eight new facilities were opened during 1976, accommodating a total of 1,559 inmates.
3. If one were to consider the expedited or emergency grievance system which is intended to provide redress in situations where the passage of time would prevent viable redress, there are three different but in some degree parallel systems which might be pursued by an inmate seeking relief.
4. California Youth Authority, Grievance Activity, (Draft Report for 1976), Mimeo, pp. 4-5.
5. Breed had reportedly begun to consider such action before he resigned as CYA Director.
6. While the validity of this chain of reasoning is debated in this section, the reader is directed to the discussion of the second objective, immediately below (the impact of the grievance system of the "ward's perception of the likelihood of fair and prompt handling of complaints"),

and to the final section of the report (IV. PRISONER REDRESS: ANALYSIS OF AN INMATE GRIEVANCE MODEL).

7. It should be noted that there was a major confrontation between wards and staff in the "lock up" area of YTS in September 1976, which resulted in critical injuries to one guard. However, the consensus of all of the staff interviewed was that it was an isolated incident peculiar to the situation and the individual involved. In fact, it was observed that the incident was most noteworthy for the manner in which other wards protected the injured staff member, and that the incident did not spread to the rest of the institution.
8. Tables III-12 through III-15 were reproduced from Right to Be Heard: Evaluation of the Ward Grievance Procedure in the California Youth Authority, Division of Research, Parole and Institutions Branch, Department of the Youth Authority, State of California, December, 1975, pp. 36-38.
9. David Dillingham, research director for the CYA ward grievances project, has compiled a list of all revisions to the manual resulting from the grievance procedure. It is available through his office or the CCJ.
10. The major reasons given for the anticipated increase were: 1) The South Carolina legislature passed a mandatory armed robbery law which provides for a compulsory 7-year sentence; 2) The courts are back in session following the summer recess; 3) Court dockets are crowded; 4) All correctional facilities in the state are overcrowded.
11. It may be that the involvement of these persons in the design of the procedure diminished the possibility that they would accept a less prestigious role, such as assistant clerk, in the procedure.



12. While the inmates indicate a desire for greater speed and better written explanations, it is pointed out below that the inmates report the Inmate Grievance Procedure handles inmate grievances more quickly and with more written replies than did those procedures in operation prior to the implementation of the Inmate Grievance Procedure.
13. Institutional data further indicate that administrative encouragement and support for maintaining credibility of the Inmate Council tends to greatly reduce the number of policy and procedural issues that become the subject of grievances. Warden Harvey persistently encouraged Inmate Council representatives to bring before the Council all facility-wide population problems, including issues that affect policy and procedure. We examined Council minutes for the 18-month period from March 1976 to September 1977, and found that a majority of the problems discussed were policy-related. Several changes have been made as a result, i.e. special "off-grounds" visitation privileges for trustees; moving of pay phones to dorms and a resulting liberalization in call-home privileges; installation of rear security gates in dorms resulting in a major change in evening lock-up policy; etc.

In the Spring of 1978, however, Warden Harvey merged the Inmate Advisory Council and the Inmate Grievance Procedure. Inmate members of the Inmate Grievance Procedure are now automatically the Council's members, and these inmates meet with the Warden once per month to discuss inmate grievances.

14. At first this appears contrary to the frequency with which "staff action" was classified by the Inmate Grievance Committee personnel

as a subject of grievances. It must be recalled, however, that a large number of grievances involved staff action subjects, and these were listed as a "secondary" subject of the grievance. Obviously the present coder views these actions as more primary to the substance of the grievance.

15. Interviews were conducted with John Brown, Assistant Director of Programs and Ted Moore, Assistant Director of Administration, in September 1977. H. Parket Evatt has been the Executive Director of the Society for more than 11 years, and currently is a member of the South Carolina Legislature.

#### IV. PRISONER REDRESS: ANALYSIS OF AN INMATE GRIEVANCE MODEL

##### A. The Center for Community Justice Approach to Inmate Grievance Resolution

Under the direction of Linda R. Singer, the Center for Community Justice has been heavily involved in the study and development of inmate grievance mechanisms in correctional facilities since the early 1970's. Building upon its early work in the Washington, D.C. area, the California Youth Authority, and elsewhere, the Center was funded by the Citizen's Initiative Program of LEAA, the Ford Foundation and the Rosenberg Foundation in 1975 to assist in the design and implementation of inmate grievance procedures in four state prison systems.

The Center for Community Justice advocates a specific process for prisoner redress. Fundamental to this process are the following principles:

1. There must be independent review, i.e., levels of appeal up to and including persons outside the correctional structure.
2. Line staff and inmates must participate in the design and operation of the grievance procedure.
3. Relatively short, enforceable time limits for making and implementing decisions must be a part of the mechanism.
4. There must be guaranteed written responses for every grievance submitted.
5. Effective administrative planning and leadership is required.
6. Administrative, line staff and inmate personnel must be trained in the skills and techniques necessary for effective investigation, hearing and resolution of grievances.

7. There must be an effective program for the orientation of staff and inmates to the nature, purpose and functions of the grievance procedure.
8. There must be a continuing system to monitor and evaluate the effectiveness of the grievance procedure's operation.
9. The grievance procedure should be statutorily enacted in legislation after the department has tested and evaluated the mechanism.

The implementation of the Inmate Grievance Procedure in correctional facilities was intended to assure an effective means of prisoner redress. In addition, the project called for the evaluation of the impact of the Inmate Grievance Procedure in five areas: (1) reduction of violence within institutions, (2) increase in inmates' perception of the likelihood of fair and prompt handling of complaints by the system, (3) reduction of litigation against institutions, (4) increase in the number and/or clarity of written policies in the facility, and (5) increase in citizen volunteers' knowledge of the corrections system and the action taken by volunteers on behalf of the system or particular offenders.

The project was initially funded from September 1, 1975 to August 31, 1977; two no-cost extensions carried the project to April 30, 1978. Because the Center already had been active in the California Youth Authority, one endeavor during the project was to continue this activity and extend the procedure to CYA parolees. In addition, the Center initiated the procedure in New York, assisting with system-wide implementation following its pilot project in Green Haven Correctional Facility and targeting its attention on Attica, Great Meadow and Bedford Hills Correctional Facilities. Kirkland Correctional Institution in South

Carolina and the maximum security Colorado State Penitentiary were also selected by the Center, although the Inmate Grievance Procedure was aborted by administrative directive in Colorado shortly after its implementation. Late in the project, the Center began work with the Kentucky Bureau of Corrections to implement the grievance procedure at Blackburn Correctional Facility.

The Community Conflict Resolution Program of the Center for Metropolitan Studies, University of Missouri-St. Louis, sub-contracted to conduct a formative evaluation of the implementation and operation of the Inmate Grievance Procedure in each state and to assess the impact of the procedure on specific objectives. Furthermore, the evaluators sought to explore a number of additional issues, such as the procedure's impact on relevant constituencies, the timing of legislation, and the viable alternative structures within the model advocated by the Center for Community Justice. Uppermost in the evaluative effort has been the issue of the procedure's ability to meaningfully effect social change within corrections.

## B. Implementation

### 1. Relationship Between Grievance Procedure and Legislation

Judicial decree, legislative action and administrative directive are three sources of correctional change. Various strategies of implementation were utilized in the five states studied: legislation mandated the procedure in New York; administrative order legitimated the procedure in South Carolina, Colorado and Kentucky; and the procedure's initial foundation, an administrative directive, was subsequently solidified by legislation in California.

The experience in the California Youth Authority has been proposed as the ideal process of implementation: a committed and supportive top administrator establishes a pilot program which is slowly disseminated through the system and culminates in a law mandating the principles and process of the Inmate Grievance Procedure. This line of action, currently being followed in South Carolina and Kentucky, requires a highly supportive and very powerful Director or Commissioner if it is to succeed. As was the case in Colorado, an ineffective top administrator can be sabotaged by local parties -- whether they be the superintendent, administrative staff or correctional officers -- and/or by external political pressure. Furthermore, this process depends upon the top administrator for stability and priority within the system; should the administrator leave office, there is the possibility that the new administrator will not be as strongly committed to the procedure or as capable in bringing legislative action.

Due to the weaknesses inherent in this model, we support a process in which legislation of the principles, process and monitoring of the procedure is the first stage. Unlike the New York experience, however,

the legislation should call for (a) more time to implement the procedure, (b) a six-month pilot program in one or two facilities which will provide a reliable estimate of the number and type of grievances to be resolved, and (c) financial resources necessary for timely and efficient operation and monitoring of the procedure.

Legislation requires the commitment and support of the Commissioner or Director, of course. Yet legislation at the outset creates a situation of greater stability and credibility and serves to reduce the hostility by local staff and administrators that may otherwise be directed toward the Commissioner.

## 2. Single Facility or System-Wide Implementation?

Although system-wide implementation should be the goal, implementation should begin with a single facility. The system needs an opportunity to experience and evaluate the training, design, implementation, operation and monitoring of the procedure on a smaller scale to make necessary preparations and adjustments. Such changes are more difficult to execute, and may undermine the procedure's credibility once the procedure is in system-wide operation. Furthermore, the gradual introduction and dissemination of the procedure allows time for hostile and suspicious groups -- whether officers, administrators or inmates -- to adjust to the procedure; indeed, the findings of this report suggest that their misgivings about the procedure will dissipate once the actual operation is observed.

## 3. Commitment of Administrative Staff and Funds

An endeavor of this nature requires the support of administrative staff at both the central office and the local facility. Their commitment

must be directed to providing a procedure that not only serves to "deal with" inmate grievances, but which provides social justice and redress to inmate grievants. To this end, then, administrators must be prepared to commit time, energy, and resources. Correctional officers have to serve on the committee, middle-management must oversee and coordinate the procedure, and administrative staff must respond to grievances. It will be necessary to increase the already overtaxed workload of many persons, and it also may be necessary to hire additional personnel.

An inmate grievance procedure can be mandated by law and vocally supported by administrative staff, but it will not succeed if the energy and resources are not committed to that end. Many bureaucratic innovations have floundered and failed when supported by mere lip service.

#### 4. Selection and Training of Committee Personnel

Adherence to the framing principles and the continued credibility of the Inmate Grievance Procedure require the institutionalization of the processes by which committee members are selected and trained. Selection of inmate members should be by general vote of the inmate population. Correctional officers should be elected from among volunteers, if possible. Efforts should be made, however, to select those influential officers who are vocally resistant to the procedure once the procedure has been firmly established and its operations have been routinized. Both inmate and officer members should serve a six months' minimum term of office. The semi-annual rotation of the committee members not only enables differing viewpoints, but more importantly (a) contributes to the procedure's credibility by this periodic exposure (elections) and (b) forcefully and regularly expands the number of inmates and officers who are directly



involved with the procedure. Finally, selection should be carried out in such a way that only half the inmate members and half the officer members are replaced at a time; this will permit continuity over time and minimize the time and difficulties required for adaptation by new members.

Training of these new committee members should be institutionalized. Once selected, but prior to service, committee members should receive a three-phase training program. The first phase consists of a thorough presentation of the principles and operation of the Inmate Grievance Procedure, including a review of recent grievances, the input at each level, and the final resolution. The second phase includes both training in mediation for conflict resolution and a subsequent period to observe the present Inmate Grievance Procedure Committee in actual deliberations. The final stage in the training is to work with the coordinator in role-playing situations, perhaps dealing with a grievance that is simultaneously being heard by the Committee and receiving feedback from the Committee, mindful that the Committee's existing mode of operation may not represent the proper or ideal principles for mediation.

##### 5. Inmate Grievance Committee Structure -- Alternatives

Alternative Committee structures are possible as long as they maintain the principle of an equal number of inmate and officer members on the Committee. One alternative, for example, is to establish one committee for the entire facility, with assistant grievance clerks drawn from the various housing units. The advantages to this structure are largely in terms of centrality of decision-making, continuity in recommendations and resolutions, and communication among grievance procedure personnel. The disadvantages tend to focus on time and resources:

a single committee in a facility which generates a volume of grievances will require a full-time commitment of both inmates and officers to their Committee responsibilities.

Another alternative is to structure a single committee consisting of available "pools" of inmates and officers. Each inmate Committee member represents a housing unit, and the clerk is the only full-time position. This variation requires that a committee be formed on an ad hoc basis from among the available "pools". The advantages to this are mainly economic -- officers are not assigned to the Committee on a full-time basis -- and the structure may function well when few grievances need the attention of the Committee. The disadvantages, however, are numerous: communication, commitment, continuity and credibility are jeopardized by the complex configurations of the committee since the same members may infrequently serve together or be privy to the resolutions produced by other members.

Yet a third alternative exists, and this represents a compromise between the first two structures. A single facility may have several Committees, each representing one or more housing units. Officers are selected to serve on the Committee, but the smaller number of grievances coming before the Committee would not require a full-time commitment to the Committee. The advantages of this structure are continuity, communication and credibility of the Committee within the housing units served, reduced cost to replace officers serving on the Committee, and greater inmate and officer involvement within the facility because of the larger number of Committees. The disadvantages are a possible lack of inter-Committee communication or continuity, and the need for some local

agent to coordinate the activities, recommendations and implementations of the numerous Committees.

In addition, the number of Committee members can be varied. It is clearly disadvantageous to have too large a number of persons working together, for consensus is more difficult to achieve. Yet a six-person Committee appears to work as well as a four-person Committee, and the larger Committee assures that a greater number of persons (inmates and officers) will be able to work on the procedure.

Finally, the officer members should include one officer with rank of Sergeant or Lieutenant. It is possible to have only line officers as Committee members, but there is frequent need for an officer who can interact directly and, perhaps, bluntly with other command staff in the facility.

Viewing the options for the Committee structure and the goals of a just process that operates swiftly and effectively, it is our view that the goals can be maximized by the existence of three to four six-member Committees in larger, maximum security facilities and one or two six-member Committees in smaller, minimum security facilities. In either case, the officer members would include one with a rank of no less than Sergeant and all would be assigned to the Committee rather than to an "officer pool" for service to the Committee.

#### 6. Internal and External Monitoring

It is imperative that both internal and external monitoring systems be thoughtfully created and vigilantly maintained. Internal monitoring should be carried out by a designated agent within the state's department of corrections. The purpose of internal monitoring is to routinely and systematically evaluate the operation of the Inmate Grievance Procedure

within each facility. A monthly summary of grievances filed can indicate possible problems: an increase in the type of grievances, a change from informal to formal resolution, a decrease in the proportion of grievances resolved within stated time limits, an increase in the proportion of grievances appealed to, or beyond, the superintendent, an increase in the number of grievances generated by one particular area (e.g., food, mail or medical), and a decrease in the ability of the Committee to provide satisfactory resolution. By using previous information as the facility norm, these signs of possible trouble can be quickly identified and investigated by a telephone call or visit. In addition, internal monitoring is needed to assure rapid and complete implementation of resolutions.

External monitoring is carried out by persons not a part of or influenced by the department of corrections, who report to the department's director the findings of their periodic -- at least yearly and preferably more often -- review. Such an external group is recommended to sustain the procedure's credibility to inmates and to provide an independent evaluation of the procedure's operation at each facility. External monitoring will focus largely upon the selection and training of Inmate Grievance Committee members and the grievance clerk, the introduction to the procedure provided to new inmates and officers, the speed of replies to grievances, and the implementation of resolutions.

### C. Process

The successful implementation of an Inmate Grievance Procedure will be reflected, to a great extent, in the efficiency and effectiveness of the procedure's operation.

#### 1. Utilization by Inmates

The Inmate Grievance Procedure is frequently utilized by inmates to seek redress. The wards of the California Youth Authority filed over 5,000 grievances during the first year of system-wide operation. Furthermore, there was a 76.9 percent increase in grievances filed the second year. Slightly over 10,000 grievances were filed during the first year of operation within the New York Department of Correctional Services. In South Carolina's Kirkland Correctional Institution, where the Inmate Grievance Procedure was introduced into only one housing unit and gradually established in the remaining units during the first six months, nearly 160 grievances were filed during the first year of operation. Colorado's maximum security male penitentiary aborted the procedure after only seven weeks, but 145 grievances had been filed in that short time.

The large number of grievances filed is impressive, but so too is the low frequency of repeated use of the Inmate Grievance Procedure. In New York's Attica and Auburn facilities, for example, about one-third of the inmates filed at least one grievance, and most of those who utilized the procedure filed only one grievance. Only 29.5 percent of those who filed a grievance filed a second grievance, and there were very few instances in which an inmate filed a large number of grievances.

Inmates utilized the Inmate Grievance Procedure to seek redress against staff actions, inmate actions, and a wide variety of policies and procedures. Yet there is a decrease over time in the proportion of grievances against policy and procedure and an increase in the proportion of incident-related grievances against staff and inmate actions. Such a shift is evident among the wards in the California Youth Authority and among the inmates in the New York Department of Correctional Services.

## 2. Type of Grievances Dealt With Most Effectively

If one argues that grievances are handled "effectively" when (a) the grievant is upheld in whole or in part and (b) the grievance is resolved within a short time period, then incident grievances are clearly more effectively processed than those seeking redress of policy or procedure. The fact that incident grievances can be resolved -- and more often than not are resolved -- within the facility and informally suggests a more satisfactory resolution and greater speed.

If, on the other hand, one wishes to argue that "effectively" handled grievances are those which not only provide redress for the grievant but also for non-grievants with the same problem or complaint, then incident grievances are not effectively handled. As is discussed below, these grievances are "resolved," but no structured mechanism exists to isolate and modify the cause of such grievances, even when several are produced

## 3. Monitoring -- Citizen Groups

An efficient monitoring system is needed if central office is to maximize the utility and maintain the credibility of the Inmate Grievance Procedure. Monitoring provides bi-weekly or monthly evaluations of the procedure's operation: number and type of grievances filed, level of

resolution, type of resolution and adherence to time limits. Changes noted in the established patterns will serve as an early warning and pinpoint emerging problems to be ameliorated.

Credible, knowledgeable and objective citizen groups are also needed to monitor the Inmate Grievance Procedure. The presence of such a group would visibly demonstrate the correctional system's commitment to the principle of outside review and reduce the likelihood that the procedure would be discretely sabotaged by inmates, officers or administration. These citizens would serve as an independent monitoring agent to periodically and systematically assess the procedure's adherence to its principles.

#### 4. Conflict Prevention and Resolution

The Inmate Grievance Procedure provides a viable mechanism for both the prevention and resolution of conflict. For the inmate, the ability to file may avert conflict and the satisfactory resolution of a grievance may resolve conflict.

For inmates collectively, the prevention of conflict occurs when grievances are the basis of systemic change. When grievances against policy or procedure are upheld and a change in the institutional rules or structure results, all inmates are benefited and a potential source of future conflict is removed. When incident grievances are treated case-by-case, the grievant's conflict is resolved but systemic change does not occur; if, however, the common source of repeat incident grievances is isolated and altered, incident grievances can serve as a basis for both the resolution and prevention of conflict.

How many inmate strikes or riots have been prevented by the satisfactory resolution of grievances? Data are not available to indicate the procedure's ability to reduce such instances of group conflict -- and data adequate to the requirements of a rigorous causal research design will never be available, given the complex nature of the corrections system. Yet it is plausible that the successful resolution of grievances affecting the entire population prevents such conflict either by removing the source of conflict or by instructing the inmates in an alternative conflict resolution technique.



#### D. Impact

A successful Inmate Grievance Procedure has many potential effects. Some of the effects are direct and overt, while others are indirect and covert. A few effects are discussed below.

##### 1. Impact on LEAA Objectives

Five impact objectives were specified by LEAA in the initial grant.

##### a. Reduction of Violence:

The analysis of questionnaire responses from both inmates and officers indicates no apparent change in the level of inmate-inmate or inmate-staff violence due to the implementation of the grievance procedure. Nor was a reduction in violence apparent in the institutional records of rule-infractions. The only data to suggest that the level of violence had declined were comments made by administrators at the local facilities. Given the broad and complex bases for most acts of inmate violence, it is not surprising that little reduction is noted.

##### b. Inmates' Perception of Fairness:

Questionnaire responses by inmates and officers demonstrate an increased perception that inmate grievances are handled fairly. The introduction of the Inmate Grievance Procedure is viewed as a necessary change, the procedure is considered useful, and the procedure is both fair and speedy.

##### c. Reduction of Litigation:

The analysis of the justiciability of grievances indicates that the Inmate Grievance Procedure is impacting upon litigation. While it is not clear whether inmates would have sought litigation in the absence of

the procedure, it is evident that the procedure is satisfactorily resolving a large number of grievances which are justiciable -- that is, have sufficient legal merit to warrant litigation.

d. Increase Number and Clarity of Written Rules:

There is evidence to suggest that the Inmate Grievance Procedure is instrumental in bringing about an increase in the number and clarity of written rules. Grievances have compelled the facility and the department to re-examine time-honored rules and, when appropriate, delete, modify or create rules.

e. Increase Citizen Involvement:

Citizen involvement has been at a minimum. Citizens have been utilized as arbitrators in the final stages of appeal within the procedure, but these cases are few and the citizens' input is controlled. There remains a crucial role for citizens to play as outside monitoring agents.

2. Impact on Inmates

The Inmate Grievance Procedure provides many advantages to the inmate population, especially to those inmates who are less powerful or whose superintendent is less responsive. For those grievances which would ordinarily result in litigation, the procedure can provide a fair and speedy resolution; the grievant is likely to be upheld in full or in part in meritorious grievances. Furthermore, the procedure provides a mechanism for the fair and speedy resolution of those grievances, such as incident and some policy grievances, which are not justiciable. In addition, the Inmate Grievance Procedure provides a format to compel a periodic review of existing policies and procedures, thus challenging the administration to substantiate the basis of the status quo in light of the grievant's

request for alteration, specification or elaboration of those policies and procedures.

Less tangible but nonetheless important are the "side-effects" of the procedure. Inmates are instructed in the techniques of conflict resolution via mediation, the utilization of "paper-processing" rather than confrontation to redress grievances, and -- for those directly involved with the procedure -- the skills of investigation, report writing, negotiation and mediation.

Many inmates refuse to utilize the procedure, preferring such alternative and time-tested grievance resolution techniques as talking to an officer or member of the staff or talking with an influential inmate. Even these inmates are benefited by the Inmate Grievance Procedure, however, to the extent that systemic change results from a successful policy grievance or a series of incident grievances.

Negative impact appears minimal. While it may be argued that the resolutions in favor of the grievant are token concessions, this remains to be empirically demonstrated. This exploration suggests that (1) many genuine and fundamental changes have occurred as a result of grievances and (2) the informal and speedy resolution of incident grievances, while they may appear trivial to some, is a valuable innovation in prisons which serves the immediate needs of the inmate in adjusting to his day-to-day living conditions.

Finally, it is important to note that there was no noticeable pattern of systematic retaliation by officers or administration against grievants.

### 3. Impact on Line Officers

The impact of the Inmate Grievance Procedure on officers is less direct than on inmates. For those officers serving on the committee, special skills, a more symmetrical relationship with inmates, and a broader knowledge of the policies and procedures are gained. For those officers not directly involved with the procedure, the felt impact is limited to a clarification or modification of rules governing inmate behavior. There is some report of improved working conditions due to the following factors: (1) inmate anger is redirected (inmates file a grievance against policy rather than berating officers for enforcing policy); (2) previously ambiguous and contradictory rules have been clarified or altered, providing clearer direction and less arbitrary discretion in rule enforcement; and (3) some rules which have been difficult to enforce or unpopular have been changed.

Most salient to the officers is the procedure's absence of negative impact. Although the implementation of the Inmate Grievance Procedure was met with officer resistance and hostility, this was undermined when the officers discovered that very few grievances -- and even fewer successful grievances -- were filed against officers. The procedure now is generally accepted as just another "program" within the prison.

### 4. Impact on Administration

The Inmate Grievance Procedure has been an effective administrative tool. When the procedure is state-wide, it promotes parity within and among the state's facilities. Also, discrepancies between institutional rules and the actual operation of the facility begin to surface. The procedure also is reported to be an effective mechanism of social change;

**CONTINUED**

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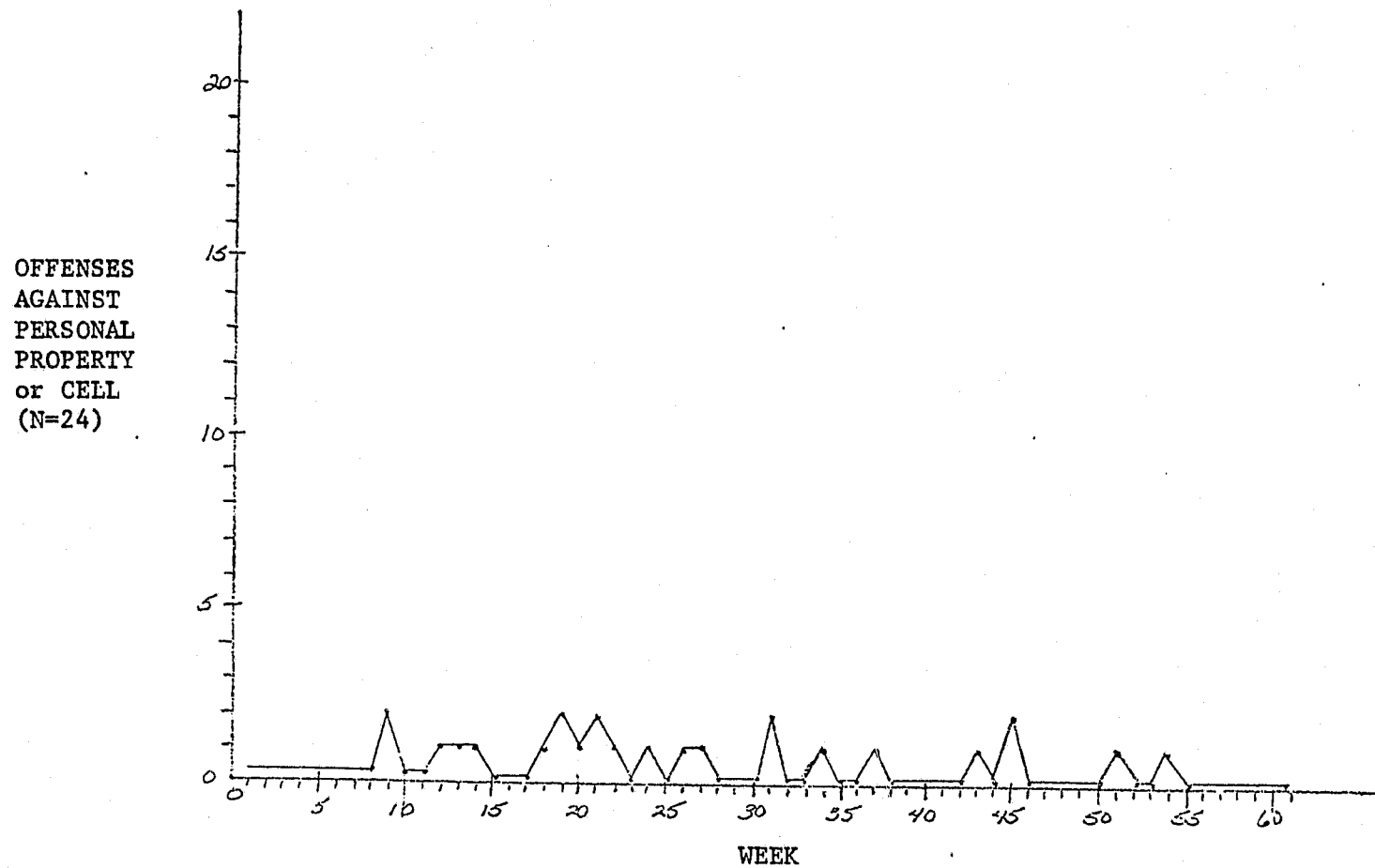


FIGURE III-29. FREQUENCY DISTRIBUTION OF OFFENSES AGAINST PERSONAL PROPERTY OR CELL FOR 61 WEEKS  
ATTICA -(Inmate Grievance Procedure Initiated at 10th Week)

OFFENSES  
AGAINST  
INSTITUTIONAL  
PROPERTY  
(N=432)

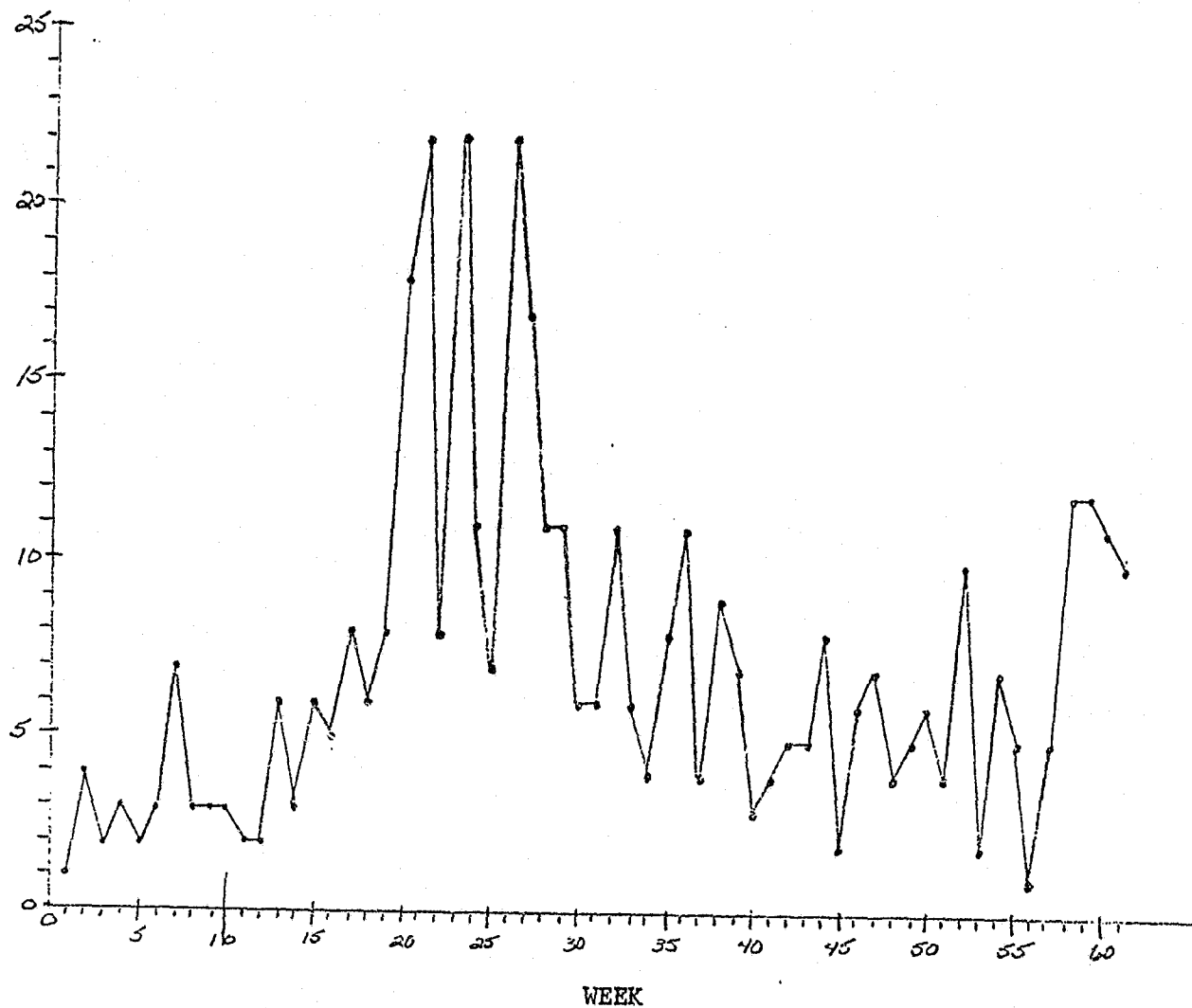


FIGURE III-30. FREQUENCY DISTRIBUTION OF OFFENSES AGAINST INSTITUTIONAL PROPERTY FOR 61 WEEKS, ATTICA (Inmate Grievance Procedure Initiated at 10th Week)

OFFENSES  
AGAINST  
PROPERTY  
(N=456)

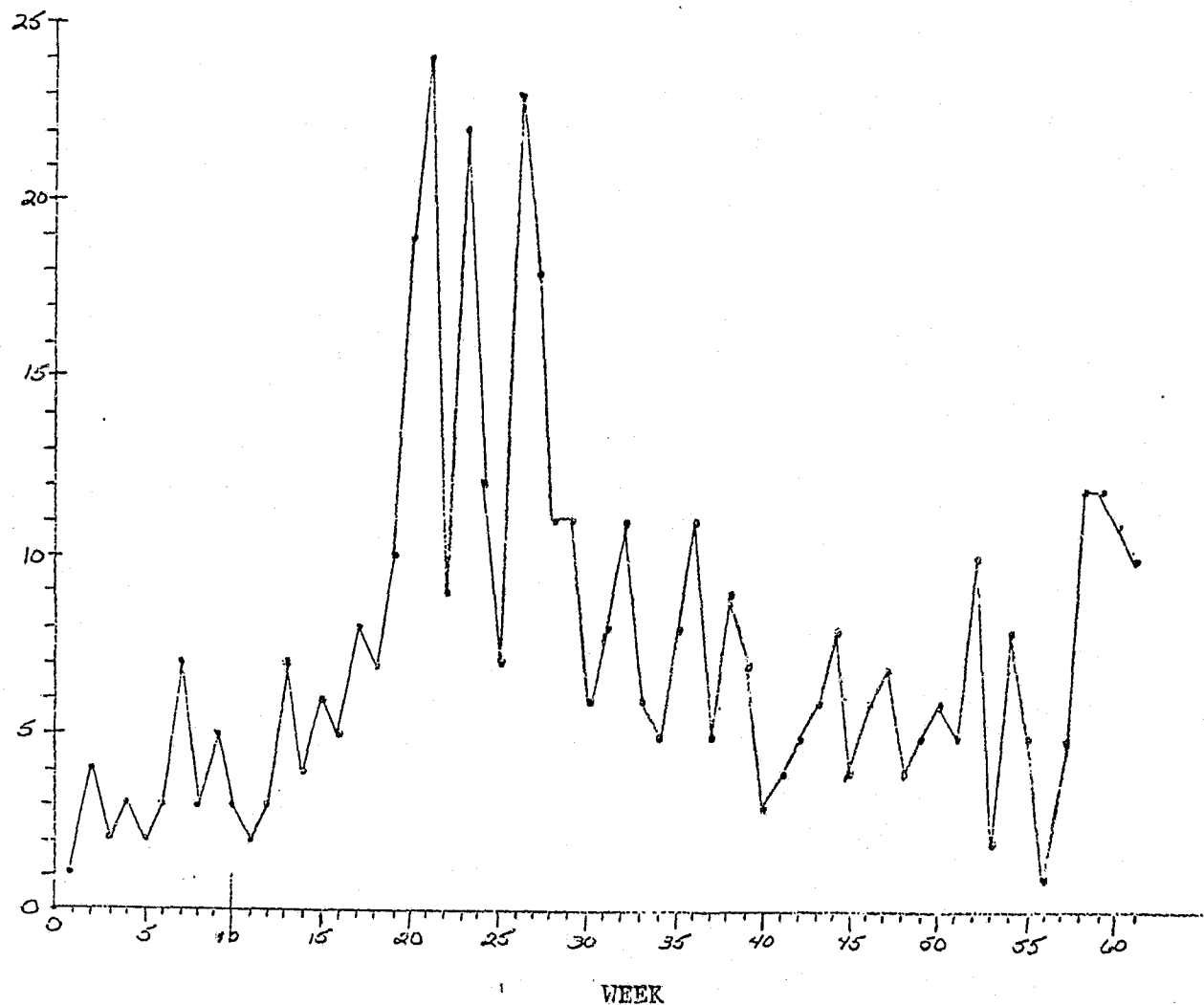


FIGURE III-31. FREQUENCY DISTRIBUTION OF OFFENSES AGAINST PROPERTY FOR 61 WEEKS, ATTICA  
(Inmate Grievance Procedure Initiated at 10th Week)



Offenses against order are represented in Figures III-32, III-33, and III-34. There is no apparent, long term decrease in the level of offenses against institutional rules and procedures at Attica, as illustrated in Figure III-32. The average weekly occurrence is 31.8 for weeks 1-10 and 34.0 and 29.4 for weeks 41-50 and 51-60, respectively. This decrease in the frequency of refusing a direct order, combined with an insignificant decrease in the frequency of offenses against rules and procedures, suggests that there has been some decrease in offenses against order. Figure III-34 combines the data of Figures III-32 and III-33 and adds the 21 offenses against furlough rules. The mean weekly occurrence of recorded offenses against order decreases from 60.6 during the ten weeks prior to the Inmate Grievance Procedure to 56.2 in weeks 41-50 and 49.7 in weeks 51-60.

In summary, Figures III-16 through III-18 and III-26 through III-28 suggest that the Inmate Grievance Procedure has had no visible impact on the level of violence at either Auburn or Attica. Nor has there been a significant change in the level of offenses against property at either facility, as seen in Figures III-19 through III-21 and III-29 through III-31. There is reason to believe, however, that the Inmate Grievance Procedure is related to the observed decrease in the frequency of recorded offenses against order at Auburn and Attica. Unfortunately, the pattern of decrease is not linear and it is impossible to know whether the lower level of such incidents at the end of the period of examination is a temporary flux, soon to increase again, or the beginning of a more permanent lowered level of such incidents. Should the latter be the case,

OFFENSES  
AGAINST  
RULE or  
PROCEDURE  
(N=2323)

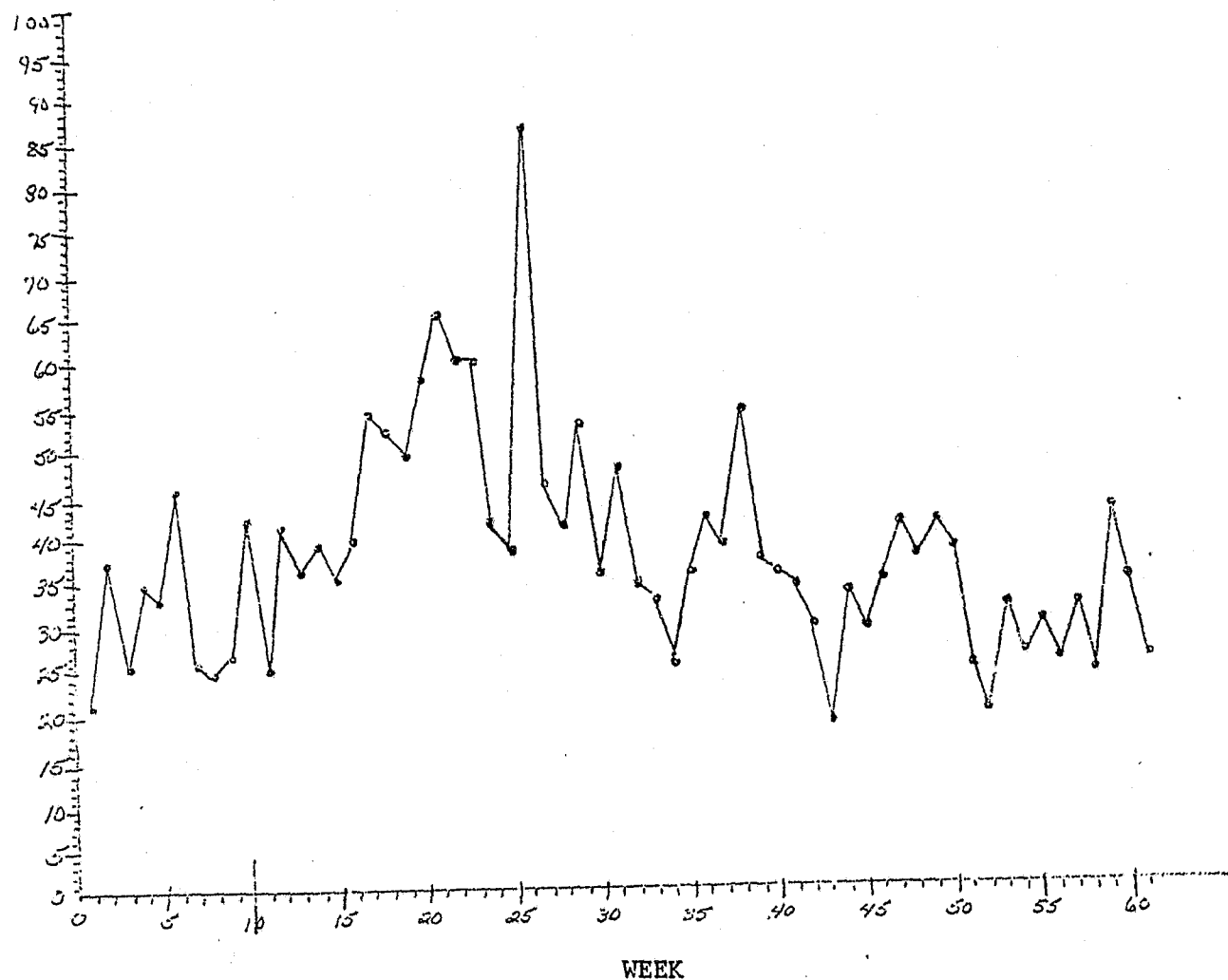


FIGURE III-32. FREQUENCY DISTRIBUTION OF OFFENSES AGAINST RULE OR PROCEDURE FOR 61 WEEKS, ATTICA (Inmate Grievance Procedure Initiated at 10th Week)

OFFENSES of  
REFUSAL of  
DIRECT ORDER  
(N=1449)

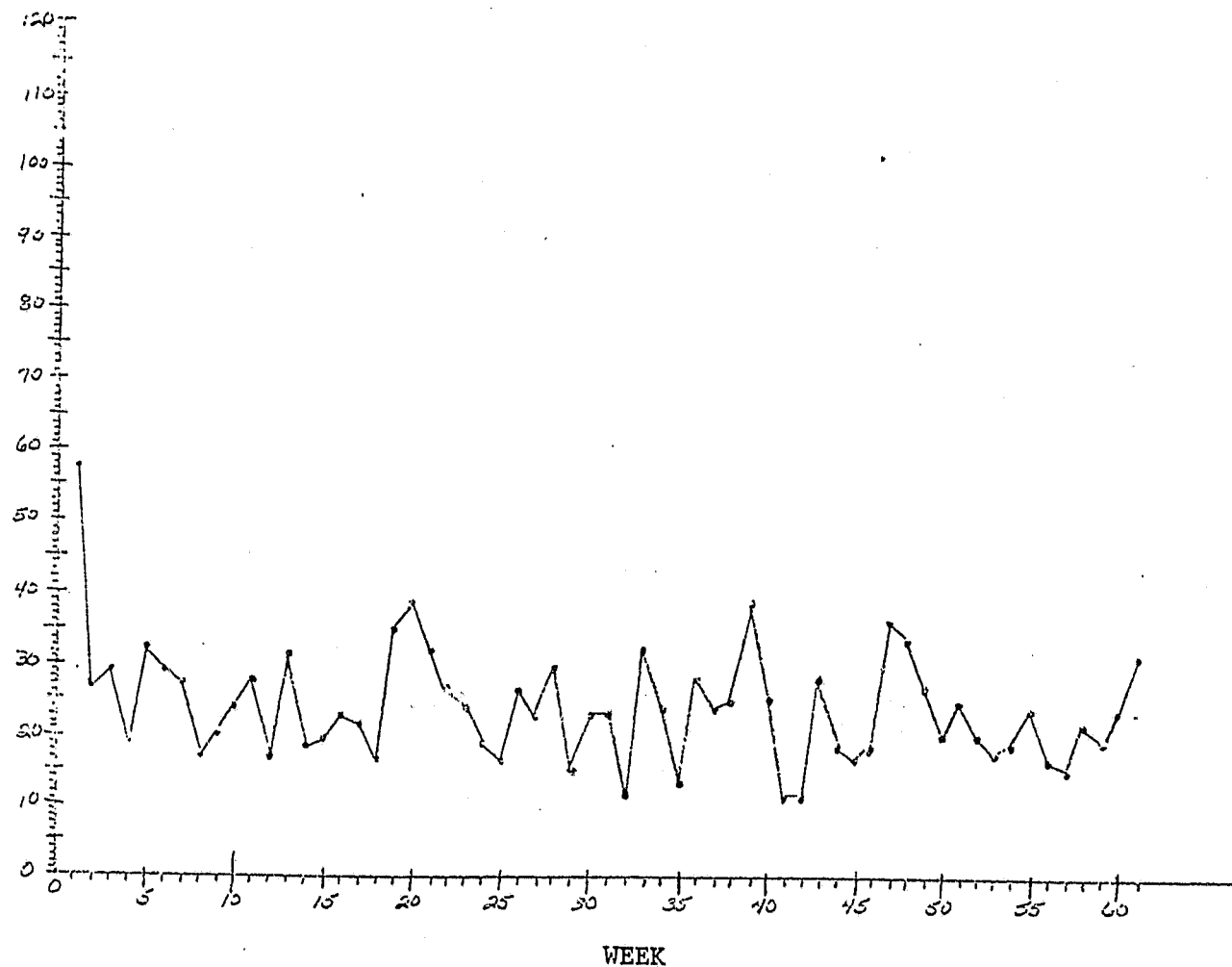


FIGURE III-33. FREQUENCY DISTRIBUTION OF REFUSAL OF DIRECT ORDER FOR 61 WEEKS, ATTICA  
(Inmate Grievance Procedure Initiated at 10th Week)

OFFENSES  
AGAINST  
RULES,  
PROCEDURES,  
DIRECT ORDERS  
and FURLOUGH  
(N=3793)

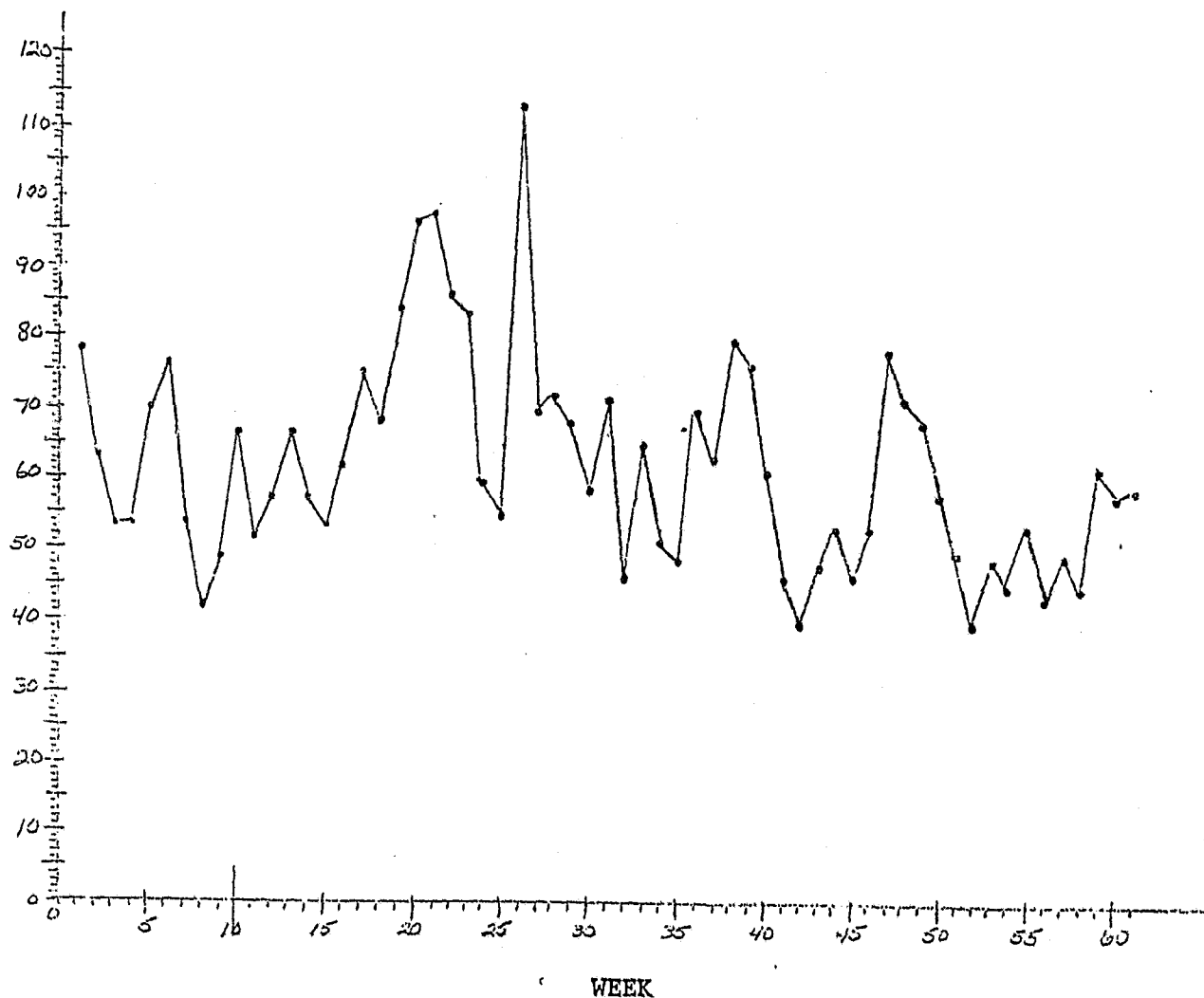


FIGURE III 34. FREQUENCY DISTRIBUTION OF OFFENSE AGAINST RULES, PROCEDURES, DIRECT ORDERS AND FURLOUGHS FOR 61 WEEKS, ATTICA(Inmate Grievance Procedure Initiated at 10th Week)

however, there are two reasons why the Inmate Grievance Procedure may account for such a reduction in offenses against order. First, the procedure has gained the credibility of the inmates and created an atmosphere in which inmates are willing to obey rules and procedures, with subsequent grievances being filed against those they feel to be unwarranted. Second, those rules or procedures which accounted for a significant number of earlier offenses have been clarified, deleted or altered as a result of the inmate grievance procedure. This second alternative will be examined in the context of the procedure's impact on the number and clarity of written rules.

The feasibility that the Inmate Grievance Resolution Committee and grievance clerk could assist in preventing or mediating group disorders was explored. Interviews following a strike at Auburn, however, suggest that this form of violence reduction does not appear to be possible. Inmates associated with the grievance procedure feel that their personal safety would be seriously threatened if they were to be seen as working for the administration, and officers must maintain the central focus on custody and control in times of crisis. It was generally felt that even if the inmates are perceived as negotiators on behalf of inmate interests, failure to achieve the strike's objectives would lead to the belief that the inmates had "sold out" to or been coopted by the administration. A similar line of reasoning applies to officer members, who would be harshly criticized by fellow officers should the negotiations fail or result in what is felt to be a concession to unrealistic inmate demands.

Additional concern was raised that such a use of the inmate members of the grievance procedure may actually increase the likelihood of group

incidents. If these inmates agree to represent the inmate population (or some subpopulation) and thereby protect the identify of the leaders of future strikes or incidents, then it is possible that those who would initiate such group activities will be less deterred by the threat of retaliatory measures taken by the administration against the leaders of such activities.

Finally, it is imperative to recognize that should the members of the grievance procedure attempt a prevention or resolution of collective activities and fail, the credibility of the grievance procedure and its ability to deal with inmate grievances may well be irreparably damaged.

b. The Reduction of Litigation

Although a central motivation behind the institutionalization of inmate grievance procedures is the reduction of time consuming, costly and unpredictable inmate-initiated litigation, there is reason to suspect that the procedure may, in fact, increase litigation. As one Deputy Commissioner told us, the procedure familiarizes the inmates with filing grievances, seeking intervention, and obtaining redress, all of which may stimulate more court petitions as well as grievances. This section explores the impact of the grievance procedure on litigation in the light of this uncertainty.

It is extremely difficult, if not impossible, to assess the impact of the Inmate Grievance Procedure upon the amount of inmate-initiated litigation against the correctional facilities or the Department of Correctional Services. One approach is to examine the frequency and type of such litigation over time. According to the Legal Advisor of the Department of Correctional Services, inmate-initiated litigation decreased from 2,383 cases in 1975 to 2,195 cases in 1976.

One may be tempted to view this eight percent decrease as a product of the February 5, 1976 inauguration of the Inmate Grievance Procedure. The information presented in Table III-33, however, suggests that the Inmate Grievance Procedure did not account for this decrease. Most types of litigation, such as those dealing with detainer, parole, sentence calculations and transfer, are not now subject to grievance within the established Inmate Grievance Procedure. Indeed, litigation pertaining to health services and tort claims, which can be grieved, increased from 1975 to 1976.

TABLE III-33

INMATE-INITIATED LITIGATION IN NEW YORK, 1975-1976

<u>Type of Litigation</u>	<u>1975</u>	<u>1976</u>	<u>% Change</u>
1. Health Services	68	114	+67.6
2. Challenge Judgement/Detainer	206	122	-40.8
3. Parole	744	553	-25.7
4. Employee Actions	12	11	- 8.3
5. Sentence Calculations	298	261	-12.4
6. Transfer Challenge	54	28	-48.2
7. Discipline Complaints	125	153	+22.4
8. Tort Claims	312	449	+43.9
9. Temporary Release	15	44	+193.3
10. Work Release	0	3	--
11. Appeals	64	39	-39.1
12. Miscellaneous	485	410	-15.5
TOTAL	2,383	2,195	- 7.9

It appears that the reduction in litigation is due to such factors as court rulings rather than the Inmate Grievance Procedure. A comparison of litigation within New York to that of similar states may be instructive, but it would not be conclusive. Whether litigation in other states increased, remained constant or decreased would be meaningless without a thorough comparison of such factors as number of inmates, type

of facility, degree of over-crowding, and judicial precedent in respective courts.

In our attempt to explore the impact of the Inmate Grievance Procedure on the amount of litigation, we focused on the potential litigation that was being dealt with by the grievance machinery. To the extent that grievances do not deal with legal issues or lack legal merit, then the grievance procedure has minimal impact on reducing litigation. If, on the other hand, a significant proportion of the grievances pertain to justiciable issues, then the grievance procedure may be viewed as an alternative mechanism to resolve issues that could have (but not necessarily would have) gone to court. Whether the court would have upheld the grievant is one factor, but the cost to the Department of Correctional Services of preparing the legal work and the crowding of the court docket are equally relevant factors in the desire to reduce litigation.

A comparison of the rating of a sample of grievances by the two attorneys<sup>\*</sup> demonstrates that they agreed on the nature of the legal issue in all cases. The coefficient of inter-rater reliability with regard to the justiciability of the grievances is .96, indicating agreement on 96 percent of the 154 grievances. Among those 6 cases on which there was disagreement, rater #1 was more conservative (found less or no merit) on 4 cases and rater #2 was more conservative on 2 cases. In our attempt to make as conservative a statement as possible, the analysis of justiciability is based upon the ratings by rater #1.

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\*The method of selecting grievances and performing the ratings has been discussed earlier in this report (see pp.     )



The 154 grievances were grouped according to the legal issue involved, as outlined in Table III-34. Communication, comprising 43 of the 154 grievances (28 percent) is the most frequent legal issue raised, although grievances pertaining to classification (18 percent) and conditions of confinement (17 percent) were also prevalent. The legal issues of discrimination, First Amendment rights, and medical care or rehabilitation contained few grievances.

Table III-34 also provides a breakdown of the justiciability of the grievances according to the legal issue involved. Fifty-nine percent of the grievances were deemed to be without legal merit and unworthy of court action; 19 percent were clearly justiciable. The remaining cases were categorized as meritorious but in need of additional, usually factual, information. These data suggest that, at minimum, about twenty percent of the grievances from Attica and Auburn which came to the Central Office Review Committee in 1976 could have gone to court.\* In addition, another three to twenty percent may have been of sufficient merit to bring to the attention of the courts. By this criterion, the Inmate Grievance Procedure appears to have the potential of diverting and resolving grievances that may have resulted in costly litigation.

Table III-34 categorizes those grievances which were judged to be justiciable: First Amendment rights, communication, due process and privacy/personal appearance are the issues which are most likely to be justiciable; conditions of confinement, medical care/rehabilitation, classification and property issues were judged to be disproportionately without legal merit.

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\*Of course, all grievances could have been filed in court and would require the attention of a court clerk. Our concern is to identify those grievances which would have merited a hearing.

TABLE III-34  
JUSTICIABILITY OF GRIEVANCES COMING TO CENTRAL OFFICE IN NEW YORK

Legal Issue	Frequency of Grievance			Justiciability of Grievance			
	Attica	Auburn	Total	Clear Merit	Merit, Law Unclear	Merit, Fact Unclear	No Merit
Due Process	<u>10</u>	<u>5</u>	<u>15</u>	<u>3</u>	<u>0</u>	<u>4</u>	<u>8</u>
Access to Courts	2	1	3	2	0	0	1
Disciplinary Hearings	6	2	8	0	0	3	5
Grievance Procedure/ Inmate Liaison Committee	2	2	4	1	0	1	2
Conditions of Confinement	<u>20</u>	<u>6</u>	<u>26</u>	<u>2</u>	<u>0</u>	<u>5</u>	<u>19</u>
Overcrowding	0	0	0	-	-	-	-
Inadequate Medical Treatment	2	0	2	0	0	2	0
Physical Abuse by Guards	0	0	0	-	-	-	-
Solitary Confinement in Strip Cells	0	0	0	-	-	-	-
Recreation	6	1	7	0	0	0	7
Inadequate Diet	1	3	4	1	0	0	3
Corporal Punishment	0	0	0	-	-	-	-
Psychological Harassment by Guards	4	0	4	0	0	2	2
Institutional Rules	7	2	9	1	0	1	7
Communication	<u>19</u>	<u>24</u>	<u>43</u>	<u>10</u>	<u>1</u>	<u>12</u>	<u>20</u>
Mail	10	10	20	7	1	4	8
Censorship (Book, Other Printed Material)	3	1	4	2	0	2	0
Visitors	6	2	8	0	0	5	3
Packages	0	10	10	1	0	1	8
Telephone	0	1	1	0	0	0	1
Religious/Racial Discrimination	<u>1</u>	<u>2</u>	<u>3</u>	<u>1</u>	<u>0</u>	<u>0</u>	<u>2</u>
Religious Practices	0	2	2	1	0	0	1
Dietary Considerations	0	0	0	-	-	-	-
Racial	1	0	1	0	0	0	1
Religious Garments and Insignia	0	0	0	-	-	-	-
First Amendment Rights	<u>0</u>	<u>2</u>	<u>2</u>	<u>2</u>	<u>0</u>	<u>0</u>	<u>0</u>
Privacy/Personal Appearance	<u>9</u>	<u>7</u>	<u>16</u>	<u>8</u>	<u>1</u>	<u>0</u>	<u>7</u>
Strip Searches	1	2	3	3	0	0	0
Kind of Clothing	1	1	2	0	1	0	1
Hair	2	2	4	3	0	0	1
Hands in Pockets, Shirt Tucked in, etc.	1	0	1	0	0	0	1
Appearance of Cell and Cell Searches	4	2	6	2	0	0	4
Medical Care, Rehabilitation	<u>4</u>	<u>1</u>	<u>5</u>	<u>0</u>	<u>1</u>	<u>0</u>	<u>4</u>
General Medical Care	2	0	2	0	0	0	2
Rehabilitation	0	0	0	-	-	-	-
Right of Protection	1	0	1	0	1	0	0
Right to Treatment	1	1	2	0	0	0	2
Classification	<u>13</u>	<u>14</u>	<u>27</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>21</u>
Temporary Release Committee	8	6	14	1	1	1	11
Pay Scale	1	2	3	0	0	0	3
Program Assignments	3	5	8	0	1	1	6
Transfers	1	1	2	0	0	1	1
Property	<u>8</u>	<u>7</u>	<u>15</u>	<u>2</u>	<u>0</u>	<u>4</u>	<u>9</u>
Commissary	3	0	3	0	0	1	2
Lost/Damaged	3	2	5	1	0	2	2
Institutional Governance of Inmate Property	2	5	7	1	0	1	5
Other	<u>2</u>	<u>0</u>	<u>2</u>	<u>0</u>	<u>0</u>	<u>1</u>	<u>1</u>
TOTAL	86	68	154	29	5	29	91

Table III-35 indicates the relationship between the legal merit of the grievance and the ultimate resolution of the grievance by the Inmate Grievance Procedure. The data clearly indicate that the resolution of the grievance is consistent with the degree of legal merit involved in the grievance. Of the 29 cases with clear merit, 23 (79 percent) were resolved either entirely in favor of the grievant or with some compromise. Similarly, 67 of the 91 cases (74 percent) judged to be without merit were resolved against the grievant. Looking at the same information from a different perspective, 14 of the 35 cases (40 percent) resolved in favor of the grievant had no legal merit whereas only 6 of the 93 cases (5 percent) resolved against the grievant had clear legal merit. It thus appears that the resolution of grievances is accomplishing similar actions as might be expected had the grievances been presented to an unpredictable court.

TABLE III-35

THE RELATION BETWEEN JUSTICIABILITY AND RESOLUTION

	Resolution of Grievance			Total
	In Favor of Grievant	Compromise	Against Grievant	
Justiciability of Grievance				
Clear Merit	14	9	6	29
Merit, Law Unclear	2	0	3	5
Merit, Facts Unclear	5	7	17	29
No Merit	14	10	67	91
TOTAL	35	26	93	154

The majority (66 percent) of the grievances reviewed were resolved by the Central Office Review Committee, 27 percent were resolved by the Commission on Corrections, one grievance was resolved by arbitration and the remaining ten cases were resolved by the Commissioner. Table III-36 illustrates the extent to which the justiciability of the grievance is

related to the level of final resolution. Whether the grievance had clear legal merit or no legal merit, the grievance was equally likely (66 percent) to be resolved by the Central Office Review Committee. That is, there is no evidence to suggest that the Central Office Review Committee is disproportionately resolving only those grievances with legal merit or, conversely, resolving only those without legal merit; rather, the Central Office Review Committee appears to be providing a "satisfactory" (i.e., not appealed) resolution regardless of the justiciability of the grievance. Similarly, it should be pointed out that the grievants are equally likely to appeal the decision of the Central Office Review Committee regardless of the legal merit of their grievance.

TABLE III-36

RELATION BETWEEN JUSTICIABILITY OF GRIEVANCE  
AND LEVEL OF FINAL RESOLUTION

	Level of Final Resolution			
	Central Office Review Committee	Commission on Corrections	Arbitration	Commissioner
<u>Justiciability</u>				
Clear Legal Merit	19	6	0	4
Legal Merit, Law Unclear	4	1	0	0
Legal Merit, Facts Unclear	19	8	0	2
No Legal Merit	60	26	1	4
TOTAL	102	41	1	10

These findings indicate that the degree to which the grievances are resolved by the Central Office Review Committee is not determined by the justiciability of the grievance. However, it does appear that the type of resolution is not associated with the legal merit of the grievance. Of the 29 grievances with clear legal merit, 19 were resolved by the Central Office Review Committee: eight in favor of the grievant, seven by compromise and four against the grievant. The remaining 10 cases were

appealed to the Commission or Commissioner, who resolved the grievance against the grievant only twice. The finding that the Central Office Review Committee did not satisfactorily resolve 10 of 29 justiciable grievances (eight of which were subsequently justified) suggests that the Committee is not assuming as receptive a posture as might be deemed necessary to resolve justiciable grievances and, concurrently, resolve meritorious issues at the lowest level possible without additional time delays. However, it should be remembered that the Central Office Review Committee may feel the occasional need to allow the Commission or Commissioner to make decisions on those grievances of widespread and radical change in existing policy or procedure.

In conclusion, this analysis of a sample of grievances from Attica and Auburn suggests the following:

- 1) At minimum, 19 percent of the grievances are justiciable and could have gone to court, and an additional 22 percent were deemed to be meritorious but in need of additional information.
- 2) The resolution of the grievances is in line with their degree of merit, and it seems unlikely that the courts would provide a more responsive audience to inmates.
- 3) There is no evidence that the Central Office Review Committee is satisfactorily resolving grievances on the basis of legal merit; those with merit are no more likely to be resolved at that level than those without legal merit and, consequently, grievances with merit which are eventually resolved in favor of the grievant (or by compromise) are not being diverted from the appeal process by an acceptable resolution by the Central Office Review Committee.

These findings and conclusions must be interpreted in light of the sample on which they are based. Although the sample consists of only 154 of the 472 grievances filed at Attica and Auburn in 1976 which reached the Central Office Review Committee and which were closed by August 22, 1977, the implication of the findings assumes greater importance when we recognize that there were 459 grievances from Attica and 203 grievances from Auburn which came to the attention of the Central Office Review Committee in 1976. Furthermore, there were 1,647 grievances system-wide which were responded to by the Central Office Review Committee. Since clearly justiciable grievances comprised 19 percent of those in the sample, one might logically anticipate an equal proportion from the entire system. Calendar year 1976 would then have yielded 313 justiciable grievances from the entire system which could have resulted in litigation had not the Inmate Grievance Procedure been in operation.

c. Increased Perception of Fairness

There was consensus from all relevant parties at the beginning of the study that increased inmate perception of fairness and trust in the administration would depend, to a great extent, upon the procedure's ability to conform to its own guidelines. Insufficient numbers of poorly trained and under-resourced staff and underdeveloped procedures at the local facilities and at Albany contributed to the failure of the procedure to establish and maintain a high degree of credibility. These factors, combined with the high rate of inmate turnover and its resultant problems of inmate investment in the Inmate Grievance Procedure, have led, we believe, to a finding of no significant increase in the inmates' perception of fairness and trust.

The responses of officers and inmates to selected items are presented in Table III-37. There is a higher percentage of responses after one year indicating fairness, quickness and written replies at both Auburn and Attica, but only among correctional officers. The fact that the Inmate Grievance Procedure is viewed as a fair means of resolving inmate complaints by more officers than those who saw the previous system as fair, suggests that initial fears and hostilities have been overcome. Subsequent analyses, not included here, found no relationship between an officer's perception of the procedure as fair, speedy, or providing written replies and such factors as familiarity with the procedure, involvement with the procedure, usefulness of the procedure or necessity of the procedure. Nor were length of employment, education, or one's view of one's job as a career related to perception of the procedure's fairness, speed or provision of written replies. In short, officers in 1977 were more likely than officers in 1976 to report that inmate complaints were handled fairly not because of their own background characteristics or view of the procedure, but because the procedure had been, at the least, harmless and, at the most, helpful.

In comparison, inmates in 1977 were less likely than inmates in 1976 to positively evaluate the fairness, speed, and written replies of the way their grievances were being handled. Analyses not presented here indicate that the responses of inmates to these items are related to other inmate opinions about the Inmate Grievance Procedure. Attitudes toward speediness of the procedure are unrelated to other attitudes among Attica inmates. Among Auburn inmates, however, the more useful and necessary the procedure was felt to be, the more likely it is the procedure is viewed as speedy.

TABLE III-37

CORRECTIONAL OFFICER AND INMATE RESPONSES TO ITEMS SELECTED TO  
ASSESS FAIRNESS IN GRIEVANCE RESOLUTION, COMPARISON OF BEFORE  
AND AFTER INMATE GRIEVANCE PROCEDURE, NEW YORK

	Attica		Auburn	
	Time 1	Time 2	Time 1	Time 2
<u>OFFICERS</u>				
Inmate complaints will be/have been worked out:	(N=54)	(N=73)	(N=149)	(N=114)
a. very well	1.9	5.5	5.4	9.6
b. pretty well	27.7	53.4	61.7	70.2
c. not very well	51.9	32.9	25.5	13.2
d. very poorly	18.5	8.2	4.7	4.4
e. don't know	--	--	2.7	2.6
Inmate complaints handled fairly:	(N=61)	(N=77)	(N=157)	(N=118)
a. always	19.7	16.9	10.2	13.6
b. most of time	54.1	55.8	54.1	69.5
c. some of time	11.5	11.7	15.3	5.1
d. seldom	3.3	1.3	1.3	0.8
e. never	0.0	1.3	0.0	0.0
f. don't know	11.5	13.0	19.1	11.0
Inmate complaints handled quickly:	(N=61)	(N=77)	(N=157)	(N=118)
a. always	14.8	11.7	6.4	11.0
b. most of time	50.8	48.1	38.2	48.3
c. some of time	13.1	15.6	28.0	22.9
d. seldom	4.9	7.8	7.6	3.4
e. never	1.6	0.0	0.0	0.0
f. don't know	14.8	16.9	19.7	14.4
Inmate complaints receive written reply:	(N=61)	(N=77)	(N=157)	(N=118)
a. always	14.8	18.2	12.1	19.8
b. most of time	27.9	32.5	22.3	34.5
c. some of time	29.5	16.9	28.0	20.7
d. seldom	8.2	5.2	10.2	3.4
e. never	0.0	0.0	1.9	0.0
f. don't know	19.1	27.3	25.5	21.6
<u>INMATES</u>				
Inmate complaints will be/have been worked out:	(N=162)	(N=99)	(N=210)	(N=267)
a. very well	9.3	1.0	6.7	2.2
b. pretty well	21.0	10.1	22.4	24.7
c. not very well	34.0	55.6	41.9	42.7
d. very poorly	25.3	32.3	21.0	26.2
e. don't know	10.5	1.0	8.1	4.1
Inmate complaints handled fairly:	(N=163)	(N=102)	(N=199)	(N=274)
a. always	1.8	0.0	0.5	1.1
b. most of time	4.3	1.0	3.0	4.7
c. some of time	20.2	11.8	16.6	21.5
d. seldom	32.5	39.2	32.2	40.5
e. never	22.1	37.3	14.1	21.2
f. don't know	19.0	10.8	33.7	10.9
Inmate complaints handled quickly:	(N=163)	(N=102)	(N=198)	(N=275)
a. always	3.6	1.0	0.5	2.5
b. most of time	3.0	1.0	3.0	4.0
c. some of time	14.5	12.7	13.1	14.9
d. seldom	30.9	34.3	30.8	40.0
e. never	26.7	39.2	19.7	28.7
f. don't know	21.2	11.8	32.8	9.8
Inmate complaints receive written reply:	(N=158)	(N=103)	(N=199)	(N=273)
a. always	6.3	4.9	8.1	9.9
b. most of time	17.7	9.7	18.8	21.6
c. some of time	16.5	26.2	18.8	23.4
d. seldom	27.2	32.0	16.2	20.1
e. never	10.8	11.7	5.1	8.8
f. don't know	21.5	15.5	33.0	16.1



Inmate responses pertaining to the frequency with which written replies are received were unrelated to familiarity with or necessity of the Inmate Grievance Procedure. Nor were they related to whether the inmate had used the procedure. In fact, the only relationship to frequency of written replies is that a higher frequency is likely to be reported by those who see it as a useful system to deal with inmate grievances -- and this relationship is found only among Attica inmates.

The frequency with which inmates feel grievances are handled fairly is also unrelated to familiarity with the procedure, perceived necessity of such a procedure, or even use of the procedure. Those who feel complaints are more frequently handled fairly, however, are more likely to indicate that the procedure is useful (at Attica and Auburn) and are more likely to feel that future inmate complaints will be worked out well (at Attica only). In short, the fairness of the procedure, its utility, and the trust that future complaints will be satisfactorily resolved are different measures of the inmates' perception of the fairness of the Inmate Grievance Procedure. Yet these three items, like speed and written reply, are largely unrelated to whether the inmate felt the procedure was necessary, felt it is useful, or has in fact used the procedure.

In conclusion, there is no information to indicate that the inmate population in 1977 was any more likely than the inmate population of 1976 to feel that their complaints would receive a prompt and judicious hearing. Furthermore, there is no evidence to suggest that such a perception of fair and just treatment could be increased by an improved orientation to the procedure or by increased useage of the procedure. These findings, together with the favorable responses of correctional officers, suggest

that a major failing of the procedure has been its inability to foster significant changes in the climate of the correctional facilities.

d. Increase Clarity and/or Number of Written Rules

It is difficult to document the extent to which the number and or clarity of written rules has been altered due to the Inmate Grievance Procedure. Those new rules resulting from grievances are relatively clear illustrations of the procedure's ability to affect change, and such new directives can be enumerated. Yet it is frequently the case that written responses from the IGRC, Superintendent or CORC contain statements to the grievant which set forth in writing what was implicit or ambiguous. In such cases, the procedure has brought clarity to the grievant and/or staff, but no policy or procedure has been demonstrably affected. Consequently, any discussion of the visible rule changes and policy clarifications that are produced by the Inmate Grievance Procedure can only scratch the surface of this issue.

Many visible changes in the rules did occur, but the most visible alterations were deletions of those rules (the origin of which was ill-remembered) whose "security" basis could not withstand close scrutiny. Regulations pertaining to length of hair, neat appearance, walking with hands in pockets, type of clothing, etc., were among the first and most conspicuous to be altered or dropped. In some cases existing rules were amended to allow for recurrent situations, such as problems with inmate accounts. Rule clarifications, however, are less visible.

The exploration of change in rule violations is one possible technique to examine the degree to which rules have been clarified. This approach makes the assumption that a decrease in the reported incidence

with which rules are violated is an indication that those rules -- and their underlying rationale -- are better understood by the inmate population. Thus, a significant decrease in the number of recorded incidents of rules pertaining to grooming, for example, would suggest greater clarity and/or some alteration of the rules over time.

Since all inmate behavior is regulated by some rules and procedures, all disciplinary reports involve rule violations. The severity and nature of the violations may range from attempted escape, possession of contraband, and assault, on the one hand, to spitting, littering, or wearing a hat in the school building. Our attempt to examine the degree of change in rule violations, therefore, omitted from consideration those rules pertaining to violent acts and the possession of contraband.

Comparable dates were selected to minimize the distortion effect of such factors as holidays, seasonal differences and program changes (especially within the prisons' schools). Recorded offenses at Attica from November 30, 1975 through January 31, 1976 are compared to those from November 28, 1976 through January 28, 1977 and, similarly, recorded offenses at Auburn from November 9, 1975 through January 31, 1976 are compared to those occurring from November 7, 1976 through January 29, 1977. Since many rules are infrequently violated, the examination of change includes only those rules with a high reported incidence at one of two time periods at one or both of the prisons.

The data presented in Table III-38 indicate, for each of 16 rules, the frequency with which its violation was reported at either Attica or Auburn during the time periods established for comparison. Since a single entry in the Daily Journal may indicate the infraction of more than

TABLE III-38

## ANALYSIS OF CHANGE IN FREQUENCY OF RULE INFRACTIONS, UTILIZING THOSE WHICH PREDOMINATE IN EITHER 1975-1976 OR 1976-1977, ATTICA AND AUBURN

	Attica Offenses								Auburn Offenses							
	Nov. 30, 1975- Jan. 31, 1976				Nov. 28, 1976- Jan. 28, 1977				Nov. 9, 1975- Jan. 31, 1976				Nov. 7, 1976- Jan. 29, 1977			
	Total <sup>a</sup>	1st	2nd	3rd	Total <sup>a</sup>	1st	2nd	3rd	Total <sup>a</sup>	1st	2nd	3rd	Total <sup>a</sup>	1st	2nd	3rd
	(806)	(234)	(45)		(795)	(414)	(223)		(1015)	(301)	(66)		(636)	(321)	(140)	
1.90 Refuse to Obey Direct Order	290	248	34	8	294	187	86	21	218	177	36	5	191	136	42	13
2.30 Threat to Employees or Inmates	44	26	14	4	64	34	17	13	25	12	10	3	41	20	12	9
3.00 Violate Local Rules/Procedures	5	5	0	0	79	39	25	15	10	4	6	0	12	6	5	1
3.20 Grooming/Hygiene	29	18	10	1	38	13	21	4	47	34	8	5	22	11	8	3
3.30.1 Abuse of Privilege	37	26	10	1	52	30	11	11	32	20	11	1	36	13	8	15
3.30.2 Abusive Language	32	14	14	4	46	14	14	18	35	16	13	6	39	6	25	8
3.30.5 Failure to Cooperate with "Count"	21	12	9	0	56	13	7	36	17	6	9	2	10	4	3	3
3.30.08 Harrassment of Employees or Inmates	15	9	6	0	52	11	21	20	9	4	2	3	11	4	3	4
3.30.10 Loitering	24	19	5	0	46	29	14	3	86	76	6	4	41	23	11	7
3.30.11 Loud/Boisterous Behavior	24	23	1	0	38	15	13	10	3	2	1	0	3	1	1	1
3.30.12 Lying	35	17	16	2	23	10	6	7	16	19	5	2	21	8	8	5
3.30.13 Out of Place (Unauthorized)	56	50	5	1	57	29	21	7	167	124	40	3	83	40	32	11
3.30.17 Refuse to Accept Work/Program Assignment	4	0	3	1	18	9	9	0	50	47	3	0	41	34	6	1
4.1 Disrespect to Employees or Inmates	66	36	25	5	6	3	2	1	34	9	22	3	9	2	2	5
6.1 Unclean Cell	1	0	1	0	0	0	0	0	35	30	5	0	7	5	0	2
6.2 Disrespect "Quiet Bell"	0	0	0	0	0	0	0	0	104	100	4	0	23	19	3	1

<sup>a</sup> The Total indicates the frequency with which each rule violation was recorded during this time, whether that rule infraction was entered as the first offense, second offense or third offense. From November 30, 1975 through January 31, 1976 at Attica, for example, there were 806 entries (i.e., inmates recorded) in the Daily Journal, of which 234 indicated a second offense and 45 indicated a third offense. Thus, there were a total of 290 incidents of refusing a direct order: 248 of the 806 first offenses, 34 of the 234 second offenses and 8 of the 45 third offenses.

one rule (e.g., an inmate simultaneously reported for Refuse Direct Order, Abusive Language, Loud Behavior), the information is grouped according to whether the rule infraction was reported as a first, second or third offense. It can be seen that there were a total of 806 cases in which one of these sixteen rules was reported as the first offense at Attica during the 1975-1976 period; there were 234 cases in which one of these sixteen rules was a second offense, and 45 cases of a third offense.

An inspection of the data from Attica reveals some major shifts between the two time periods. The total number of first offenses remained relatively constant (806 and 795), but there was a significant increase in the number of second and third offenses reported during the 1976-1977 period. As a result, the total number of offenses increased from 1085 in 1975-1976 to 1432 in 1976-1977. The impact of this overall change is noted in the reported incidence of "Failure to Cooperate With Count": as first offense, the change is negligible (12 in 1975-1976 and 13 in 1976-1977), yet the change in the total is substantial (21 in 1975-1976 and 56 in 1976-1977) due to the 36 incidents recorded as third offense.

Two other interesting changes occur at Attica. The incidence of "Violation of Local Rules and Procedures" jumps from five cases in 1975-1976 to 79 cases in 1976-1977. Given the large number of specific local rules or procedures which can also be used to record the incident, it appears that this increase is due to a change in reporting/recording rather than actual incidence. It is also noteworthy that the incidence of "Disrespect to Employees or Inmates" is reduced from 66 to six cases, while the frequency of "harassment of Employees or Inmates" increases from 15 to 52. Have the officers merely altered their classification of behavior while the behavior remains constant?

The information from Auburn does not reveal the type of changes noted at Attica. The total number of incidents (first, second and third) decreased from 1382 in 1975-1976 to 1097 in 1976-1977, although there was some increase in the number of third offenses reported. The frequency with which specific rule infractions occurred remained quite stable, with three exceptions. The number of incidents for "Loitering" and "Out of Place" were halved one year later, and the frequency of reported incidents of "Disrespect Quiet Bell" in 1976-1977 was only one-fourth that during 1975-1976. These decreases in the frequency of rule violations may be due to greater clarity or alteration of the rules, yet the fact that only three of the sixteen most frequently violated rules are affected suggests little measurable change in the overall clarity of rules.

In fact, the changes noted at Attica suggest that these reports of rule violation are relatively meaningless when discussing specific rules or procedures. There appears to be great latitude in the classification of the violation and in the decision to report a second or third offense simultaneously. In conclusion, it appears that the data are most unreliable for the purpose of measuring change in recorded incidence of the violation of specific rules. The utilization of these data to examine the impact of the grievance procedure on the clarification of rules is questionable.

Yet there remains a possibility of impact since data presented earlier (Figures III-22 through III-24 and Figures III-32 through III-34) do indicate a substantial decrease in the number of violations of rules and procedures. Although our attempt to examine change in specific rules has

proven fruitless, the fact remains that this general decrease may be attributable to the presence of the Inmate Grievance Procedure.

Interviews conducted with administrators and staff suggest that the first impact of the Inmate Grievance Procedure was to obscure the rules rather than provide clarification. One basic reason is that the large number of grievances against policy and procedure introduced an atmosphere of tentativeness and confusion. Are yesterday's rules the same today? Has CORC responded to the grievance pertaining to visiting rules? How is the new directive to be interpreted and implemented? This state of normlessness was equally pronounced among both inmates and officers. A second reason for the existence of obscurity rather than clarity rests with the ineffective communication of new rules and procedures to officers. Important new directives are posted on a bulletin board and added to the staff manual, but these methods are not sufficient to fully inform all staff of the changes that occur and to affect their behavior accordingly.

The officer and inmate responses presented in Table III-39 indicate the perceived impact of the Inmate Grievance Procedure on the number and clarity of written rules. Nearly one-fifth of the officers at Attica and two-fifths of the Auburn officers report that the new procedure has helped to clarify or improve existing policy. It is interesting that almost identical percentages of the inmate sample indicate that the clarity of the existing policy has been improved due to the Inmate Grievance Procedure. Furthermore, over half of the Attica officers and nearly half of the Auburn officers feel that the number of rules had increased as a result of the Inmate Grievance Procedure. Yet a sizeable percentage

TABLE III-39

CORRECTIONAL OFFICER AND INMATE RESPONSES TO ITEMS  
SELECTED TO ASSESS IMPACT OF INMATE GRIEVANCE  
RESOLUTION PROCEDURE ON WRITTEN RULES, NEW YORK

	<u>Attica</u>	<u>Auburn</u>
<u>OFFICERS</u>		
Inmate Grievance Procedure helped clarify or improve existing policy here	(N=76)	(N=117)
a. agree	19.7	41.0
b. disagree	56.6	23.9
c. don't know	23.7	35.0
Due to Inmate Grievance Procedure, number of written rules here has:	(N=75)	(N=115)
a. increased	54.7	45.2
b. decreased	34.7	21.7
c. no change	4.0	16.5
d. don't know	6.7	16.5
<u>INMATES</u>		
Inmate Grievance Procedure helped clarify or improve existing policy here	(N=104)	(N=271)
a. agree	19.2	40.6
b. disagree	51.9	32.1
c. don't know	28.8	29.3



report a decrease in the number of rules as well; apparently the officers agree that the number of rules has not remained unchanged, but disagree as to whether it has increased or decreased.

Among inmates at both Attica and Auburn, the respondents are more likely to view the procedure as increasing the clarity of rules if they are familiar with the procedure or view it is a useful grievance procedure. At Auburn, those who feel the procedure was necessary and those who have used the procedure are more likely to indicate that it has improved the clarity of the rules. Further, those who feel the procedure clarifies policy are more likely to report feeling comfortable in filing grievances against policy, staff, equipment and enforcement of policy.

Correctional officers who reported an increase in the clarity of rules were more likely to view the procedure as necessary and useful than those who did not feel clarity had increased. At Auburn, there is a tendency for newer officers to report greater clarity than their senior counterparts. Similarly, officers who have been employed for a shorter time report that the number of rules had decreased, while those employed for a longer period are more likely to report that the number of written rules has increased. Somewhat surprisingly, there is no relationship between the perceived increase or decrease in written rules and the procedure's perceived ability to clarify the rules.

In summary, it appears that the Inmate Grievance Procedure had a significant, measurable impact upon the number of rules. A large number of rules were called into question and, as a result, a sizeable proportion were modified or deleted. Also, officers responding to the survey at Auburn and Attica concurred that the number of rules had increased as

a result of the Inmate Grievance Procedure. It is not readily apparent, however, that the clarity of the rules increased. It is true that the frequency of rule infractions decreased over time at Auburn (Figure III-22) and Attica (Figure III-34). Yet the frequency of reported infractions of the most commonly violated rules does not demonstrate a noticeable change over time at either Auburn or Attica. Furthermore, inmates and officers are less likely to agree than disagree with the statement that the Inmate Grievance Procedure has improved or clarified existing policy.

e. Citizen Involvement

The thrust of the attempt to increase citizen involvement on behalf of the institution and inmates was directed toward the use of persons outside the Department of Correctional Services as mediators in the final stage of the appeal process. New York members of the American Arbitration Association successfully and repeatedly served in this function. No significant attempt was made, however, to involve other citizen groups at any stage in the process.

Margaret Appe, Director of Volunteer Services for the Department, sent a memorandum to prison volunteers in the spring of 1976 requesting that they not serve on grievance committees "to avoid role confusion." Although she stated in 1976 that an orientation to the grievance procedure would be helpful to the volunteers because they are frequently asked to become informally involved in inmate grievances, she acknowledged in late 1977 that most volunteers were not familiar with the Inmate Grievance Procedure. Volunteers have been instructed that an inmate with a grievance is to be referred to his counselor and that, should the inmate

be dissatisfied with the counselor's response, the next step is to write a letter to the superintendent. Since conversations with superintendents indicate that inmates who write such letters are rather automatically referred to the Inmate Grievance Procedure, the volunteer's recommendation would operate to cause undue delay in the resolution of the grievance.

It is clear that the volunteers should be well-versed in the grievance procedure, at least to the point that they are aware of its existence, its location within the facility, the nature of those issues which are grievable, and the fact that the grievance clerk represents the first stage in the process. Additional involvement by the volunteers appears unwarranted, however, since they are directly under the supervision of the Department of Correctional Services.

No attempt has yet been made to establish citizen groups to monitor the Inmate Grievance Procedure. Such a group could make periodic checks within each facility on such factors as (1) whether time limits are being met, (2) whether effort is being made to informally resolve grievances, (3) the adequacy of the fact-finding and recommendations made by the committee and superintendent, and (4) the speed and thoroughness of implementation of decisions. Perhaps such citizen groups could be appointed by and report to the Commission on Corrections.

f. The Inmate Grievance Procedure as a Tool to Improve Management

While "improving management techniques" was not a stated goal of the project, interviews with local prison superintendents and Deputy Superintendents and with Deputy Commissioners at Albany elicited numerous comments describing the various ways in which the Inmate Grievance Procedure has been an effective administrative tool.

One area of administrative assistance is the procedure's ability to introduce parity within and among the state's facilities. Particular needs and peculiar problems of small institutions, frequently overlooked in so large a state system dominated by large, maximum security facilities, now have an effective means of transmission to central office. Also, discrepancies between institutional rules and the actual operation of the facilities now surface at central office. Parity is also granted inmates in that the grievances filed by less powerful inmates, at smaller facilities or facilities with less responsive superintendents now receive the same hearing as those grievances filed by more powerful inmates, by those at larger facilities, and those at facilities with more responsive superintendents.

The Inmate Grievance Procedure is also reported by these administrators to be an effective mechanism of social change. Not only are policies and procedures more easily challenged, but their clarification or alteration can occur at a lower level of decision-making and in less time. A buffer in management is created in that superintendents can "pass the buck" to central office for making the type of changes in rules or procedures which will not be well received by local officers and administrative staff. The Central Office Review Committee, similarly, can defer action and allow the issue to be dealt with by the Commission of Corrections or an arbitrator -- both of whom are outside the Department of Correctional Services -- if they feel an unpopular position is warranted. Furthermore, the procedure enables the Department or local facility to make changes in a slow and orderly fashion, minimizing the disruption to the system. Each grievance requires advance work and planning by the

various levels of review, thus permitting time for the system to prepare for and accept the change that may result.

Third, management is assisted by the procedure's usefulness as a social control mechanism. Many administrators view the procedure as a "release valve" for inmate tension and feel that inmates are more likely to file a grievance rather than refuse a direct order or assault an officer. Some persons also see the procedure as a means of controlling superintendents. The procedure forces superintendents to engage in careful planning and decision-making to avoid appeals to central office if the grievance is not handled correctly and fairly the first time -- and the less flexible and less sensitive superintendents are more likely to come to the attention of central office and can be confronted by their superiors. Finally, the grievance procedure offers the potential for pin-pointing trouble spots within facilities and resolving those difficulties before major disruptions occur -- a "window in" to staff and other problems, as one administrator put it. An effective monitoring system is required before this management tool can be utilized and New York has yet to begin such a process.

##### 5. Summary and Recommendations

The discussion of the operation of the Inmate Grievance Procedure pointed out certain problems that continue to exist well after the implementation process terminated. The major problem is maintaining the credibility of the procedure. Several recommendations are offered.

- a. To increase the commitment among inmates and officers at each facility:

- (1) Inmate grievance clerks and inmate committee members should meet with all incoming inmates, including those being transferred in from within the system, to review the structure and purpose of the grievance procedure and to highlight those successful grievances which pertain to the entire population.
- (2) An effort should be made to increase correctional officer awareness by publicly highlighting during roll call all resolutions pertaining to policy or procedure. If a change has resulted, then the change and its effect on the officer's duties should be pointed out. Confidentiality of grievant and persons involved must be maintained.
- (3) The rotating terms of officer and inmate members on the Inmate Grievance Resolution Committee should be maintained to maximize the number of officers and inmates who become a part of the procedure.
- (4) A procedure should be developed to compel each officer, over a protracted time period, to be relieved of regularly assigned duties for a one week period to attend all grievance committee activities as an observer. However, acceptance of this recommendation by the inmate members is a prerequisite to its consideration.
- (5) A review committee of officers and inmates (not to include those who have served on the committee) should be established and elected on a bi-annual basis to explore and assess the procedure's strengths and weaknesses by means of extensive review of cases and discussion with inmates and officers. The review committee will report directly to the Director of the Inmate Grievance Procedure.

- (6) A monthly list should be prepared by the Director of the Inmate Grievance Procedure indicating all grievances resolved at or above the level of the Central Office Review Committee. This list is to be circulated to all facilities and made available to inmates and officers. Confidentiality of involved parties must be maintained.
- b. To increase the procedure's credibility by fulfilling its promise to inmates:
  - (1) The necessary action must be taken to assure that the established time limits will be met at each stage of the process.
  - (2) The current practice of dismissing a grievance when the grievant is transferred must be abandoned, especially for grievances against policy and procedure. The size of the number of transfers among facilities suggests that many grievances may be dismissed even though the grievant's concern persists. Furthermore, this would reduce the general inmate feeling that some persons are transferred as a result of grievances filed.
  - (3) A special citizen's committee, to be appointed by and reporting to the Commission on Corrections, should be established to serve as an independent body to monitor the implementation of grievance resolutions and record instances of harassment of and retaliation against grievants. Each major facility should have such a committee assigned to it, but the members should reside in an area far enough from the facility so they are not likely to be directly supportive of either the institution or the inmates.
  - (4) Systemic change should be introduced in those areas which generate a large number of grievances. Even though the grievances

may be easily resolved at the local level, and even though they are individual incident grievances rather than policy or procedure grievances, a large number of such grievances indicates a structural problem in need of change. Since a case-by-case approach alone does not address the underlying causes of grievances, a large volume of such grievances will continue to be generated.

- c. To systematize the procedure, protect its autonomy vis-a-vis all of the interest groups involved, and to ensure its continuation, a process for monitoring inmate grievances should be developed. This is of such great importance, in our opinion, that a detailed plan for monitoring is proposed below.

The problems encountered during the first year of the Inmate Grievance Procedure illustrate the necessity of monitoring the operation of the procedure at each facility. By routinely assembling a small amount of information for each grievance filed, the Director of the Inmate Grievance Procedure could have the capacity to receive constant access to data regarding types of grievances filed, location and type of resolution, time required between stages of the process and time required to resolve grievances. Data on these and other related issues must be available if one wishes (a) to determine the extent to which the procedure's operation at any facility is meeting the principles and expectations of the Inmate Grievance Procedure, (b) to determine whether certain stages in the process (e.g., the Inmate Grievance Resolution Committee hearings) are creating problems by not meeting time limits or by not providing grievance resolution, (c) to locate the specific nature of inmate grievances, track



their increase or decrease, and take action to address the source of those grievances and thus prevent future grievances or collective inmate action, and (d) to oversee the implementation of resolutions.

Such a monitoring plan will require a modification of existing record keeping in the New York system. The coordinator or inmate grievance clerk at each facility would be responsible for providing the following information for each grievance filed:

- Type of Grievance. Information should be obtained for each grievance indicating whether the grievance is against (a) policy, in which a rule, procedure, or regulation is challenged as being unfair, unwarranted or unconstitutional; (b) incident, in which the policy is uncontested but its application to this inmate at this time is grieved as wrong, unfair, or harmful; (c) staff or staff action, in which the grievance is directed toward the arbitrary action of a staff member, whether abuse and harassment or the contested application of a specific policy; (d) inmate or inmate action, in which the grievance is directed at the abuse, harassment, or injury inflicted by the action of another inmate; (e) other, a category for residual grievances, which should be closely observed to assure that only a small number of cases are of this type.
- Nature of Issue. Information should be obtained for each grievance indicating the major issue(s) concerned. These data would be nearly the same as presently being gathered, with greater specificity for type of program and type of support service and a drastic reduction in the "miscellaneous" grievance category.

- Level of Final Review. Each grievance would be coded to indicate the stage of the grievance's final review: (a) informal, (b) I.G.R.C., (c) Superintendent, (d) C.O.R.C. screening committee or C.O.R.C. itself, (e) Commission or Arbitration, (f) Commissioner.
- Disposition of Final Review. The final disposition would be recorded as one of the following: (a) upheld, (b) compromise, (c) denied, (d) no resolution reached since grievance terminated (by release, transfer, etc.).
- Time Limits for Written Responses. Information would be recorded to indicate the number of days required at each level the grievance passes. This could be done either by recording the exact number of days or by indicating (a) meets time limits, (b) exceeds time limits by 1-4 days, (c) exceeds time limits 5-10 days or (d) exceeds time limits by more than 10 days. Regardless of the system used to record this information, it would be recorded for each step: (a) from filing to I.G.R.C. response, (b) from I.G.R.C. response to submission to Superintendent's (c) from submission or appeal to Superintendent to Superintendent's response to grievant, (d) from grievant's appeal to C.O.R.C. response to grievant, (e) from grievant's appeal to Commission/ Arbitration to their response to grievant, (f) from grievant's appeal to Commissioner to Commissioner's response to grievant. A special coding number would be used to signify "no review" and would be applicable to all those stages in the process which are not involved in a grievance because it was terminated at an earlier stage.

- Reason for Grievance Termination. This information obtained for each grievance indicates the reason for its termination:  
(a) grievant satisfied with resolution, (b) grievant unsatisfied but feels little chance for successful resolution at next step, (c) grievant exhausted all stages, (d) grievance is inappropriate, such as grievances filed which are later defined as non-grievable issues, (e) grievant released, ill or dead, (f) grievant transferred.
- Time Limits for Implementation. Each grievance will be followed to record the length of time between resolution and implementation of recommendation. Of course, this information will apply only when the grievance is upheld in part or full and when some action (refund, a new directive, etc.) is to be taken according to the resolution. The information recorded will indicate either (a) no action required or (b) the number of days between the grievant's receipt of the notice of forthcoming action and the actual occurrence of that action.

Although it is possible to obtain more information per grievance, the information outlined above is suggestive of what is required for a monitoring operation. By making month-to-month comparisons, the Director of the Inmate Grievance Procedure can establish a "norm" for each facility and, as the new monthly reports arrive, instantly compare the operation during the recent month to that facility's established norm. This will highlight increases in numbers and types of grievances, pinpoint the source (e.g., package room or dentist's office) of any increase in grievances, detail the extent to which time limits are being exceeded at each

stage, indicate whether the proportion and type of resolutions at any given stage (e.g., I.G.R.C. hearings) is increasing or decreasing, and assure prompt implementation of actions conceded in resolutions.

Moreover, the information can be compartmentalized to obtain a greater understanding of the operation. For example, one could compare the stage of resolution over time for incident grievances to determine whether the informal and I.G.R.C. levels are continuing to operate effectively with this type of grievance or whether the disposition of final review is changing over time. As another example, one could examine only those policy grievances concerning the commissary to determine any change over time in the level of final review or time limits for implementation. By making these more detailed analyses, the Director of the procedure in Albany would gain information on the procedure's performance with specific types of grievances or issues that is not observable when all grievances are grouped together.

Not only will this enable the Director to perform a comprehensive check on the effectiveness of the grievance staff at each facility, but it will provide a means of responding to those situations, policies, etc. which, by a sudden rise in the number of grievances, appear to be in need of quick attention. When shifts occur indicating a change in the level of resolution, time limits, type of grievance, grievance issue, or grievance resolution, the Director can call or visit the facility to discover the trouble and take remedial action.

## C. South Carolina

### 1. Implementation

Unlike New York, the Inmate Grievance Procedure was not mandated by law in South Carolina. William Leeke, Commissioner of the South Carolina Department of Corrections, sought to implement the mechanism as a pilot project in only one facility and to gradually expand the procedure throughout the facilities in the state. Warden James Harvey and Deputy Wardens M.E. Brown and Louisa Brown of Kirkland Correctional Institution were responsive to such a procedure and after a number of consultations with Center for Community Justice staff, South Carolina officials collectively decided that the Inmate Grievance Procedure would be introduced at Kirkland on an experimental basis.

Kirkland Correctional Institution, opened in 1975, is a medium security facility designed to accommodate 420 male inmates in single rooms in seven dormitories. At the time of the procedure's implementation, however, the population was well over 800 inmates, with inmates double-and triple-decked in the single rooms. The inmate count at our Time 2 site visit (September 1977) was 926, down from a recent high of 950. The population is expected to increase soon to 1,050 which is close to the maximum possible number of inmates the facility can accommodate with three inmates per room. This means then that Kirkland's inmate population now is nearly two and one-half times the intended number.<sup>10</sup>

With a significant increase in inmate population, there has been no change in the number of correctional staff positions authorized for Kirkland. The staff table of organization is still at the level for which the prison was constructed -- coverage for 400 inmates. There are 121

correctional officers assigned to the major shift 7 a.m. to 3 p.m., with a full shift consisting of 35 to 40. There is no hard money for treatment staff. All treatment staff are on soft money through programs funded by federal and other grants.

Commissioner Leeke and the South Carolina Department of Corrections are supporting changes that can provide a measure of relief of overcrowding. For example, an extended work release law which Leeke was instrumental in getting passed provides new work release opportunities for inmates nearing the completion of their sentences, and makes it possible for other inmates with AA classifications to be housed in community-based facilities. Departmental support for these types of changes seems to have had a positive effect on the attitudes of Kirkland facility administrators, staff and inmates.

Before introduction of the inmate grievance procedure, inmate complaints at Kirkland generally were channeled through one or more of four alternatives: (1) a letter to the Warden, (2) a letter to the Commissioner, (3) the Inmate Advisory Council, (4) the Ombudsman of the Department of Corrections.

In the spring and summer of 1976, the Center for Community Justice organized and trained the personnel selected to design and implement the procedure. It was mutually decided that the Inmate Grievance Procedure would be initiated on September 1, 1976 in Dorm 1 for a 90-day period and then slowly disseminated throughout the remaining dormitories, providing accessibility to the total inmate population by the end of the first year of operation. This decision to initiate the procedure in only Dorm 1 affected the training and dissemination of information among the inmate

population, since the target group was narrowed to only those residents of a particular dormitory. Other inmates heard of the new procedure, of course, but the dissemination of information to them was less structured.

Only four grievances had been filed by September 20, 1976 and on September 27 the procedure expanded to Dorms 2 and 7. The Inmate Grievance Procedure became facility-wide on January 31, 1977, well ahead of schedule. Each of the expansions to allow access to more inmates was not accompanied by focused training or detailed information regarding the procedure's useage, but was accomplished by a memo from Warden Harvey to the affected population indicating the change.

The structure of the Inmate Greivance Resolution Committee, designed by a local team of inmates, officers and administrators, is fashioned around the needs of the facility. It was felt that each of the seven dormitories should be directly linked to the procedure, and this was accomplished by appointing the Inmate Advisory Council inmate representative from each dormitory to serve as a member of the Inmate Grievance Resolution Committee. One person, also a member of the Inmate Advisory Council, was designated as clerk.<sup>11</sup> The procedure thus provided representation to each dormitory by assigning a member of the committee, and not just a clerk, from each dormitory.

The fact that the facility was overcrowded and understaffed led to the decision to select nine correctional officers to serve as members of the Inmate Grievance Resolution Committee. The officers were not assigned to the committee on a regular basis, however, and were to be utilized when they could be released from their normal assignments. The result of this arrangement is a procedure which consists of one inmate clerk and pools of inmate and officer members to be used for grievance resolution.

Finally, it is noteworthy that the design team did not create a middle-management position, such as coordinator or director, to oversee the operations of the procedure. Louisa Brown, Deputy Warden for Programs, assumed direct responsibility for coordination and monitoring of the Inmate Grievance Procedure.

a. Correctional Officer Responsiveness

Three-fourths of the correctional officers responding to the 1976 survey indicated they had heard of the new procedure for dealing with inmate grievances. As illustrated in Table III-40, this information generally originated from the Warden, other officers, or inmates. By the end of the first year, most officers felt their orientation had been adequate, and three-fourths indicated they were "somewhat" or "very" familiar with the Inmate Grievance Procedure.

Table III-41 provides data from select items indicating a relatively positive attitude toward the new procedure. As in virtually every correctional facility, the officers were likely to feel that changes and reforms undermine their authority and that the new grievance procedure would increase complaints about trivial matters. It appears that these responses can be anticipated whenever any new procedure is implemented to permit inmates to voice their complaints. The responses also illustrate a great desire on the part of correctional officers to have inmate complaints brought directly to the officer. As discussed with the New York findings, this is largely due to a feeling (1) that the officer wants to and can help and (2) that such complaints should not go to administrative levels. Note that none of the surveyed officers recommended the Superintendent as a resource for inmate complaints, and only one officer approved of a teacher or counselor.



TABLE III-40

IMPLEMENTATION OF INMATE GRIEVANCE PROCEDURE  
AMONG CORRECTIONAL OFFICERS, SOUTH CAROLINA

<u>Before Actual Operation (August 1976)</u>	<u>South Carolina</u> <sup>a</sup>
% who have heard there is to be a new inmate grievance procedure here	75.4 (N=61)
How officer first heard of new inmate grievance procedure:	(N=62)
a. another correctional employee	24.2
b. inmate	11.3
c. Superintendent or his staff	27.4
d. prison newspaper or bulletin	3.2
e. special film shown in prison	0.0
f. city newspaper or magazine	0.0
g. other	14.5
h. had not heard of procedure	19.4
<u>After First Year (September 1977)</u>	
% "somewhat" or "very" familiar with procedure:	76.0 (N=50)
% agree, procedure has been written out and given to or posted for staff:	64.6 (N=48)
% agree, orientation has been "adequate"	53.2 (N=47)
% indicating staff have had no or very little opportunity to discuss and review grievance procedure	58.0 (N=50)

<sup>a</sup>The numbers in parentheses are the total number of respondents answering that particular item of the survey. This technique is used in subsequent tables.

TABLE III-41

ATTITUDES OF CORRECTIONAL OFFICERS TO INMATE  
GRIEVANCE PROCEDURE AT IMPLEMENTATION, SOUTH CAROLINA  
(August 1976)

	<u>South Carolina<sup>a</sup></u>
% Agree, inmates here have too many legal rights	38.3 (N=60)
% Agree, new changes and reforms are weakening the authority of the officers	68.4 (N=60)
% Agree, of inmates come to me for help, I will try to help them	96.7 (N=61)
When inmate has a complaint, who should he go to first about that problem?	(N=61)
a. another inmate	1.6
b. an officer	65.6
c. a counselor or teacher	3.3
d. the Inmate Advisory Council	19.7
e. the Superintendent	0.0
f. other	6.6
% Agree, most of the problems inmates have are caused by inmates themselves	81.7 (N=60)
% Agree, inmate grievance procedure will do more harm than good	17.3 (N=58)
% Agree, inmate grievance procedure will solve some of our big problems	26.3 (N=60)
% Agree, inmate grievance procedure shows common sense	54.3 (N=59)
% Agree, inmate grievance procedure will increase complaints about trivial matters	63.3 (N=60)

<sup>a</sup> The numbers in parentheses are the total number of respondents answering that particular item of the survey.

With regard to the Inmate Grievance Procedure, few officers felt that it would do more harm than good, and over half agreed that it showed common sense. These responses, together with interview data, suggest that the level of officer responsiveness was quite high. Rather than reacting with hostility and resentment, it appears that the officers viewed the procedure with caution and interest.

b. Inmate Responsiveness

As evidenced in Table III-42, the residents of Dorm 1 were more likely to have heard of the new procedure at the time of the survey than those inmates residing elsewhere at Kirkland. This is to be expected since the information disseminated during implementation was directed at residents of Dorm 1. It is also apparent that inmates received their information from other inmates, regardless of place of residence. Data are not available to determine the content of that information, however, and it is not known whether those from Dorm 1 received their information directly from those inmates on the design team who were to serve with the procedure, as would be expected, and whether those from the other dormitories received information more informally and less directly in second- or third-person fashion.

It is of interest that only slightly more than one-third of the inmates responding to the 1977 survey indicated they were "somewhat" or "very" familiar with the procedure. This suggests that an ongoing orientation to newly arrived inmates and to those residing in areas to which the procedure was expanded was unsuccessful. On the other hand, it is unusual for inmates (or any client group) to familiarize themselves with any procedure until the need arises. Since so few grievances were filed

TABLE III-42

IMPLEMENTATION OF NEW GRIEVANCE PROCEDURE  
AMONG INMATES, SOUTH CAROLINA

<u>Before Actual Operation (August 1976)</u>	Residents of	Other
	<u>Dorm 1</u>	<u>Residents</u>
% who have heard there is to be a new procedure here	77.9 (N=86)	62.3 (N=138)
How inmate first heard of new grievance procedure:	(N=86)	(N=137)
a. another inmate	61.6	46.0
b. correctional officer	1.2	7.3
c. teacher or counselor	7.0	2.9
d. Superintendent or his staff	1.2	2.9
e. special film in prison	0.0	0.0
f. prison newspaper or bulletin	0.0	1.5
g. city newspaper/magazine	0.0	0.0
h. friend outside prison	1.2	0.0
i. other	5.8	.7
j. had not heard of procedure	22.1	38.0
<u>After First Year (September 1977)</u>		
% "somewhat" or "very" familiar with procedure		38.8 <sup>a</sup> (N=188)

<sup>a</sup>The distinction between Dorm 1 inmates and the remaining inmates was not made in 1977 since the procedure was in facility-wide operation. Thus, this figure represents all inmates sampled regardless of the location of their residence.

and since so few of those actually moved beyond the first stage of the procedure, it is unrealistic to expect a greater degree of familiarity.

Table III-43 not only provides an indication of inmate responsiveness to the Inmate Grievance Procedure, but it also points out that the Dorm 1 residents were more resistant than those of other areas. Dorm 1 residents are significantly more likely than other residents to feel they have no influence on how they are treated and somewhat less likely than other residents to feel that the staff are willing to help inmates. More importantly, Dorm 1 inmates were less likely than other inmates to indicate that the Inmate Grievance Procedure shows common sense or will solve some big problems. Furthermore, Dorm 1 residents were nearly twice as likely as other inmates to agree that most inmates will not use the procedure, and only half as likely to predict that inmate complaints will be worked out well with the new procedure.

Such differences are of interest because they suggest that the procedure was being implemented among inmates who were less receptive than other inmates. Whether Dorm 1 residents were qualitatively different from the population or whether their greater degree of information about the new procedure is the source of this lower receptivity at implementation is not known, yet such a difference clearly exists. Yet the difference should not obscure the fact that the level of receptivity was relatively high even among Dorm 1 residents: about one-third felt that the procedure would solve major problems and resolve complaints well, and two-thirds indicated that most inmates would utilize the procedure.

In conclusion, the officers and inmates were generally receptive to the procedure at implementation. Problems of communication were minimal

TABLE III-43

ATTITUDES OF INMATES TO INMATE GRIEVANCE PROCEDURE  
AT IMPLEMENTATION, SOUTH CAROLINA  
(August 1976)

	Residents of Dorm 1	Other Residents
% Agree, we have no influence on how we are treated here	68.3 (N=82)	50.7 (N=134)
% Agree, most of the staff are willing to help an inmate	3.6 (N=85)	7.9 (N=138)
If you have a complaint about something who would you go to first?	(N=84)	(N=131)
a. another inmate	20.2	19.1
b. an officer	16.1	17.6
c. a counselor or teacher	7.1	7.6
d. the Inmate Advisory Council	33.3	35.1
e. the Superintendent	13.1	7.6
f. the Ombudsman	2.4	0.0
g. other	7.1	13.0
% Agree, the new Inmate Grievance Procedure will do more harm than good	19.5 (N=82)	18.2 (N=131)
% Agree, the new Inmate Grievance Procedure will solve some big problems	30.4 (N=79)	58.5 (N=130)
% Agree, the new Inmate Grievance Procedure shows common sense	63.4 (N=82)	78.9 (N=128)
% Agree, most inmate complaints will be worked out "very" or "pretty" well with Inmate Grievance Procedure	34.5 (N=84)	69.5 (N=128)
% Agree, most inmates will not file grievances with new procedure	31.8 (N=85)	18.1 (N=133)

and the level of organization was very high. Strong support had been demonstrated by the Commissioner, Warden and Deputy Wardens. The implementation on an experimental basis in only one dormitory of a unique facility provided the time and coordination for activities and, perhaps, reduced its threat to officers or administrators.

## 2. Operation of the Grievance Procedure

The early phase of the operation of the Inmate Grievance Procedure was marked by turnover problems and change. Three of the original inmate committee members were lost due to disciplinary problems; one officer resigned and a second was transferred to a new job and, since neither was replaced, the officer pool was reduced to seven members. The grievance clerk was asked to resign by unanimous consent of the committee after some of his actions were defined as a breach of confidentiality, and a new clerk had to be recruited and trained. In addition, the difficulty of bringing together three officers to serve on an Inmate Grievance Resolution Committee hearing compelled a change from a committee consisting of three officers and three inmates to a committee comprised of two officers and two inmates.

These changes in the earliest stages were not disruptive, however, and may have aided in the long-term operation of the procedure. A major reason why such changes were not disruptive is that the procedure was dealing with so few grievances. Only sixteen grievances were filed during the first seven weeks of operation, and most of them were resolved informally by the clerk. After seven months of operation, 62 grievances were filed, with over half being resolved informally by the clerk. It is apparent that there was no heavy, immediate demand for a smoothly operating and well coordinated committee, and the changes in the clerk and

committee personnel and structure did not jeopardize the procedure's ability to meet the needs of the grievants.

a. Observations on Credibility of the Procedure

The Inmate Grievance Procedure has been able to sustain a high level of credibility among inmates at Kirkland Correctional Institution. In general, the procedure has been able to assure credibility by (1) fulfilling the demands of the procedure, (2) meeting expectations and (3) maintaining a commitment to the procedure.

1) Fulfill demands. The gradual expansion of the procedure throughout the facility, the small number of grievances filed, and the large proportion of filed grievances that were informally resolved contributed to the ability of the procedure to adhere to the time limits and written explanations at each stage of the process. Furthermore, less than half of the grievances filed sought alteration, clarification or change of existing policy or procedure. Grievants were more likely to be concerned with the application of a policy in a particular situation, personal effects missing after transfer, the amount of money in one's account, etc. These "incident" grievances required considerable effort by the clerk, but they were resolved at that level and did not necessitate involvement by those at subsequent stages. Incident grievances are susceptible to fast and effective resolution which maintains the credibility of the procedure.

The credibility of the procedure was initially challenged by a fear of retaliation. Transfers and shakedowns occurring after a grievance is filed are bound to occur, and there was a tendency for some inmates to view these events as causally related. Due to a clerical misunderstanding,



moreover, copies of grievances were being placed in inmate personnel files for a short period. The error was discovered and corrective action taken, but this incident reinforced those who feared retaliation. By the end of the first year, however, few inmates believed that reprisals by officers or administrators would occur, and the credibility of the procedure was high.

2) Meet Inmate Expectations. The conditions of confinement at Kirkland are not as repressive as is often found elsewhere, and inmate demands for broad-based social change were very low. Many inmates had been transferred from Central Correctional Institution and voiced the opinion that, in comparison, Kirkland was a very good place to do time. This acceptance of existing conditions is supported by (1) the small number of grievances filed during the early period of the procedure's operation and (2) the small number of grievances against policy or procedure filed at any time. It is easy to meet inmate expectations for change when little change is sought.

In addition, the procedure appears to have satisfactorily met the expectations of those who filed grievances. The Inmate Grievance Resolution Committee attempted to provide the Warden with realistic recommendations that can be accommodated. Because of rather extensive and intensive work by all parties concerned, the grievant is more often than not satisfied with the resolution.

3) Maintain Commitment. If there is one crack in the foundation of the procedure's credibility, it is with regard to the level of commitment to the procedure. Both the Commissioner and the Warden give strong verbal support to the procedure, to be sure, and Deputy Warden Louisa

Brown provides constant input to maintain the procedure. The correctional officers, too, are generally supportive of the procedure even though they may be unfamiliar with its actual operation. The level at which commitment appears to be a problem is the inmate population. The number of new inmates has increased substantially during the first year of operation, yet the new inmates have no investment in this particular means of grievance resolution.

b. Survey Response Data on Acceptance of the Procedure

Inmate and correctional officer respondents to the 1977 survey indicated strong support for the Inmate Grievance Procedure. As is evident in Table III-44, nearly half of the inmates surveyed reported that the Inmate Grievance Procedure was "definitely" necessary, and another 24 percent indicated it was "somewhat" necessary or needed "a little." Although the inmates were reluctant to comment on the procedure's receptivity among other inmates, they did report their own feeling that the procedure was a "useful system" (27 percent) or a "fairly good system" (44.8 percent) to resolve grievances.

The data in Table III-44 also reveal that less than half of the surveyed inmates talked to the clerk about filing a grievance, and only 15 percent reported actually filing a grievance. This is in line with the small number of grievances filed. Although few persons report using the procedure, they all made suggested improvements. Nearly one-third of the sampled inmates indicated that greater speed and better explanation of decisions are needed improvements, about four out of every 10 inmates indicated a desire to broaden the scope of issues to be dealt with, and over half wanted more outside control over the procedure. The level of

TABLE III-44

INMATE RESPONSE TO INMATE GRIEVANCE  
PROCEDURE AFTER FIRST YEAR OF OPERATION, SOUTH CAROLINA  
(September 1977)

	South Carolina
Was Inmate Grievance Procedure necessary here? (% indicating)	(N=187)
a. yes, definitely	46.0
b. yes, somewhat	13.9
c. yes, a little	10.2
d. no, not at all	9.1
e. don't know	20.9
What is reaction of most inmates to the Inmate Grievance Procedure? (% indicating)	(N=184)
a. positive	13.0
b. neutral	32.1
c. negative	7.1
d. don't know	47.8
How useful is the procedure?	(N=174)
a. generally a useful system to resolve grievances	27.0
b. a fairly good system that needs some improvement	44.8
c. a poor system that needs much improvement	18.4
d. a bad system that should be dropped or replaced	9.8
How could Inmate Grievance Procedure be improved? (% indicating)	(N=192)
a. greater speed	31.8
b. more "outside" control	52.1
c. inclusion of discipline, classification and parole	39.6
d. different inmate clerk	16.1
e. different committee	16.7
f. more written replies	23.4
g. better explained decisions	35.4
h. its okay as is	10.9
i. other	10.4
% indicating they talked to clerk about grievance:	(N=167)
a. not at all	56.9
b. once only	13.8
c. twice only	9.6
d. three or more times	19.8
% indicating they filed grievance with procedure:	(N=184)
a. not at all	85.0
b. once only	9.0
c. twice only	3.0
d. three or more times	3.0
If no grievances filed, % indicating following reason:	(N=162)
a. prefer alternative	23.5
b. fear staff reaction	11.1
c. don't want to make waves	18.5
d. procedure is ineffective	7.4
e. procedure is hoax	18.5
f. have no grievances	37.7
% indicating they would feel comfortable filing grievance against following:	(N=151)
a. policy or procedure-substance	55.6
b. staff	42.1
c. equipment	57.3
d. other inmates	47.6
e. policy or procedure-execution	51.4

outside control and the definition of grievable issues, of course, are structured into the procedure; such alterations would require a modification of the procedure's design. Greater speed and better explanations, however, are subject to change without restructuring the procedure. Yet it appears unlikely that these aspects will change since they are generally regarded as meeting the design's requirements.<sup>12</sup>

Initially it was felt that the small number of grievances filed may be due to a fear of reprisal by officers or administration. This does not seem to be the case. Only 11.1 percent of the inmates who did not file a grievance during the year indicated that their inaction was due to a fear of staff reaction. The desire to maintain a low profile and not "make waves" is also a response indicating fear of some type of reaction, and less than one-fifth of the inmates survey indicated this to be a consideration in their decision not to file a grievance. (It was possible for the inmate to check more than one response, so all or part of the 11.1 percent who fear staff reaction may be included in the 18.5 percent who do not want to make waves.) The data indicate that the small number of grievances filed was not due to fear of reprisal but rather to satisfaction or complacency. Nearly one-fourth of the inmates preferred to work out their complaints by some other alternative and some felt the procedure to be ineffective. The major reason for failing to file grievances, however, is that a large proportion (37.7 percent) of the inmates report they have no grievances. This finding supports the earlier statement based on field notes that the inmates at Kirkland sought little change in policy or procedure.

That there was a low fear of reprisal and a low level of grievances seeking redress is further supported by the indication in Table III-44 that the inmates would not feel uncomfortable filing grievances of various types. Somewhat over half of the inmates indicated they would feel comfortable filing grievances against policy or procedure, equipment, or the execution of policy or procedure. Yet clearly few such grievances were filed. This suggests that the inmates feel such matters to be grievable, that the inmates would grieve such matters if the occasion arose, but that the occasion has not yet arisen. Similarly, 42.1 percent of the inmates indicated they would feel comfortable filing a grievance against a staff member. If one compares this figure to the maximum of 100 percent, it appears that nearly 60 percent fear reprisal. Yet the percentage of those willing to file against staff is not significantly different from the 55.6 and 57.3 percent willing to file against such inanimate and impersonal matters as policy and equipment, respectively. In light of this, the reduction in the number who feel comfortable filing grievances against staff is realistic.

A further sign of the level of inmate acceptance of the Inmate Grievance Procedure is revealed by the findings reported in Table III-45. Inmate respondents in 1976 and 1977 were asked to indicate the person to whom they would turn first with a complaint, and one-third of the inmates in 1977 selected the Inmate Grievance Procedure (clerk). The choice of another inmate, officer, or teacher or counselor reduced moderately, and the choice of Superintendent increased moderately between 1976 and 1977. At neither time did the Ombudsman appear to be a desirable first choice for the inmates. The major effect was to significantly reduce the

preference for the Inmate Advisory Council. It appears that the arrival of the Inmate Grievance Procedure severely undercut the predominance of the Inmate Advisory Council and only marginally affected inmate preference for alternative problem-solving solutions.

TABLE III-45

INMATE CHOICE FOR PROBLEM-SOLVING, SOUTH CAROLINA

	South Carolina	
	<u>1976</u>	<u>1977</u>
Person to whom inmate would go first with complaint:	(N=215)	(N=180)
a. another inmate	19.5	13.3
b. an officer	17.2	11.7
c. counselor or teacher	7.4	3.9
d. Inmate Advisory Council	34.4	11.1
e. Inmate Grievance Procedure	N.A.	33.9
f. Superintendent	9.8	15.0
g. Ombudsman	0.9	0.0
h. other	10.7	11.1

Responses of correctional officers, presented in Table III-46, demonstrate consistent and strong support for the Inmate Grievance Procedure. Nearly 65 percent of the officers report that the procedure was "somewhat" or "definitely" necessary at Kirkland, and over three fourths of the officers feel the procedure is a good system to resolve inmate grievances. Perhaps most important is the response of officers to the type of grievances filed: about 16 percent of the grievances are viewed as frivolous issues whereas over 40 percent are viewed as meritorious issues of some importance.

TABLE III-46

CORRECTIONAL OFFICER RESPONSE TO INMATE GRIEVANCE  
PROCEDURE AFTER FIRST YEAR OF OPERATION, SOUTH CAROLINA  
(September 1977)

	<u>South Carolina</u>
Was Inmate Grievance Procedure necessary here?	(N=51)
a. yes, definitely	27.5
b. yes, somewhat	37.3
c. yes, a little	9.8
d. no, not at all	19.6
e. don't know	5.9
What is reaction of most inmates to the Inmate Grievance Procedure?	(N=50)
a. positive	44.0
b. neutral	30.0
c. negative	8.0
d. don't know	18.0
How useful is the procedure?	(N=48)
a. generally a useful system to resolve grievances	33.3
b. a fairly good system that needs some improvements	43.8
c. a poor system that needs much improvement	6.3
d. a bad system that should be dropped or replaced	4.2
e. don't know	12.5
About what percent of grievances filed to date are in each of the following categories?	(N=49)
a. important issues	27.0
b. less important but meritorious issues	14.4
c. marginal issues of very little merit	12.9
d. frivolous issues, a waste of time	15.8
e. don't know	30.9

c. Problems and Prospects

Problems we have observed in the operation of the Inmate Greivance Procedure are derived largely from the structure of the Inmate Grievance Resolution Committee. The desire to provide committee member status to a representative from each dormitory has resulted in designation of a number of inmates whose service and direct involvement with the procedure rotates on a weekly basis. The demands on the current and understaffed number of correctional officers has precluded permanent appointment of two persons to serve on the Committee, and also has resulted in a pool of officers whose service is rotated on a weekly and as-available-for-release basis. The non-voting chairperson is selected from a pool of civilian employees. Consequently, the clerk is the only person with a full-time and consistent involvement in the Inmate Grievance Procedure.

Had two inmates been designated as committee members and each dormitory assigned as assistant clerk, the major difference would be to create more consistent input from the inmate committee members. Had two officers been appointed to serve on all committee hearings, similar consistency would result. The fact that any given committee hearing is comprised of officers, inmates and non-voting chairperson who have had infrequent contact with one another to resolve grievances creates certain structural problems.

The foremost problem is communication inadequacies. The hit-and-miss part-time involvement results in a breakdown of communication among committee members. There are no hard data available to support the belief that the infrequency with which these persons work together diminishes their ability to work well together, but we believe this to be the



case. There are data to indicate, however, that the communication pertaining to grievances occasionally suffers. Those who served on a hearing and produced a resolution recommendation do not automatically receive the follow-up information on the decision by the Warden. Those who serve and then return to other duties are unable to routinely and systematically monitor the implementation of resolutions. Finally, those who serve and then do not serve again until their turn in the rotation are largely unaware of the committee decisions or recommendations that occur during their absence, and the consistency of recommendations is more difficult to maintain. These problems are much more prevalent among staff than inmates.

The clerk serves as the center of communication. It is his task to assure that committee members are informed of final resolutions, to monitor implementation, and to maintain consistency in committee recommendations. The present clerk does a commendable job of carrying out these responsibilities, but occasional lapses are bound to occur. Furthermore, whether such responsibilities should be assigned the clerk rather than, for example, a middle-range administrator, is an open question.

A second problem generated by the current structure of the Committee is the apparently low level of commitment to and investment in the procedure by those with only infrequent involvement in the process. This is especially the case with those officers who, because of the difficulty of being relieved from their positions, may sit as a committee member only once in three or four months.

A third problem created by the existing structure of the Committee is the potential difficulty that may arise should other changes occur.

The committee has been able to operate effectively to date because (1) a small number of grievances have been filed, (2) nearly three-fourths of the grievances have been incident rather than policy grievances, and (3) most grievances, especially incident grievances, have been resolved informally and have not required committee hearings. Yet the increase in inmate population from over 800 to nearly 1000 in a facility designed to accommodate less than 500 introduces the possibility that a greater number of grievances will be filed. In addition, the over-crowded conditions may themselves create an increase in grievances and, especially, a change in the nature of grievances.

In addition, the large number of informal resolutions is due in large part to the heavy commitment by Grievance Clerk Michael Toy and Deputy Warden Louisa Brown. The clerk has been active in seeking resolutions, but as an inmate his scope is limited. A key ingredient has been the daily attention by the Deputy Warden. She meets almost daily with the clerk to discuss grievances and possible resolutions. Her authority enables her to receive immediate response from staff regarding inquiries pertaining to such matters as inmate accounts and inmate property. She also is in a better position to talk directly with correctional officers about those incidents which result in grievances. Her participation in committee hearings often leads to a reasoned and potentially more acceptable recommendation to be forwarded to the Warden. In short, we believe that the role that has been assumed by the Deputy Warden has contributed to a great deal of the procedure's success. Should that role change, whether due to more pressing programs or a change in personnel, the efficiency of the procedure may be severely jeopardized.

The present structure of the Committee is not prepared to meet increased demands upon its time. Nor is it clear that its present level of organization and communication would tolerate additional strain. The future harmony, credibility and efficiency of the procedure may well depend upon an allocation of designated inmate and officer members for specified time periods, and continued direct involvement by Deputy Warden Louisa Brown.

### 3. An Analysis of Grievances

There were approximately 160 grievances filed between September 1976 and September 1977. The South Carolina Department of Corrections furnished for analysis data on the 104 grievances filed by 87 inmates at Kirkland Correctional Institution between February 1, 1977 and September 30, 1977. The subject of the grievance and the issue involved are presented in Table III-47. The majority of the grievances filed were classified as individual problems, and nearly one-fourth of the grievances concerned institutional policy. Only eight of the 104 grievances were primarily concerned with staff action, yet staff action was a "secondary" grievance in 41 additional grievances, 37 of which were a part of an "individual problem" grievance. It is apparent that the grievances touched on a broad range of issues and that no one issue was clearly predominant. Further, no one type of grievance issue was any more likely than the others to account for individual problem grievances or institutional policy grievances. These 104 grievances do not reveal a pattern of issues or subject areas that are more prone to be grieved.

The data assembled in Table III-47 also indicate that three-fourths of the 104 grievances were resolved informally and that only a

TABLE III-47

NATURE AND DISPOSITION OF GRIEVANCES FILED, SOUTH CAROLINA  
(January 1 - September 30, 1977)

	<u>Number</u>	<u>Percent</u>
Subject of Grievance:		
Individual Problem	63	60.6
Dorm Policy	2	1.9
Institutional Policy	25	24.0
Departmental Policy	5	4.8
Staff Action	8	7.7
Equipment	1	1.0
	<u>104</u>	<u>100.0</u>
Issue of Grievance:		
Access to Court	2	1.9
Canteen	7	6.7
Classification	11	10.6
Contraband	4	3.8
Correspondence	3	2.9
Disciplinary	2	1.9
Food	8	7.7
Medical	10	9.6
Money	6	5.8
Property	8	7.7
Transfer	1	1.0
Treatment Program	1	1.0
Visitation	6	5.8
Work Release	1	1.0
Other	34	32.7
	<u>104</u>	<u>100.0</u>
Level of Final Review:		
Informal Resolution	79	76.0
Grievance Committee	6	5.8
Warden	10	9.6
Commissioner	1	1.0
Withdrawn, No Hearing	6	5.8
Not Processed, Grievant Ineligible	2	1.9
	<u>104</u>	<u>100.0</u>
Type of Disposition:		
Grievant Upheld	57	54.8
Compromise	25	24.0
Grievant Denied	6	5.8
Unknown	9	8.7
No Resolution	7	6.7
	<u>104</u>	<u>100.0</u>

handful of grievances were totally denied. Grievants were receiving swift resolution with apparently favorable outcomes. It is also apparent from Table III-48 that the likelihood of informal resolution is not related to the subject of the grievance or the issue of the grievance. Furthermore, a favorable disposition was not only found among those resolved informally, where such a disposition would be expected by the failure of the grievant to pursue the grievance; favorable resolutions were characteristic of the Inmate Grievance Committee and, especially, the Warden. Finally, it is clear that while the time required to process these grievances ranges beyond the established time limits, grievances generally are resolved within acceptable time parameters.

a. Personnel and Process

Grievance clerk Michael Toy appears to be a key figure in the successful operation of the grievance procedure at Kirkland. His interpersonal skills and commitment to the job are at a high level. The manner in which he approaches the task of grievance clerk has gained him unusually strong credibility with staff, administrators, and inmates, in our judgment. Toy continually works with other inmates on the committee to familiarize them with techniques that have proven successful. In addition, Toy has developed a set of guidelines for inmate clerks that comprises a 25-page document entitled, "Writing an Effective Grievance Recommendation".

Toy attributes his success to the cooperation and support he received from staff and administrators, especially Ms. Brown. He indicates that he has been able to sharpen his skills in writing recommendations by examining the replies to his earlier recommendations written by Warden Harvey and the Commissioner. Also, Toy solicits criticism and comments

TABLE III-48

SUBJECT, ISSUE, DISPOSITION AND TIME REQUIRED OF SOUTH CAROLINA GRIEVANCES,  
BY LEVEL OF FINAL REVIEW  
(January 1 - September 30, 1977)

	Level of Final Review					
	Total	Withdrawn or Not Processed	Informal	Grievance Committee	Warden	Commissioner
Subject of Grievance						
Individual Problem	63	7	48	3	4	1
Dorm Policy	2	0	2	0	0	0
Institutional Policy	25	0	20	1	4	0
Departmental Policy	5	1	1	2	1	0
Staff Action	8	0	7	0	1	0
Equipment	1	0	1	0	0	0
Issue of Grievance						
Access to Court	2	0	1	1	0	0
Canteen	7	1	6	0	0	0
Classification	11	2	5	1	3	0
Contraband	4	0	3	0	1	0
Correspondence	3	0	3	0	0	0
Disciplinary	2	0	2	0	0	0
Food	8	1	7	0	0	0
Medical	10	0	10	0	0	0
Money	6	0	4	0	2	0
Property	8	1	5	1	1	0
Transfer	1	0	0	0	0	1
Treatment Program	1	1	0	0	0	0
Visitation	6	0	6	0	0	0
Work Release	1	1	0	0	0	0
Other	34	1	27	3	3	0
Disposition <sup>a</sup>						
Upheld	57	--	49	2	6	0
Compromise	25	--	22	2	1	0
Denied	5	--	0	2	2	1
Time Required at Stage, in days <sup>a</sup>						
Range	--	--	1-15	3-14	2-15	--
Mean	--	--	2.6	6.7	7.6	8
Median	--	--	1.7	5.5	7.0	8
Total Time Required, in days <sup>a</sup>						
Range	--	--	1-15	3-17	5-25	--
Mean	--	--	2.6	12.0	16.2	18
Median	--	--	1.7	12.5	16.8	18

<sup>a</sup>Those cases for which disposition was unknown or yet to be reached were omitted from the analysis.

from Ms. Brown about format and content on all recommendations before they are officially sent on. As clerk, Toy arranges for and attends all hearings. No tape recording is made of the hearing procedures; Toy takes elaborate notes which are transcribed and filed. Recently he has begun to resolve some policy as well as incident grievances informally.

The rotating chairmen and staff and inmate members of the committee indicated that they always try to give the Warden realistic recommendations that he can deal with. The twelve recommendations for changes in the operation of the cafeteria were a result of much research on the part of the clerk, including several informal meetings with different groupings of the following persons: Brown, correctional officers, civilian staff and Mr. M.E. Brown, Deputy Warden for custody (who is responsible for that area of the facility operation). Two full days of hearings by the Committee then resulted in the 12 point recommendation.

Both the quantitative data and our observations on the functioning of the clerk and the committee are important findings, for they reflect upon the procedure's strengths and weaknesses should the number of grievances sharply increase in the future. Since the small number of grievances filed to date cover a broad range of issues, the procedure and its personnel have had the opportunity to become acquainted with a variety of grievances, attempt acceptable resolutions, and possibly prevent future such grievances by institutionalizing the necessary corrective measures. More importantly, the data indicate that all types of grievances are subject to informal resolution. An increase in the number of grievances of any particular type should not require, therefore, a disproportionate amount of involvement by the Inmate Grievance Committee, the Warden, or

the Commissioner. The operation of the Inmate Grievance Committee, discussed earlier, would continue to be as effective as long as the majority of grievances are resolved informally.

Yet it should also be noted that the time used by the Inmate Grievance Committee and the Warden to reply to grievances is based upon a small and sporadic number of grievances that now require their attention. In the 10-month period for which data are available, the Inmate Grievance Committee received 16 grievances and the Warden received 10 grievances. If the frequency of informal resolution is significantly reduced, more grievances will require the attention of these levels of appeal. Even if the proportion of grievances resolved informally remains constant, an increase in the total number of grievances would send more grievances to the formal levels of review and resolution. Can the Inmate Grievance Committee and the Warden be expected to provide as swift a reply and as acceptable a resolution if the number of grievances doubles or triples? The data cannot answer the question, of course, but the comments pertaining to the structure of the Inmate Grievance Committee suggest that an increase in grievances requiring its attention will have negative effects upon its performance record.

In summary, the high proportion of informal resolutions has provided the Inmate Grievance Procedure with a high performance record, not only because it has brought swift and acceptable resolution for a large number of grievances, but because it has enabled the Inmate Grievance Committee to devote more time to, and provide favorable resolutions for, those few grievances that have come to that level.



b. A Comparison to Ombudsman's Grievances

The South Carolina Department of Corrections also provided data pertaining to the complaints from inmates received by the Department's Division of Inmate Relations (Ombudsman) for the period of January 1, 1977 to September 30, 1977. These 489 complaints, filed by 439 inmates from various institutions within the Department, contained 68 complaints filed by inmates of Kirkland Correctional Institution. Since substantive complaints against certain policies, such as classification, are not grievable with the Inmate Grievance Procedure, it was expected that the Ombudsman would continue to receive grievances from inmates at Kirkland Correctional Institution.

The subject and issue of these complaints, enumerated in Table III-49, are of great interest when compared to the subject and issue of the grievances received by the Inmate Grievance Procedure at Kirkland in Table III-47. The distribution of the complaints coming before the Ombudsman is remarkably similar to that of the grievances filed with the Inmate Grievance Procedure. The vast majority concern individual problems, and few are concerned with dormitory policy or equipment. The main difference is that the problems reaching the Ombudsman are less likely to be concerned with institutional policy and more likely to be concerned with departmental policy and staff action than the grievances filed with the Grievance Procedure. Similarly, classification, disciplinary, and transfer issues -- the substance of which are not grievable within the guidelines of the Inmate Grievance Procedure -- are disproportionately over-represented among those problems coming to the Ombudsman. The similarity in type of grievance suggests that the Inmate Grievance Procedure is

TABLE III-49

NATURE OF GRIEVANCES COMING BEFORE  
OMBUDSMAN, SOUTH CAROLINA  
(January - September 30, 1977)

	<u>N</u>	<u>%</u>
Subject of Complaints:		
Individual Problem	327	66.9
Dorm Policy	0	0.0
Institutional Policy	4	0.8
Departmental Policy	49	10.0
Staff Action	98	20.0
Peer Problem	2	0.4
Equipment	1	0.2
Other	8	1.6
	<u>489</u>	<u>100.0</u>
Issue of Complaints:		
Access to Court	48	9.8
Canteen	1	0.2
Classification	173	35.4
Correspondence	3	0.6
Disciplinary	51	10.4
Food	1	0.2
Furlough	5	1.0
Medical	19	3.9
Money	12	2.5
Parole	24	4.9
Property	16	3.3
Racial	1	0.2
Religion	1	0.2
Transfer	71	14.5
Treatment Program	7	1.4
Use of Force	3	0.6
Visitation	3	0.6
Work Release	16	3.3
Other	33	6.9
	<u>489</u>	<u>100.0</u>

attracting and resolving those problems that would otherwise have gone to the Ombudsman. The general similarity in subject and issue also suggests that a large proportion of the complaints currently resolved by the Ombudsman could be dealt with by the Inmate Grievance Procedure.

These conclusions are underscored by a review of the time that could be saved in processing and resolving the problems that currently go to the Ombudsman but which could go to the Inmate Grievance Procedure. For purpose of illustration, data are presented in Table III-50 for only those grievances classified as individual problems or staff action subjects. These constitute the bulk of the complaints which occupy the time of the Ombudsman, and they are also the type of grievance which have been successfully resolved informally by the Inmate Grievance Procedure. The information available suggests that these grievances presently occupy a large number of person-hours enroute to resolution by the Ombudsman. For example, nearly all (403 of the 425) grievances require the attention of the Inmate Liaison Officer, and half of those required more than 78 minutes of time by this person alone. Furthermore, complaints to the Ombudsman require not only the time of the personnel of the Division of Inmate Relations, but they also require time from personnel whose major responsibilities lie elsewhere. Seventy-nine of these grievances required an average of nearly 33 minutes from Wardens, for example, and two grievances required 30 minutes each from the Commissioner. Perhaps the most telling finding is that these grievances pertaining to individual problems and staff action required an average of over eleven days to resolve. By comparison, the resolution of grievances pertaining to individual problems and staff action which were filed with the Inmate Grievance Procedure

TABLE III-50

TIME REQUIRED FOR INDIVIDUAL PROBLEM AND STAFF ACTION  
GRIEVANCES HANDLED BY OMBUDSMAN, SOUTH CAROLINA

	<u>Range</u>	<u>Mean</u>	<u>Median</u>	<u>Number of Cases</u>
Time Involvement Per Grievance By Division of Inmate Relations Staff, In Minutes				
Inmate Liaison Officer	15-720	106.7	78.8	403
Inmate Representative	15-45	24.2	20.0	6
Secretary, Division of Inmate Relations	10-120	14.9	14.1	342
Director, Division of Inmate Relations	5-840	19.6	10.7	355
Time Involvement Per Grievance By Other Personnel, In Minutes				
Correctional Officer	5-90	30.1	19.8	17
Correctional Officer Supervisor	5-90	26.4	21.6	45
Superintendent/Warden	5-315	32.7	20.0	79
Division Director	5-75	22.3	17.8	43
Deputy Commissioner	--	30.0	30.0	1
Commissioner	--	30.0	30.0	2
Legal Advisor	6-60	21.4	16.8	29
Total Time Between Filing and Resolution, In Days	1-98	11.4	7.4	425

required an average of only 4.0 days (median = 2.0), largely because 77.5 percent were resolved informally, averaging only 2.7 days (median = 1.8).

It appears that the Inmate Grievance Procedure may be able to subsume a large number of the complaints presently brought to the Ombudsman. This will most likely result in a quicker resolution of the grievance, increasing inmate satisfaction with the way complaints are handled. From a managerial viewpoint, moreover, this will also reduce the amount of person-hours consumed at all levels, enabling personnel to devote more attention to the smaller number of grievances filed with the Ombudsman and, perhaps, resulting in more swift and acceptable resolutions.

c. Inmate Advisory Council

A final comment on the administration posture toward the Grievance Procedure and other client-relations mechanisms will underscore the importance of this variable in the successful operation of such mechanisms. The Kirkland administration has encouraged inmates to maintain both the Inmate Advisory Council (which is Department-wide) and the Inmate Grievance Committee. In January 1977, Warden Harvey used a portion of the monthly inmate council meeting to clarify the differences between the two programs and pointed out the advantages he saw to inmates for continuing the council without confusing which types of problems each mechanism is designed to address.<sup>13</sup> Also in January, the title of Council Secretary was changed to Inmate Advisory Council Clerk and made a full time position. Deputy M.E. Brown was designated as Council Coordinator. The Inmate Advisory Council Clerk and the Inmate Grievance Clerk have been encouraged to work closely together. Toy has been an invited guest at monthly Council meetings on numerous occasions, and the two persons and organizations work together almost daily.

There are several important indicators of support for these programs by the Kirkland administrators. At Kirkland both the Advisory Council Clerk and the Grievance Clerk are full-time positions. Toy and Miller receive the maximum inmate salary possible (\$12 bi-weekly) in the facility. While most of the resources needed are present at other institutions in our study, they were present in much less quantity and quality than at Kirkland; in other facilities most items desired or needed by inmates are secured through a form of the perpetual "con-game". Both clerks have a private office with a telephone they are encouraged to use. Each office has a new, manual typewriter presented by Warden Harvey in December, 1976. There is an abundance of paper and supplies provided for these offices. Requests for duplication of documents and minutes of meetings are speedily honored. Any document deemed by the Warden to be public information for inmates is reproduced in numbers of 700 in order to provide a minimum of one copy per room in every dormitory. While neither inmate clerk has "A" status or above (which means they cannot go beyond the inside gate to the front section of the administration building), they receive complete cooperation from the administrators, correctional officers and trustee status inmates to send materials back and forth through the gate as often as needed.

#### 4. Impact on Grant Objectives

##### a. Reduction of Violence

Inmates and correctional officers responding to the surveys in 1976 and 1977 were asked to indicate the frequency with which certain types of violent incidents occurred. Their replies, presented in Table III-51, indicate a perception of the level of violence. This in no way represents

TABLE III-51

INMATE AND CORRECTIONAL OFFICER RESPONSES TO SELECTED  
ITEMS PERTAINING TO VIOLENCE, SOUTH CAROLINA

	Inmates		Correctional Officers	
	1976	1977	1976	1977
% indicating inmate-staff fights <sup>a</sup>	(N=205)	(N=173)	(N=56)	(N=47)
a. never occur	45.4	57.2	37.5	48.9
b. occur monthly	36.1	28.9	53.6	38.3
c. occur weekly	11.7	9.2	3.6	10.7
d. occur daily	4.4	4.0	1.8	2.1
% indicating inmate-inmate fights <sup>a</sup>	(N=218)	(N=187)	(N=61)	(N=50)
a. never occur	8.3	8.0	0.0	2.0
b. occur monthly	34.4	33.2	39.3	22.0
c. occur weekly	43.1	48.2	40.9	58.0
d. occur daily	13.8	10.7	16.4	18.0
% indicating staff abuse of inmate or inmate abuse of staff a, b	(N=204)	(N=174)	(N=53)	(N=49)
a. never occurs	21.1	29.3	11.3	30.6
b. occurs monthly	23.0	23.6	18.9	16.3
c. occurs weekly	35.3	22.3	34.0	32.6
d. occurs daily	20.1	24.7	34.0	20.4
% reporting involvement in fight with inmate in last two months	20.1 (N=219)	19.9 (N=186)	3.2 (N=62)	11.5 (N=52)
% agree, feeling in here now is tense	59.6 (N=225)	58.2 (N=189)	24.6 (N=61)	52.0 (N=52)

<sup>a</sup>The percentages may not total 100% because the "don't know" responses have been omitted in the presentation.

<sup>b</sup>Staff were responding to frequency of inmate abuse of staff; inmates were responding to staff abuse of inmates.

the actual level of violence, but it is instructive to the extent that it reflects to some degree a combination of the actual violence and the fear of violence within the institution.

A close examination of the data in Table III-51 indicates that there has been a reduction in the perceived level of violence between staff and inmates, but that the violence among inmates has not been perceptibly reduced. With regard to the frequency of inmate-staff physical altercations, more officers and inmates are likely in 1977 than in 1976 to report no assaults that occur. The frequency of inmates and officers reporting daily occurrence, however, remains about the same over time and the percentage reporting weekly occurrence shows a slight decrease among inmate respondents but a substantial increase among correctional officers. The net effect appears to be that fewer inmates and officers report monthly occurrences of inmate-staff fights in 1977 than did so in 1976; the level of daily or weekly violent episodes of this nature has not been perceptibly reduced, but those who viewed such incidents as occurring only rarely in 1976 are more inclined in 1977 to indicate that they never occur.

The frequency of reported staff abuse of inmates and inmate abuse of staff reveals a similar change over time. Inmates are somewhat more likely to indicate in 1977 than they did in 1976 that staff abuse occurs daily, and the percent reporting staff abuse occurring monthly remains the same over the year. Yet there is a substantial decrease in the reported weekly occurrence of staff abuse and a moderate increase in the percentage of inmates who report that staff abuse never occurs. About the same percent of officers report inmate abuse as a weekly or monthly



occurrence in 1966 and 1977. The percent of officers reporting inmate abuse of officers as a daily occurrence has markedly decreased in 1977, however, and the percentage reporting that inmate abuse of staff never occurs has appreciably increased in 1977. It is apparent that the inmates feel that staff abuse had declined and that the officers perceive a similar decline in the abuse of officers by inmates.

Inmate assaults on other inmates are due to a host of factors (gambling debts, scarce resources, sexual liaisons, and group allegiance, for example) that are less likely to be affected by an effective Inmate Grievance Procedure. The data of Table III-51 clearly indicate that no reduction in such violent episodes is perceived to have occurred during the year. Inmates report that the incidence of inmate-inmate fights is perceived to remain relatively stable: a slight decrease in the percent reporting that such fights never occur, occur monthly, or occur daily, and a moderate increase in the percent reporting such incidents occur weekly. The officers perceive a greater increase in inmate-inmate altercations, however, as evident by the significant decrease in the percentage reporting such activities as a monthly occurrence and the corresponding increase in the percentage reporting that inmate-inmate fights occur weekly.

The relatively stable perception by inmates of the frequency of inmate-inmate violent altercations is further reflected by the constancy over time of the percent of inmates reporting involvement in a fight with an inmate during the last two months and by the similar percentage of the inmates in 1976 and 1977 who indicate that the feeling in the institution is tense. The perception among officers that inmate-inmate fights have

increased is further substantiated by the significant increase since 1976 in the percent of officers who indicate the feeling in the prison is tense.

In summary, the survey responses generally indicate that both inmates and officers feel there has been a decrease in the level of violence between inmates and officers during the time that the Inmate Grievance Procedure was implemented and operating. The only exception to this is the reported increase by officers in their involvement in a fight with an inmate during the last two months. With regard to inmate-inmate violence, however, the inmates perceive it as being at about the same level in 1977 as it was in 1976, and the officers perceive the level to have increased substantially in 1977 compared to 1976. It is evident that whatever impact the procedure has had on the reduction of violence, it is most likely to have occurred with regard to inmate-staff relationships. The failure to impact on inmate-inmate assaults is not surprising given the wide range of factors affecting such assaults and the fact that the Inmate Grievance Procedure is not likely to be utilized to resolve those types of issues. The apparent impact on staff-inmate assaults and abuse also is not surprising, since an effective grievance mechanism should serve as a safety-valve for inmate anger and frustration concerning policies, procedures, and the officers who attempt to carry them out.

b. Increased Perception of Fairness

A cursory examination of the responses to those items presented in Table III-52 indicates there has been an increase among both correctional officers and inmates in the perception of the fairness with which inmate grievances are resolved. Officers were asked in 1976 to indicate how well

TABLE III-52

CORRECTIONAL OFFICER AND INMATE RESPONSES TO ITEMS SELECTED TO  
ASSESS FAIRNESS IN GRIEVANCE RESOLUTION, COMPARISON OF BEFORE  
AND AFTER INMATE GRIEVANCE PROCEDURE, SOUTH CAROLINA

<u>OFFICERS</u>	<u>1976</u>	<u>1977</u>
Inmate complaints will be/have been worked out:	(N=57)	(N=50)
a. very well	19.3	34.0
b. pretty well	54.4	56.0
c. not very well	22.8	2.0
d. very poorly	3.5	8.0
e. don't know	0.0	0.0
Inmate complaints handled fairly:	(N=61)	(N=51)
a. always	18.0	25.5
b. most of time	41.0	58.8
c. some of time	18.0	2.0
d. seldom	0.0	0.0
e. never	0.0	0.0
f. don't know	23.0	13.7
Inmate complaints handled quickly:	(N=61)	(N=52)
a. always	11.5	17.3
b. most of time	42.6	59.6
c. some of time	6.6	7.7
d. seldom	11.5	1.9
e. never	0.0	0.0
f. don't know	27.9	13.5
Inmate complaints receive written reply:	(N=60)	(N=49)
a. always	15.0	24.5
b. most of time	30.0	24.5
c. some of time	11.7	20.4
d. seldom	6.7	4.1
e. never	0.0	2.0
f. don't know	36.7	24.5
<u>INMATES</u>		
Inmate complaints will be/have been worked out:	(N=212)	(N=180)
a. very well	20.3	11.7
b. pretty well	35.4	42.2
c. not very well	22.2	25.0
d. very poorly	18.4	18.9
e. don't know	3.8	2.2
Inmate complaints handled fairly:	(N=216)	(N=186)
a. always	1.4	4.8
b. most of time	9.3	17.7
c. some of time	22.2	18.8
d. seldom	32.4	23.1
e. never	15.3	11.3
f. don't know	19.4	24.2
Inmate complaints handled quickly:	(N=213)	(N=186)
a. always	1.4	4.3
b. most of time	10.8	16.7
c. some of time	17.4	22.0
d. seldom	33.8	25.8
e. never	17.4	11.3
f. don't know	19.2	19.9
Inmate complaints receive written reply:	(N=213)	(N=187)
a. always	7.0	10.7
b. most of time	11.3	13.4
c. some of time	16.9	23.5
d. seldom	18.8	14.4
e. never	17.4	7.0
f. don't know	28.6	31.0

they thought inmate complaints would be resolved with the new grievance procedure, and in 1977 officers were asked how well inmate complaints have been resolved. As the figures in Table III-52 demonstrate, there was a marked increase in the feeling that inmate grievances were satisfactorily resolved. When asked to evaluate the "present procedure" for dealing with inmate complaints, officers were more likely in 1977 than in 1976 to report that inmate grievances were handled fairly, quickly and with a written reply. It is apparent that the officers feel the Inmate Grievance Procedure has not only worked better than anticipated, but that it provides a more fair and speedy resolution than the procedures in operation in 1976 -- the Ombudsman and the Inmate Advisory Council.

This view is generally shared by the inmates. The 1976 inmate sample was more optimistic about how well the procedure would work than the 1977 sample indicates the procedure does work, but the difference is only at the extremely positive end of the responses. More importantly, the percentage of inmates who report that the existing system "seldom" or "never" handles grievances fairly has decreased substantially from 1976 to 1977, and there has been a corresponding increase in the percentage reporting that grievances are handled fairly "always" or "most of the time." The speed with which grievances are handled also has perceptively increased between 1976 and 1977, and there is evidence to indicate that inmate complaints are more likely to receive a written reply in 1977 than in 1976.

In summary, survey responses of both officers and inmates indicate that the Inmate Grievance Procedure is more likely to be viewed as fair,

speedy and providing written replies than those procedures in operation in 1976.

c. Reduction of Litigation

There are no data to indicate the degree to which the introduction of the Inmate Grievance Procedure at Kirkland affected the amount of inmate-initiated litigation. Even if data were available to enumerate and classify all inmate suits received in State and Federal courts, it would be difficult to differentiate the impact of the Inmate Grievance Procedure from that due to a greater number of inmates and the overcrowded conditions at Kirkland.

The Legal Advisor of the Department of Corrections, Larry Batson, believes there has been a sharp decline in the number of inmate problems at Kirkland which require legal services. Grievances filed with the Inmate Grievance Procedure which are appealed to the Commissioner are reviewed by the Legal Advisor. With regard to these grievances, the Legal Advisor feels the issues are more complex and raise serious issues about departmental policy. The issues are reported to be well researched and documented; they present clear but difficult decisions for the Commissioner. It is this ability to articulate issues at the facility level that the Legal Advisor views as a most important change brought about by the Inmate Grievance Procedure.

In this effort to explore the impact of the Inmate Grievance Procedure on the amount of litigation, attention was focused on the potential litigation that was being dealt with by the grievance machinery. If a sizeable proportion of the grievances do not deal with legal issues or lack legal merit, then the grievance mechanism has had minimal impact on reducing potential litigation. If, however, a significant number of

the grievances pertain to justiciable issues and have legal merit, then the Inmate Grievance Procedure may be viewed as an alternative mechanism resolving issues that may have, but not necessarily would have, gone to court. The concern is not whether the grievance would have been upheld by the court; the concern is only with whether the grievance is of sufficient merit that it at least would have contributed to the already crowded court docket and would have required the expenditure of resources by the Department of Corrections in the preparation of legal work.

A sample of 103 grievances was selected from the first 189 grievances filed at Kirkland. As was done with New York grievances, each grievance was classified by the legal issue involved and the legal merits of the grievant's claim. Since the New York experience indicated that two attorneys independently evaluated the grievances with a very high level of consistency, only one attorney, the more "conservative" of the two, was asked to review the sample of grievances from Kirkland. As before, the attorney was asked to provide a rather non-imaginative, conservative review of the merits of each grievance. Since the sample represents all grievances filed rather than only those appealed to the Warden or Commissioner, it was not anticipated that a large number would be justiciable. This is a more accurate indication of the justiciability of grievances resolved by the procedure, but it tends to minimize the extent to which the grievances were potential litigation.\*

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\*Since an inmate may file virtually any grievance in court and consume the time of the court's clerk, all grievances filed with the Inmate Grievance Procedure may be viewed as "diverted from court." Our evaluative effort, however, is directed to those grievances of sufficient legal or constitutional merit to warrant a court hearing. This more conservative measure is designed to isolate those grievances which would be most likely to consume the court's time and the personnel and resources of the Department of Corrections.

The distribution of the 103 grievances by legal issue is presented in Table III-53. A wide variety of legal issues are represented, but "psychological harrassment by guards" accounts for over one-fifth of the grievances.<sup>14</sup> It is also noteworthy that religious or racial discrimination, First Amendment rights, and privacy or personal appearance are legal issues not raised within this sample of grievances. Only one grievance (that concerned with access to court) was rated as having clear legal merit; over 3/4 of the grievances (including all of those pertaining to psychological harrassment) had no legal merit; the remaining 18 grievances were felt to have some legal merit but either the intricacies of the law were unclear without further research or the facts of the case were incomplete, and clear legal merit could not be claimed. So, although a number of legal issues were represented among the grievances, the level of justiciability and the subsequent reduction of potential litigation is quite low.

The relationship between the justiciability of the grievance and the type of resolution is not tabularly presented, but it indicates that grievances were more likely to be favorably resolved in those cases of some merit than in those cases of no merit. Of the 19 cases of some merit (clear or partial), 15 were upheld, three resulted in compromise resolutions, and only one was denied. By contrast, 37 of the 79 cases of no legal merit were upheld, 23 were resolved by compromise, and 18 were denied. Furthermore, the level of merit appears unrelated to the level of resolution. Informal resolution was achieved for 17 of the 19 grievances with some merit (the other two were resolved by the Inmate Grievance Committee and the Warden) and for 63 of the 79 cases of no

TABLE III-53

JUSTICIABILITY OF GRIEVANCES, SOUTH CAROLINA

Legal Issue	Frequency of Grievance	Justiciability of Grievance				
		Clear Merit	Merit, Law Unclear	Merit, Fact Unclear	No Merit	Don't Know
<b>Due Process</b>						
Access to Court	1	1	0	0	0	0
Disciplinary Hearings	1	0	0	0	1	0
Grievance Procedure/Inmate Advisory Council	1	0	0	0	1	0
<b>Conditions of Confinement</b>						
Overcrowding	4	0	0	1	3	0
Inadequate Medical Treatment	6	0	1	4	0	1
Physical Abuse by Guards	0	--	--	--	--	--
Solitary Confinement in Strip Cells	0	--	--	--	--	--
Recreation	2	0	1	0	1	0
Inadequate Diet	3	0	1	0	2	0
Corporal Punishment	0	--	--	--	--	--
Psychological Harrassment by Guards	23	0	0	0	23	0
Institutional Rules	0	--	--	--	--	--
<b>Communication</b>						
Mail	3	0	1	0	2	0
Censorship (Book, Other Printed Material)	0	--	--	--	--	--
Visitors	8	0	1	2	5	0
Packages	0	--	--	--	--	--
Telephone	2	0	1	0	0	1
<b>Religious/Racial Discrimination</b>						
Religious Practices	0	--	--	--	--	--
Dietary Considerations	0	--	--	--	--	--
Racial	0	--	--	--	--	--
Religious Garments and Insignia	0	--	--	--	--	--
<b>First Amendment Rights</b>						
<b>Privacy/Personal Appearance</b>						
Strip Searches	0	--	--	--	--	--
Kind of Clothing	0	--	--	--	--	--
Hair	0	--	--	--	--	--
Hands in Pockets, Shirt Tucked in, etc.	0	--	--	--	--	--
Appearance of Cell and Cell Searches	0	--	--	--	--	--
<b>Medical Care, Rehabilitation</b>						
General Medical Care	3	0	1	0	2	0
Rehabilitation	0	--	--	--	--	--
Right of Protection	0	--	--	--	--	--
Right to Treatment	3	0	0	0	3	0
<b>Classification</b>						
Temporary Release Committee	8	0	0	0	7	1
Pay Scale	5	0	0	0	5	0
Program Assignments	11	0	0	0	11	0
Transfer	2	0	0	0	1	1
<b>Property</b>						
Commissary	6	0	0	0	6	0
Lost/Damaged	6	0	3	1	1	1
Institutional Governance of Inmate Property	1	0	0	0	1	0
<b>Other</b>						
Other	3	0	0	0	3	0
<b>TOTAL</b>	<b>103</b>	<b>1</b>	<b>10</b>	<b>8</b>	<b>79</b>	<b>5</b>



legal merit. Ten of those with no legal merit were resolved by the Superintendent and four by the Commissioner. The type and level of resolution of grievances of merit suggests that the procedure and its personnel are sensitive to meritorious grievances and take the steps necessary at the earliest opportunity to reach resolution. This is an obvious advantage for the grievants, for so swift and so acceptable an outcome could not be expected from litigation.

These findings, in summary, indicate that a rather small proportion of the grievances filed could have been the basis of litigation. If legal merit is assumed for those cases in which the law or the facts of the case were unclear, nearly 1/4 of the grievances would be justiciable. It is more reasonable to assume, however, that only half that number would be of sufficient merit to warrant litigation. Ten or twelve percent is not a large figure when the total is only 190 grievances, but the number takes on greater meaning when the total reaches one or two thousand. Consequently, it is concluded that grievances which have a potential for litigation are sufficiently encountered and resolved by the Inmate Grievance Procedure to suggest that it has a potential for reduction of litigation.

d. Increase in Clarity and/or Number of Written Rules

It is difficult to assess the direct impact of the Inmate Grievance Procedure on the clarity and/or number of written rules. There are several reasons to suspect minimal impact. First, the Department was in the midst of re-writing the policy and procedure manual at the time the procedure was implemented. Second, Kirkland was the only facility in South Carolina to implement the grievance procedure, and changes

may have resulted from initiatives undertaken in one of the other institutions. Third, while many grievances were concerned with policy or procedure, it is also true that the major proportion of grievances were incident grievances not reflecting on the substance of policy. Finally, most grievance resolutions occurred prior to reaching the level of the warden, and this suggests that few changes or clarifications would result.

On the other hand, some rules have been clarified and new policy has been written as a result of grievances filed. Furthermore, the constant attention and input by the Deputy Warden not only assisted in achieving informal resolution, but may well have aided in providing the type of clarification or alteration of rules that would not otherwise be expected to occur without formal appeal to the level of Warden. The extent of this type of clarification, alteration, or modification of rules is not readily assessable.

Although specific instances of rule clarification or modification are not documented, it is apparent from the information presented in Table III-54 that both officers and inmates feel the Inmate Grievance Procedure has made substantial changes. Correctional officers are more than twice as likely to agree than disagree that the Inmate Grievance Procedure has helped clarify or improve existing policy, and nearly half of the officer respondents indicate that the number of rules has increased due to the Inmate Grievance Procedure. Inmates, too, are more than twice as likely to agree than disagree that the Inmate Grievance Procedure has helped clarify or improve existing policy. And, when asked to indicate whether policies governing ten different aspects of institutional living have changed since the Inmate Grievance Procedure was implemented,

inmates are consistently more likely to report changes "for the better" rather than "for the worse" when a change is noted.

In summary, it would appear that changes have occurred during the existence of the Inmate Grievance Procedure, and the Inmate Grievance Procedure is directly responsible for some of those changes. As important, however, is the perception by both officers and inmates that pervasive, positive changes have occurred as an outgrowth of the Inmate Grievance Procedure.

e. Citizen Involvement

Very positive steps were taken at the implementation phase to provide citizen involvement in the Inmate Grievance Procedure at Kirkland Correctional Institution. Under the auspices of the Center for Community Justice, the American Arbitration Association's Community Disputes Services Division trained 25 members of the Alston Wilkes Society as arbitrators.

The goals of the state-wide Alston Wilkes Society are to facilitate reform of the criminal justice system in South Carolina, successfully reintroduce the former offender into society, involve the people of South Carolina in the criminal justice system through volunteer participation, establish community acceptance for the former offender, support criminal justice agencies, and increase interagency cooperation and involvement in South Carolina's criminal justice system.<sup>15</sup>

The Society became interested in the inmate grievance procedures when the Assistant Director of Programs, John Brown, picked up an announcement at the American Correctional Association in the spring of 1976 stating

TABLE III-54

CORRECTIONAL OFFICER AND INMATE RESPONSES TO ITEMS  
SELECTED TO ASSESS IMPACT OF INMATE GRIEVANCE  
RESOLUTION PROCEDURE ON WRITTEN RULES, SOUTH CAROLINA  
(September 1977)

	<u>South Carolina</u>
<u>OFFICERS</u>	
Inmate Grievance Procedure helped clarify or improve existing policy here	(N=51)
a. agree	49.0
b. disagree	21.6
c. don't know	29.4
Due to Inmate Grievance Procedure, number of written rules here has:	(N=51)
a. increased	45.1
b. decreased	19.6
c. no change	17.6
d. don't know	17.6
<u>INMATES</u>	
Inmate Grievance Procedure helped clarify or improve existing policy here	(N=187)
a. agree	42.8
b. disagree	20.3
c. don't know	36.9
For those policies governing inmate behavior in each of following areas, what kind of changes have occurred since the introduction of the Inmate Grievance Procedure:	
a. food served	(N=171)
change for the better	25.1
change for the worse	12.9
no change	62.0

**CONTINUED**

**4 OF 8**

policies and procedures are more easily challenged, at a lower level of decision-making, with less expense and in less time. Finally, the procedure is a useful mechanism of social control. Not only inmates are controlled, however, since the procedure forces the superintendents and other administrators to engage in careful planning and decision-making to avoid appeals to higher levels if the grievance is not handled fairly and correctly.

The Inmate Grievance Procedure also offers the potential for locating sources of strain within the facility. An effective monitoring system can detect these issues before major disruptions occur.

#### 5. Suitability to Other Arenas

The results from New York indicate that the Inmate Grievance Procedure is under-utilized in those facilities which provide the greatest freedom to inmates. Camps, community-based facilities, and even "work-release units" of larger facilities generate few grievances; few grievances were filed by California Youth Authority wards on parole. Reduced constraints, closer inmate-staff relations, proximity of release, and/or the desire to do one's own time and be released may explain the inmates' reluctance to embrace the procedure. Staff in such "therapeutic" settings are resistant since they feel the procedure's presence will alter the existing doctor-patient or counselor-client relationship that has been established with inmates.

Yet the Inmate Grievance Procedure should be useful in such small, strict confinement settings as jails and work houses. The utilization of the procedure may depend upon the proportion of inmates awaiting trial and the proportion sentenced, but in either case the conditions of

confinement, the unavailability of alternative redress mechanisms (few jails have counselors, ombudsmen, and others to resolve conflict situations), and the "fixed" sentences suggest the applicability of the Inmate Grievance Procedure to these facilities.

#### E. Inmate Grievance Procedures: Social Change Or Social Control?

In this last section, we return to the question of greatest importance to the evaluation team: is the formal Inmate Grievance Resolution Procedure developed by the CCJ predominantly a mechanism for the promotion of social change or social control in prisons? To clarify, we are interested in promoting those structures and processes that help change the system in particular directions -- toward greater openness, more democratic decision-making, cooperative problem-solving, more humane treatment of weaker members, equitable distribution of resources, accountability for behavior, basic fairness, and fulfillment of needs of all the parties to the greatest extent possible consistent with the rights of other members in the system. In short, our underlying concern is social justice.

##### 1. Power and Control in Correctional Settings

"Correctional" institutions represent one of the most rigidly structured and authoritarian patterns of social organization in western democratic societies. Formal power is centralized at the top; there is a rigid and formal hierarchy in the table of organization of prisons and prison systems, with a military or quasi-military arrangement of sanctions from the top down. There is a wide separation between providers of services and recipients; the clients are defined as deviant and dangerous, and their movement is rigidly controlled. Information flow and contacts with the everyday world are restricted.

There are a number of interest groups in and of state correctional systems, including (on the inside) administrators, line staff, and inmates, and (on the outside) state-level staff and commissioners, legislators, bar associations, advocacy groups, and citizens. They are locked in a continuous



struggle for control of prison resources and client behavior. The power disparities among these various constituent groups are great, and two of them -- guards and inmates -- are considerably less powerful (at least in the formal sense) than all the others.

Yet, as in all such rigidly structured systems, the weakest groups find informal ways of controlling some aspects of their lives so they may cope with the depressing realities of their situation. Prison guards and inmates are no exception. The informal inmate power structure and the on-going bargaining relationships between inmates and guards are perhaps the best-known of the coping devices whereby these two groups exercise informal power and some fate control.

Within this understanding of power and control in correctional settings, we may address the question of social change vs. social control as it relates to the introduction of inmate grievance resolution procedures.

## 2. The Role of Inmate Grievance Procedures

### a. In the Prevention and Resolution of Conflicts in Prisons

Our primary interest in inmate grievance procedures arises from their potential usefulness in the prevention and resolution of destructive conflicts in prisons. Some conflict is natural and inevitable in all human social systems. Conflict is not necessarily bad or destructive. In our view, conflict is most harmful to the system (a) when there are great power disparities among the parties involved, (b) when there are no legitimate mechanisms for dealing with the inevitable conflicts in a cooperative problem-solving manner, and (c) when it escalates to violence. Conflict is

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\*Two major examples are the well-documented behavior of slaves in the United States in Tool breakage, work slow-downs, and passive-aggressive "tommings", and the legendary stories of institutionalized deviant behavior on the part of enlisted personnel in the armed services.

especially harmful in the latter case because the least powerful parties inevitably get hurt first and most.

In prisons, inmates and guards are the weakest parties, yet they are the groups between whom the "delivery of correctional services" ultimately takes place. Formal inmate grievance mechanisms can help empower both parties -- but especially inmates -- for more regularized dealings with the institution, and therefore can lead to a patterning of conflict resolution and institutional stability as well as change. We observed numerous instances in the course of our research in which inmates gained some control or influence over decisions affecting their lives -- some major, most minor. In the long run, we believe this will lead to the stability and regularity of institutional life because some basic human needs for fate control are being satisfied.

But perhaps the process is even more important than the outcomes. Developing and implementing an Inmate Grievance Resolution Procedure in a facility causes guards and inmates to practice the following behaviors, all of which can contribute to constructive conflict prevention and resolution -- and all of which are highly useful in life on the outside: .

- Joint design of procedures.
- Cooperative decision-making pointed toward a win/win outcome (rather than competitive decision-making with the tacit understanding that the process will be confrontational and the outcome win/lose).
- Fact-finding and assessment.
- Negotiation and mediation.
- Tactics of constructive compromise.
- Interpersonal communication.

- Establishing a forum and conducting a meeting.
- Advocacy.

The activities of many Inmate Grievance Resolution Committees in joint problem-solving were highly gratifying to many of the officer and inmate members involved. They learned that they could fashion informal resolutions to grievances, that their decisions on Inmate Grievance Resolution Committees often were unanimous, and that they could actually affect policy changes through the procedures.

All of these learnings contribute to orderly and just resolution of conflicts and, therefore, to institutional stability. But the question remains: how much conflict is appropriate, and when does conflict prevention and resolution become suppression of legitimate issues that often can get to the surface only through conflict? From the perspective of many of the administrators with whom we worked, the most valuable aspect of the Inmate Grievance Resolution Procedure was the "window in" to day-to-day functioning it provided, thus enabling them to gain better management control. So here, as is the case throughout this analysis, the delicate balance between order and justice -- between social control and social change -- is the critical question that ultimately is answered only in each facility as the inmates, line staff and administrators continually negotiate the terms of their structurally strained relationship.

b. In Promoting Social Change in Prisons

Social change means the process of continuous redistribution of power (the control over decisions) and resources (goods, services and privileges) within a social system. Whether the direction of redistribution is positive or negative generally depends on the social position and ideology

of the observer. We want "social change" as we use it here to connote redistributions in the directions noted at the beginning of this section -- toward openness, equity, democratic decision-making, etc.

We believe that the proper development and implementation of an Inmate Grievance Resolution Procedure can promote positive social change in prisons through the training in problem-solving it provides for inmates and guards, through the clarification and resolution of policy matters, through its check against arbitrary behavior on the part of the powerful in the system, through providing a forum for cooperative experiences for guards and inmates (the first in the memory of some with whom we spoke), and through developing a new mechanism for inmates to advocate their needs to the system. If Inmate Grievance Resolution Procedures are to be positive, in our view, they must be built from the principles enunciated by the CCJ -- especially joint design and implementation and constant utilization of outside review.

But every institutional innovation brings negative as well as positive changes. For example, when a skilled Inmate Grievance Clerk becomes identified as the central figure among inmates who can negotiate effectively with prison officials, he may be open to use and abuse by inmates who resent his power and/or want to achieve their own goals through him. Prisons need to be sensitive about ways to protect this kind of figure in the inmate population.

The challenge to the informal inmate power structure created by the development of a formal mechanism for resolving inmate complaints is another potentially negative change that may result from the successful introduction of the procedures. Powerful inmates may try to coopt the procedure and appropriate it for their own ends, or they may harass those inmates and guards who cooperate with it (as may certain officers, of course).

The most critical question of all is whether a developed Inmate Grievance Resolution Procedure yields changes in unfair or arbitrary policies -- or whether it simply engages in "case work". Often it is impossible for such an institutional procedure to do both, for managers generally want the procedure to deal with every grievance or problem as an individual incident or case, in which the aggrieved party may receive some measure of perceived restitution, but the structure or policy which generated the problem is left unchanged. As a result, individual inmates may have some of their needs satisfied in isolation from one another, but with a consequent lowering of their level of political consciousness. The clients, in short, are victims of cooptation.

This is a critical question that must be faced by the CCJ and the state prison systems involved. What mechanisms and safeguards are available to see that unjust policies and procedures are remedied as a result of individual grievances? The case work approach would advocate that inmate X get back, say, \$100 that was misdirected within inmate accounts. The system change approach would deal more broadly with the issue of policies, procedures and personnel in inmate accounts -- making changes in any or all of these areas if necessary to prevent the reoccurrence of theft from an inmate account.

In our research we discovered many instances in which important policy changes resulted from the operation of the Inmate Grievance Resolution Procedure. We also discovered many instances in which important policy changes were not initiated, however, due to the tendency to view grievances independently and resolve them case by case.

### 3. For Social Control or Social Change?

The purposes of correctional institutions in the United States go far beyond "correcting". In fact, with only about five percent of the total corrections budget at all levels devoted to non-security expenditures, it is questionable whether correcting is as important as other goals such as societal protection and punishment of offenders.

In this light, it is naive to expect that innovations such as inmate grievance mechanisms will be welcomed as an agent of positive change by the keepers of the system. It is more reasonable to expect that they would be viewed as another tool for achieving values of social control and population management. There is evidence in this direction from our work in evaluating the CCJ activities. Most significant is the fact that in virtually every system and facility we studied, such issues as classification, furloughs, and disciplinary sanctions were not grievable under the new procedures. One could argue that these are really the most important issues for inmates, and that the results of grieving such issues as facial hair, mail room procedures, and the like are palliative at best and cooptive or repressive at worst.

In our view, the difference between a grievance system serving as a case-oriented cooptive mechanism and its becoming an effective tool for policy change will lie in the presence or absence of citizen involvement. An informed and powerful outside constituency capable of monitoring, reviewing, and exerting political leverage is the best protection against a return to business-as-usual in prisons following the introduction of an innovation such as inmate grievance procedures.

As described earlier, process advocacy is the best (i.e., most politically realistic and most effective) form of intervention when the power disparities between provider and client are great and when direct party advocacy is not possible or appropriate. The CCJ's model of Inmate Grievance Resolution Procedures is a form of process advocacy that can yield just outcomes for all the parties if the integrity of its operation is protected. Given the authoritarian nature and structure of correctional institutions, such protection of the process is possible in the long run only through the existence of strong, informed outside constituencies.

\* \* \*

Inmate Grievance Resolution Procedures: for social change or social control? Evaluators must continue to raise the question. But the answer is not an easy yes or no, for change and control are related. We believe that humane control ("good management"? "system stability"?) is only achieved as a by-product of the just operation of social systems -- not as an end in itself. We conclude this report as we concluded Chapter II:

Achieving some greater measure of social justice for the weakest groups in social systems is a necessary condition for attainment of the social control and stability desired by the more powerful parties.

## APPENDICES



APPENDIX A. Field Activities of the Evaluation Team

FIELD ACTIVITIES OF THE EVALUATION TEAM

<u>DATES</u>	<u>SITE</u>	<u>PURPOSE(S)</u>	<u>PARTICIPANTS</u>
6/16/75 9/10/75	Washington, DC (Center for Community Justice)	Preliminary planning of evaluation of the CCJ/LEAA project.	Laue
10/8-9/75	Washington, DC (CCJ)	To discuss implementation plans for the New York System.	Laue, Hepburn
12/8-10/75	Albany, NY (New York Department of Correctional Services; NY Training Academy)	To observe and monitor training of New York prison officials. To meet with state correctional officials in preparation of research design.	Laue, Hepburn, Becker
12/29-30/75	Auburn, NY; New York, NY (Auburn Correctional Facility and Institute for Mediation and Conflict Resolution)	Initial visit to facility; to observe training, to meet with CCJ staff, and NY Correctional officials at the Institute for Mediation and Conflict Resolution.	Laue, Hepburn
1/4-9/76	Attica, NY (Attica Correctional Facility) Bedford Hills, NY (Bedford Hills Correctional Facility)	To gather pre-test data by administering survey forms to Inmates and Officers... and, to interview Administrators and grievance committee personnel.	Hepburn, Becker
1/15/76	Albany, NY (New York Department of Correctional Services - Central Office)	To make presentation at meeting of the Superintendents from New York correctional facilities. To interview Central Office administrators.	Laue
2/4-6/76	Auburn, NY (Auburn prison)	To gather pre-test data by administering survey forms to Inmates and Correctional Officers. To interview facility administrators and grievance committee personnel.	Laue, Hepburn, Becker

<u>DATES</u>	<u>SITE</u>	<u>PURPOSE(s)</u>	<u>PARTICIPANTS</u>
3/3-4/76	Denver, CO (Colorado Division of Corrections Central Office)	Introductory meeting with state officials regarding research in Colorado facilities.	Laue, Hepburn
3/22-24/76	Canon City, CO (State Penitentiary and State Training Center)	Initial visit with the Superintendent and staff to discuss data collection at the prison. To observe CCJ's train- ing of state prison officials about the principles of the Inmate Grievance Procedure.	Hepburn
3/31 - 4/2/76	Albany, NY (NY Dept. of Corr. Services)	To confer with New York State Correctional officials.	Laue, Hepburn, Becker
	Attica, NY (Attica Prison)	To conduct follow-up on operation of griev- ance procedure after first 7 weeks.	Laue
	Auburn, NY (Auburn Prison)	To conduct follow-up on operation of griev- ance procedure after first 7 weeks.	Becker
	Bedford Hills, NY (Bedford Hills Women's Prison)	To conduct follow-up on operation of griev- ance procedure after first 7 weeks	Hepburn
5/12-14/76	Washington, DC (CCJ)	To meet with CCJ staff and review pre- test data results and prepare plans for Cali- fornia, Colorado and South Carolina.	Laue
5/21/76	Seattle, Washington	To meet with consultant Gerald Cormick regard- ing evaluation of CCJ's project work in Cali- fornia.	Hepburn

<u>DATES</u>	<u>SITE</u>	<u>PURPOSE(s)</u>	<u>PARTICIPANTS</u>
6/14-17/76	Canon City, CO (Colorado Penitentiary)	To gather pre-test data by administering survey forms to Inmates and Correctional Officers. To interview administrators and grievance committee personnel.	Laue, Hepburn, Becker
6/20-22/76	Columbia, SC (South Carolina Department of Corrections and Kirkland Correctional Institution)	Initial site visit; to meet with state correctional officials, to meet with Kirkland facility Warden and his staff; In preparation for research design.	Hepburn
7/25-28/76	Sacramento, CA (California Youth Authority Central Office and several youth correctional facilities)	To conduct initial site-visits and interview personnel in connection with evaluation of project on ward grievance systems.	Laue, Hepburn, Gerald Cormick (Consultant)
8/15-19/76	Columbia, SC (KCI)	To gather pre-test data by administering survey forms to Inmates and staff -- interviewing administrators and grievance committee personnel.	Hepburn, Becker
8/19/76	Albany, NY (NY Dept. of Corr. Services)	To make presentation at meeting of NY Superintendents concerning initial research findings and future plans for monitoring of grievance procedures.	Hepburn
9/1/76	Washington, DC (CCJ)	Final planning for Keystone conference; discussion of evaluation teams findings and appropriate feedback to facilities.	Laue, Hepburn

<u>DATES</u>	<u>SITE</u>	<u>PURPOSE(s)</u>	<u>PARTICIPANTS</u>
9/20-22/76	Keystone, CO (Conference Center)	To attend CCJ sponsored conference for State & facility personnel related to inmate grievance procedure. To assess the procedures' operation after one year of work under LEAA grant.	Laue, Hepburn, Becker, Cormick
10/11-15/76	Auburn, NY (Auburn prison)	Site visit and data collection of institutional records to assess impact of grievance procedures.	Becker
10/24-27/76	Columbia, SC (KCI and S.C. Department of Corrections)	To conduct follow-up on operation of grievance procedure after first 8 weeks. To meet with Commissioner of South Carolina Department of Corrections.	Hepburn
11/8-9/76	Canon City, CO (State Penitentiary)	To conduct follow-up interviews with prison personnel on operation and status of inmate grievance procedure following general lock-up of facility in Aug. 1976. To secure grievance records from the program's 7 week operation.	Hepburn
1/30 - 2/3/77	Auburn, NY (Auburn prison)	To gather post-test data by administering Time 2 survey forms to inmates & correctional officers. To interview adm. and grievance committee personnel. To gather additional institutional records and grievance logs for analysis.	Hepburn, Becker, Stephen Brickey (Consultant)

<u>DATES</u>	<u>SITE</u>	<u>PURPOSE(s)</u>	<u>PARTICIPANTS</u>
2/6-11/77	Attica, NY (Attica prison)	To gather post-test data by administering Time 2 survey forms to inmates and Correctional officers. To interview administrators and grievance committee personnel. To gather institutional records and grievance logs for analysis.	Hepburn, Becker, Carl Pope (Consultant)
2/14-19/77	Bedford Hills, NY (Bedford Hills Womens Prison)	To gather post-test data by administration of Time 2 survey forms to inmates and correctional officers. To interview administrators and grievance committee personnel. To gather institutional records and grievance logs for analysis.	Hepburn, Becker, Stephen Norland (Consultant)
3/13-16/77	Albany, NY (NY Dept. of Corr. Services)	To meet with and interview Commissioners, CORC, and the Departmental State Grievance Director to discuss research findings after first year of operation.	Hepburn
3/29-31/77	Columbia SC (KCI and SC Depart. of Corrections)	To conduct follow-up after first 6 months of operation of the grievance procedure. To discuss data collection with departmental research branch personnel.	Hepburn
5/16-17/77	Lexington, KY (Blackburn Corr. facility)	To visit Bureau of Corrections, to assist in establishing inmate grievance monitoring procedure.	Hepburn

<u>DATES</u>	<u>SITE</u>	<u>PURPOSE(s)</u>	<u>PARTICIPANTS</u>
5/10-12/77	Sacramento, CA (CYA Hdq. select facilities)	To conduct site visits to youth facilities. To conduct interviews in connection with evaluation of CCJ's work with CYA.	Cormick
7/10-12/77	Washington, DC (CCJ)	To meet with CCJ staff to discuss recommendation made in our 6th quarterly report concerning operation of grievance procedure in New York facilities. To plan future evaluation activities.	Laue, Hepburn, Becker
7/26-28/77	Frankfort, KY (Kentucky Bureau of Corrections)	To meet with Commissioner in regard to future plans for implementation of inmate grievance procedures and KY expectation for our assistance.	Hepburn
8/22-25/77	Albany, NY (NY Dept. of Corr. Services)	To meet with CCJ staff and legal consultants to analyze CORC grievance records. To assess justiciability of issues filed as grievances.	Hepburn
9/14-22/77	Sacramento, CA (CYA Hdq. and select facilities.	To confer with CYA officials. To visit youth facilities to complete field work for evaluation.	Cormick
9/25-30/77	Columbia, SC (KCI and SC Dept. of Corrections)	To administer Time 2 survey forms to inmates and correctional officials. To interview administrators & grievance committee personnel. To gather institutional records & grievance logs for analysis.	Laue, Hepburn, Becker

<u>DATES</u>	<u>SITE</u>	<u>PURPOSE(s)</u>	<u>PARTICIPANTS</u>
12/18-19/77	Frankfort, KY (Kentucky Bureau of Corrections)	To meet with research staff in Bureau of Corrections. To assist planning the evaluation of inmate grievance pro- cedure in KY Prisons.	Hepburn
6/8/78	Washington, DC (CCJ)	Meeting with CCJ Direc- tor and staff to review plans for final report.	Laue



APPENDIX B. Research Design for New York



UNIVERSITY OF MISSOURI-ST. LOUIS

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D R A F T\*  
12-27-75

Research Plan: Evaluation of the Work of the Center for Correctional Justice in the Development of an Inmate Grievance Procedure in the New York State Department of Correctional Services.

1. Introduction. The Community Conflict Resolution Program is under subcontract with the Center for Correctional Justice from September 1, 1975 to August 30, 1977, to evaluate the work of the CCJ in developing conflict prevention and resolution procedures in four state correctional systems. The CCJ's work is funded under the Citizens' Initiative Program of the Law Enforcement Assistance Administration for the two-year period. New York is the first and major state in which the CCJ is working, and the Community Conflict Resolution Program (CCRP) has prepared the following draft research design after initial review of materials and site visits to Washington, D.C., and Albany this fall.

The Community Conflict Resolution Program conducts research, training and evaluation related to racial and community disputes, and intervenes directly in selected conflicts, customarily at the invitation of the disputing parties. Major areas of interest currently addressed by the Program include school desegregation, administration of justice, environment and human services delivery.

2. Objectives to be Evaluated. Five major objectives guide the work of the CCJ under this grant, and they provide the standards from which this evaluation design is developed. They are:

- a. Reduction of the level of violence within institutions.
- b. Increase in inmates' perception of the likelihood of fair and prompt handling of complaints through administrative mechanisms.

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\*Prepared by James H. Laue (Director of the Community Conflict Resolution Program and Director of the CCJ evaluation component), John Hepburn (Co-Director of the CCJ Evaluation), and Martha Becker (Senior Research Assistant) for review by CCJ and New York State Correctional Services officials.

c. Reduction of litigation against institutions.

d. Increase in the number of written policies in institutions and/or increase in the clarity of written policies already in existence.

e. Increase in citizen volunteers' knowledge of the corrections system and the action taken by the volunteers on behalf of the correctional system or particular offenders.

3. Basic Design Considerations. Although considerable activity has taken place in New York State regarding the development of grievance machinery prior to the beginning of this project and its evaluation (including the passage and initial phases of implementation of a state law requiring grievance machinery in every New York State correctional facility), an important part of the research plan is a series of pre- and post-intervention measures for each of the five objectives. (See Evaluation section of the initial proposal from CCJ to LEAA for greater detail.) Administration of the pre- questionnaires and interviews will take place prior to the initial joint training of the CCJ and the Institute for Mediation and Conflict Resolution (IMCR) in four selected New York institutions in January 1976.

Four types of data will be collected: background and historical data (from the literature and New York State Correctional Services records -- a process begun in the evaluation team's trip to Albany December 9-10); observational and descriptive data; inmate and staff questionnaires; and structured interviews for selected staff and officials.

Measures of effectiveness of major interest in analysis of the data will be:

a. Increases or decreases in the five objective areas as listed above;

b. Increases in knowledge or changes in volunteers' perceptions about corrections and prisoners; and

c. Records of citizen volunteer activity.

Particular attention will be given to description and analysis of the New York inmate grievance law and of the previous work of the CCJ, the IMCR and others at Green Haven Correctional Facility because of the pioneering nature of these efforts in the United States.

4. Research Sites. Based on the plans for the CCJ and IMCR to conduct intensive training at two locations in January, the evaluation team has selected the following sites for in-depth analysis:

a. Attica which is one of the CCJ/IMCR Training Sites and a maximum security male institution;

b. Bedford Hills, another CCJ/IMCR Training Site which is the women's unit of the New York correctional system;

c. Auburn, also a maximum security male institution, was selected as a control institution for Attica.

Sampling and instrumentation are discussed below for these three locations. Limited base-line data will be collected for most major institutions in the state through the mails or with the assistance of the Division of Research and Planning.

5. Sources of Data and Potential Indicators for the Five Objectives. Through the generous assistance of many persons in the Department of Correctional Services in our initial visit to Albany December 9-10, the evaluation team has developed the following tentative list of sources of data and potential indicators regarding the five objectives to be measured. Construction of the various instruments indicated below will be completed following review of this draft by CCJ and New York Correctional Services officials.

a. Reduction of Violence. Violence in institutions will be categorized as either against persons or against property, with such sub-categories as:

against persons -- inmate/inmate  
inmate/guard  
large-scale or intergroup

against property -- personal property  
institutional property

Interviews with inmate leaders, staff, union representatives, superintendents, deputies, etc., regarding theft, victimization, etc. Institutional and/or system-wide records possibly to include Use of Force Reports, Unusual Incident Reports, Property Damage Assessments to inmates, Keep Lock records, Adjustment Committee dispositions, Superintendent's Proceedings, etc.

b. Increase in Inmates' Perception of System's Fairness. Questionnaires to be completed by inmates under the supervision of CCRP staff. Records of usage of grievance system over time (use of system, repeat use, levels of satisfaction, appeals data, etc.). Number and types of Commissioner's letters. Baseline data about existing (including informal) grievance procedures. Liaison Committees' records.

c. Reduction of Litigation. Records of the Chief Counsel. Records of usage of inmate law libraries and legal services.

d. Number and/or Clarity of Written Policies. CCRP field notes regarding development and training phases in the indepth institutions. Attitudinal data from questionnaires regarding clarity. Questionnaire and interview measures of inmate and staff levels of knowledge and use of grievance procedures. Ratio of electronic to print announcements of policies and procedures. Administrative Bulletins, Inmate Rule Book, Policies and Procedures Manual and other written records.

e. Citizen Knowledge and Action. Records through the office of Margaret Appe. Numbers and frequency of usage of outside arbitrators. Descriptive and observational materials on the role of citizens in development of the procedures. Possibly mail questionnaires to local leaders in facilities' cities and towns. Interviews with Commissioner Wadsworth regarding her plans for citizen involvement.

6. Sampling Procedure. Because it is the goal of the evaluation team to assess the impact of the CCJ in formulating and implementing the grievance resolution mechanisms, our major efforts will be directed toward examining the effectiveness of the program as implemented by the CCJ at Attica and Bedford Hills (Great Meadow, also targeted for special intervention by the CCJ, is not a part of our sample due to its similarity to Attica and its relative inaccessability). The two facilities provide, respectively, a large maximum security unit and a small medium security unit of women offenders. The Auburn Correctional Facility will also be studied as a "control" institution, for it is equivalent to Attica in size, security level and percent non-white population, but differs in that the CCJ will not play as large a role in initiating the program. While certain types of data will be routinely collected from all facilities in the State, these three units will also be the subject of intensive data collection from administrators, line personnel and inmates.

Regarding sample size, interviews will be conducted in each of the three indepth institutions with the Superintendent, Deputy Superintendents, and those administrators directly involved in the implementation of the new program. We would like to achieve a 50 percent sample of all supervisors and line officers.

Questionnaire data will be especially important for learning about inmates' perceptions regarding objectives (b) and (d), and for some parts of each of the other three objectives. Inmate populations will be sampled according to size of facility. Attica and Auburn house approximately 1,800 and 1,600 inmates respectively. In each of these facilities, a 20 percent systematic random sample will provide for 98 percent precision or better, 99 samples out of 100. Bedford Hills, which currently houses approximately 360 inmates, requires a 33 percent sample to obtain this level of confidence in the results. The number of inmates from each unit in such a sample would be : Attica -- 360, Auburn -- 320, and Bedford Hills -- 120, for a total of 800 inmates.

The most desirable method of sample selection is to randomly select from an exhaustive and current list of all inmates (including those in special housing, keep lock, etc.). From such a list the sample would be selected by picking the third name or number in each institution, then selecting every fifth name thereafter in Attica and Auburn, and every third name in Bedford Hills.

If such a procedure is not possible, an alternative strategy is to select the sample from each cell block. The exact procedure would be developed in consultation with each institution's superintendent, but it probably would involve selection according to cell numbers, bed locations and special housing arrangements within each block.

Regarding administration of the instrument, line personnel would be requested to complete the questionnaire after they have completed their duty shift. It is anticipated that the questionnaire can be self-administered and can be completed in not more than 60 minutes. Questionnaires are to be administered to inmates in groups of 40 to 50, depending on space and security restrictions. Each group will require no more than 60 minutes and all inmates will complete the questionnaire within a single day.

We recognize that the sampling procedures proposed above may be administratively cumbersome, and may pose security problems in bringing the inmates together for the questionnaire. For ease of administration from the facilities' perspective, we believe that it would be ideal to locate naturally occurring groups of inmates (such as those in the dining hall) which would be representative of the entire inmate population. If no such groups are available, however, we will require the assistance of the Superintendent and his or her staff in developing a procedure which will not interfere with the normal functioning of the institution.

7. Tentative Time-Table.

December 29, 1975: Meet with Auburn Superintendent at Auburn.

December 30, 1975: Meet with Bedford Hills Superintendent and observe orientation at the Institute for Mediation and Conflict Resolution in New York City.

December 31, 1975: Quarterly report

1976

January 5-12: Administer pre- questionnaires and interviews at the three indepth institutions.

February-March: Initial coding and tabulation of data. Interviews with system officials in Albany. Research on files in Albany (Use of Force, Commissioner's letters, litigation, volunteers, etc.). Quarterly report.

April-December: Continue data collection from records. Ongoing monitoring and collection of observational data. Possible administration of interim questionnaires and/or interviews. Analysis. Quarterly reports.

1977

January-March: Continuation of previous quarters' activities. Quarterly report.

April: Administration of post- questionnaires and interviews. Further research in records.

May-August: Analysis of all data, including last-minute records research. Assistance in diffusion through State and CCJ in conferences, etc. Quarterly and final reports.

## APPENDIX C. Survey Instruments



160K 5  
IN PERCENTAGES EXCEPT  
WHERE OTHERWISE  
SPECIFIED.

-439-

4. 109 acm J

January, 1976

N = Number of Responses  
per question.

STAFF SURVEY

Community Conflict Resolution Program  
University of Missouri-St. Louis  
St. Louis, Missouri 63121

James Laue  
John Hepburn  
Martha Becker

\* \* \* \* \*

The Community Conflict Resolution Program of St. Louis has been asked to monitor the new inmate grievance procedure in the correctional facilities in New York. As part of our task we are seeking information from inmates, correctional officers and the Superintendent and his staff. This questionnaire is an attempt to find out how you and other correctional officers feel about a number of things. We will be asking correctional officers in most of the correctional facilities to answer these questions. You are not asked to identify yourself, so please do not put your name on this questionnaire. Your answers will be completely confidential.

First, we would like some general information about you.

1. What is your age? N = 60 - Average Age = 32.9
2. Number of years of formal education: (circle the appropriate number) N = 63 - Average # of years of Education = 13.4
- | <u>Elementary</u> |   |   |   |   |   |   |   | <u>Secondary</u> |    |    |    | <u>College</u> |    |    |    |
|-------------------|---|---|---|---|---|---|---|------------------|----|----|----|----------------|----|----|----|
| 1                 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9                | 10 | 11 | 12 | 13             | 14 | 15 | 16 |

3. Race or ethnicity (check one) N = 59

<u>5.1</u>	Black	<u>1.7</u>	American Indian
<u>89.8</u>	White	<u>1.7</u>	other
<u>4.7</u>	Spanish surname		

4. What is your annual salary? (check one)

<u>0.0</u>	below 9,000	<u>23.3</u>	14,001 - 15,000
<u>0.0</u>	9,001 - 10,000	<u>8.3</u>	15,001 - 16,000
<u>1.7</u>	10,001 - 11,000	<u>6.7</u>	above 16,000
<u>21.7</u>	11,001 - 12,000		
<u>21.7</u>	12,001 - 13,000		
<u>16.7</u>	13,001 - 14,000		

5. How long have you been a correctional employee? (check one)

1.6 Under 6 months  
9.5 7-18 months  
15.9 1½ years to 2 years  
12.2 3-5  
15.9 6-8  
7.9 9-11  
6.3 12-14  
20.6 15 or more years

6. How long have you been a correctional employee here? (check one)

1.6 Under 6 months  
15.9 7-18 months  
12.7 1½ years to 2 years  
17.0 3-5  
12.7 6-8  
9.5 9-11  
3.2 12-14  
17.5 15 or more years

7. Are you planning to make corrections a career?

7.9 No  
65.1 Yes  
9.5 Don't know yet -- probably not  
17.5 Don't know yet -- probably yes

8. Is your job here becoming more or less satisfying work?

11.3 More satisfying  
56.5 Less satisfying  
32.3 About the same

9. Based on your own experience, do you feel the inmates here are harder to deal with than they were a year ago?

54.8 More difficult  
6.5 Less difficult  
38.7 About the same

10. Based on your experience, would you recommend corrections as a career to someone just starting out?

61.7 No  
13.9 Yes  
14.3 Don't know

11. Are the complaints by the inmates here about the same as they were a year ago?  $N=62$

32.3 No  
67.7 Yes

12. Are the complaints by the staff here about the same as they were a year ago?  $N=62$

29.0 No  
71.0 Yes

13. If a group of inmates strongly feels that the staff is treating them unfairly, what kinds of actions do you think they have a right to take in order to change the situation? (check all that you feel are appropriate)

Yes	No	
<u>17.5</u>	<u>82.5</u>	Hold a meeting to talk about what's happening $N=63$
<u>66.7</u>	<u>33.3</u>	Bring it to the attention of the Liaison Committee $N=63$
<u>25.4</u>	<u>74.6</u>	Go talk to the Superintendent $N=63$
<u>65.1</u>	<u>34.9</u>	Write a letter to the Superintendent $N=63$
<u>14.3</u>	<u>85.7</u>	Send a letter to the newspaper $N=63$
<u>50.8</u>	<u>49.2</u>	Write a letter to the Commissioner in Albany $N=63$
<u>27.0</u>	<u>73.0</u>	File a law suit $N=63$
<u>4.8</u>	<u>95.2</u>	Do something to call attention to their cause even though it may be against the rules $N=63$
<u>6.3</u>	<u>93.7</u>	Do whatever it takes to get the job done. $N=63$

14. To the best of your knowledge how often do these things happen here? (check one for each question)

- a. fights between inmates  $N=63$

<u>1.6</u>	never
<u>4.8</u>	about once a month
<u>7.9</u>	about once every two weeks
<u>17.5</u>	about once a week
<u>30.2</u>	about 2 or 3 times a week
<u>11.1</u>	about 4 to 6 times a week
<u>20.6</u>	at least once a day
<u>6.3</u>	more than once a day

- b. fights between inmates and staff  $N=60$

<u>8.3</u>	never
<u>70.0</u>	about once a month
<u>8.3</u>	about once every two weeks
<u>6.7</u>	about once a week
<u>0.0</u>	about 2 or 3 times a week
<u>0.0</u>	about 4 to 6 times a week
<u>3.3</u>	at least once a day
<u>1.7</u>	more than once a day
<u>1.7</u>	don't know

c. something in the prison damaged by an inmate  $N=63$

0.0 never  
3.2 about once a month  
3.2 about once every two weeks  
12.7 about once a week  
6.3 about 2 or 3 times a week  
1.6 about 4 to 6 times a week  
31.7 at least once a day  
39.7 more than once a day  
1.6 don't know.

d. inmate abuse of a staff member  $N=63$

0.0 never  
7.9 about once a month  
4.8 about once every two weeks  
0.0 about once a week  
3.2 about 2 or 3 times a week  
3.2 about 4 to 6 times a week  
31.7 at least once a day  
47.6 more than once a day  
1.6 don't know

e. something stolen from an inmate  $N=62$

0.0 never  
6.5 about once a month  
1.6 about once every two weeks  
9.7 about once a week  
14.5 about 3 or 3 times a week  
3.2 about 4 to 6 times a week  
32.3 at least once a day  
30.6 more than once a day  
1.6 don't know

15. Within the last two months, how often have you had a piece of clothing or other personal possession torn, broken or ruined?  $N=62$   
 (check one)

66.1 never  
16.1 once only  
12.9 2 times  
3.2 3 times  
1.6 4 times  
0.0 5 times  
0.0 6 to 10 times  
0.0 11 or more times

16. Within the last two months, how often have you had something you owned stolen from you? (check one)  $N=61$

<u>83.6</u> never	<u>1.6</u> 4 times
<u>9.8</u> once only	<u>0.0</u> 5 times
<u>3.3</u> 2 times	<u>0.0</u> 6 to 10 times
<u>1.6</u> 3 times	<u>0.0</u> 11 or more

17. Within the last two months, how often have you been attacked by an inmate? (check one) N=63

85.7 never  
9.5 once only  
1.6 2 times  
1.6 3 times  
0.0 4 times  
0.0 5 times  
0.0 6 to 10 times  
1.6 11 or more

18. How would you describe the feeling in this prison now? Would you say it is: (check one) N=62

11.3 tense, uptight, everyone nervous most of the time  
62.9 somewhat tense, possibility of fights often  
15.8 relaxed, only a few fights  
6.0 very relaxed, not much nervousness

19. Have you heard before today that there is to be a new inmate grievance procedure here?

95.2 yes  
4.8 no

If yes, please answer (a) and (b):

- a. When did you first hear about it? (check one)

1.6 not applicable  
1.6 a few days ago  
32.8 1 or 2 weeks ago  
32.8 3 or 4 weeks ago  
31.1 more than a month ago

- b. How did you first hear about it? (check one)

1.7 not applicable  
31.7 from another correctional employee  
5.0 from an inmate  
28.3 from the Superintendent or the Superintendent's staff  
6.0 from a prison newspaper or bulletin  
8.3 from a special film or TV tape shown in the prison  
3.3 a city newspaper or magazine  
21.7 other (Specified with information)

20. The new inmate grievance procedure will do more harm than good.  
(circle one)  $N = 58$

3.4	20.7	32.8	25.9	17.2
strongly				strongly
disagree	/	disagree	/	agree
		undecided	/	agree

21. The new inmate grievance procedure will solve some of this prison's biggest problems. (circle one)  $N = 58$

25.9	37.9	31.0	5.2	0.0
strongly				strongly
disagree	/	disagree	/	agree
		undecided	/	agree

22. The new inmate grievance procedure will help the inmates and hurt the staff. (circle one)  $N = 59$

1.7	20.3	35.6	33.9	8.5
strongly				strongly
disagree	/	disagree	/	agree
		undecided	/	agree

23. The new inmate grievance procedure cannot do any serious harm.  
(circle one)  $N = 59$

15.3	35.6	33.9	15.2	0.0
strongly				strongly
disagree	/	disagree	/	agree
		undecided	/	agree

24. The new inmate grievance procedure is sure to be effective. (circle one)  $N = 58$

13.8	36.2	44.8	5.2	0.0
strongly				strongly
disagree	/	disagree	/	agree
		undecided	/	agree

25. The new inmate grievance procedure shows common sense. (circle one)  $N = 58$

19.0	22.4	32.8	25.9	0.0
strongly				strongly
disagree	/	disagree	/	agree
		undecided	/	agree

26. When the new grievance procedure begins, do you think that most inmate complaints will be worked out: (check one only)  $N = 56$

1.8 very well  
~~26.8~~ pretty well  
~~50.0~~ not very well  
17.9 very poorly  
3.6 don't know

27. How much do you think most correctional employees care about the successful working out of inmate grievances? (check one)  $N = 59$

6.8 very much  
37.1 somewhat  
33.9 a little  
30.5 not at all  
1.7 don't know

28. Do you think the new procedures will improve the relationships between inmates here? (check one) N=60

3.3 yes, a lot  
15.0 yes, some  
25.0 a little  
55.0 no, not at all  
1.1 don't know

29. Do you think the new procedures will improve inmate/staff relationships? (check one) N=61

0.0 yes, a lot  
9.8 yes, some  
26.2 a little  
62.3 no, not at all  
1.6 don't know

30. When it comes to filing a grievance, do you think most of the inmates will: (check only one) N=61

83.6 file whenever they feel like it  
3.3 file only if really necessary  
6.6 not file if they can help it  
4.9 not file at all  
1.6 don't know

31. When the new procedure begins, how do you expect most officers will feel toward inmates filing grievances? (check only one) N=61

1.6 accept it totally  
27.9 accept it with some doubt  
31.1 be suspicious of it  
37.7 not want anything to do with it  
1.6 don't know

32. After the new procedure begins here, how do you think the inmates will feel about filing complaints or grievances? (check only one) N=62

79.0 very comfortable, willing to file  
17.7 hesitant, reluctant to file  
1.6 very uncomfortable, very unwilling to file  
1.6 don't know

33. Do you think the new grievance system will increase the inmate complaints about:

- a. major institutional rules and procedures N=62

86.6 yes  
8.1 no  
11.3 don't know

b. correctional employees  $N = 61$

85.2 yes

3.3 no

11.5 don't know

c. trivial matters that are only a waste of time  $N = 60$

85.0 yes

5.0 no

10.0 don't know

\* \* \* \* \*

Here are some questions about the way complaints by inmates are handled now.

34. Is there a particular person on the staff or a committee which is supposed to handle inmates complaints? (check one)  $N = 62$

85.5 yes

8.1 no

6.5 don't know

35. In general, are complaints handled fairly? (check one)  $N = 61$

19.7 always

54.1 most of the time

11.5 some of the time

3.3 seldom

0.0 never

11.5 don't know

36. In general, are complaints handled quickly? (check one)  $N = 61$

14.8 always

50.8 most of the time

13.1 some of the time

4.9 seldom

1.6 never

14.8 don't know

37. In general, is there a written reply to complaints? (check one)  $N = 61$

14.8 always

27.9 most of the time

24.5 some of the time

8.2 seldom

0.0 never

19.7 don't know



38. When an inmate has a complaint about something here, who is that inmate supposed to go to first about the problem? (check one) N=63

1.6 another inmate  
76.2 an officer  
4.8 a counselor or teacher  
14.3 the Liaison Committee  
0.0 the Superintendent  
3.2 other ( specified )

39. Under the present procedure, what happens after the Liaison Committee meets to discuss the inmate's complaint? (check all that are correct)

Yes NO  
71.4 28.6 send recommendation to Superintendent N=63  
41.3 58.7 notify inmate of their recommendation N=63  
0.0 100.0 meet with the Adjustment Committee N=63  
4.8 95.2 send recommendation to Commissioner N=63  
20.6 79.4 don't know N=63

40. As things now operate, about how often are complaints by inmates handled in the following ways:

	<u>Frequently</u>	<u>Seldom</u>	<u>Never</u>	<u>Don't Know</u>
a. inmate with complaint does nothing and lets it drop <u>N=57</u>	<u>28.1</u>	<u>54.4</u>	<u>14.0</u>	<u>3.5</u>
b. inmate with complaint talks to another inmate who straightens it out with an officer <u>N=57</u>	<u>36.8</u>	<u>50.9</u>	<u>8.8</u>	<u>3.5</u>
c. inmate with complaint talks directly to an officer <u>N=59</u>	<u>71.2</u>	<u>25.4</u>	<u>0.0</u>	<u>3.4</u>
d. inmate writes to Superintendent <u>N=59</u>	<u>72.9</u>	<u>23.7</u>	<u>0.0</u>	<u>3.4</u>
e. inmate writes to Commissioner <u>N=57</u>	<u>49.1</u>	<u>47.4</u>	<u>0.0</u>	<u>3.4</u>
f. inmate files formal complaint with Liaison Committee <u>N=59</u>	<u>54.2</u>	<u>39.0</u>	<u>3.4</u>	<u>3.4</u>

41. How do you think most of the correctional employees personally feel about inmates who make complaints to the Superintendent? (check one) N=63

71.4 they don't care  
3.2 they give the inmates a hard time about it  
7.9 they encourage inmates to do it  
17.5 don't know

42. How does the way inmates' complaints are handled here compare  $N=61$  with other prisons where you have worked or heard about? (check one)

0.0 this one is worse  
18.0 about the same  
27.9 this one is better  
54.1 don't know

43. How do you think most inmates generally feel about other inmates who make complaints to the Liaison Committee? (check one)  $N=63$

36.5 they don't care  
1.6 they give them a hard time about it  
39.7 they encourage them to do it  
22.2 don't know

44. How do you think most inmates generally feel about other inmates who make complaints to the superintendent? (check one)  $N=62$

32.3 they don't care  
0.0 they give them a hard time about it  
48.8 they encourage them to do it  
21.0 don't know

45. Does the Superintendent really care about the complaints the inmates have? (check one)  $N=62$

4.8 the Superintendent doesn't care  
1.6 the Superintendent gives them a hard time  
48.4 the Superintendent encourages them to make complaints  
45.1 don't know

46. Generally speaking, do other correctional employees here care about the complaints the inmates have? (check one)  $N=62$

33.9 they don't care  
3.2 they give them a hard time  
22.6 they encourage them to make complaints  
40.3 don't know

\* \* \* \* \*

Now we want to get some idea of how you personally feel about things. We are not interested in how you think others feel; we want your personal opinions. For each of the following statements, please put the number which best represents your opinion in the space to the left.

Strongly Disagree	Disagree	Undecided	Agree	Strongly Agree
(1)	(2)	(3)	(4)	(5)
47. A criminal should be punished first, then we can worry about reform. N=61				
9.8	29.5	8.2	27.9	24.6
48. Most of the problems that inmates have are caused by inmates themselves. N=60				
0.0	3.3	0.0	51.9	45.0
49. Militant inmates here make my job more difficult. N=61				
00	3.3	8.2	24.6	63.9
50. If given the chance, most inmates are capable of taking care of themselves on the outside. N=60				
16.7	43.3	18.3	20.0	1.7
51. I have developed a friendship with a few inmates. N=60				
3.3	28.3	10.0	48.3	10.0
52. Most inmates really can't be rehabilitated. N=61				
8.2	21.3	11.5	34.4	24.6
53. Most inmates respect me as a correctional employee. N=61				
4.9	21.3	13.1	45.9	14.8
54. A correctional employee must always enforce the rules to the letter, even if it angers inmate leaders. N=61				
9.8	23.0	8.2	36.1	23.0
55. Inmates here have too many legal rights. N=61				
1.6	16.4	14.8	34.4	32.8
56. Most criminals do not benefit from punishment. N=60				
10.0	15.0	13.3	36.7	25.0
57. A criminal will go straight only when he finds that prison life is hard. N=61				
23.0	32.8	11.5	16.4	16.4
58. Hard prison life will keep men from committing crime. N=61				
23.0	27.9	9.8	18.0	21.3

59.	If inmates come to me for help, I would try to help them. N=61			
0.0	0.0	4.9	70.5	24.6
60.	Inmates are easier to control by privately talking to the inmate leaders than by enforcing all the rules. N=61			
23.0	24.6	18.9	27.9	6.6
61.	New changes and reforms are weakening the authority of the correctional officers. N=62			
3.2	4.8	9.7	19.4	62.9
62.	Inmates are never to be trusted. N=62			
6.5	46.8	14.5	16.1	16.1
63.	Harsh treatment only makes the inmate more bitter. N=62			
17.7	21.0	16.1	35.5	9.7

THANK YOU FOR YOUR HELP.

N= Number of Respondents  
per Question

INMATE SURVEY

Community Conflict Resolution Program  
University of Missouri-St. Louis  
St. Louis, Missouri 63121

James Laue  
John Hepburn  
Martha Becker

\* \* \* \* \*

First, we would like some general information about you.

1. Race or Ethnicity (check one) N= 185

<u>63.8</u>	Black
<u>20.5</u>	White
<u>12.4</u>	Spanish speaking, Latin
<u>1.6</u>	American Indian
<u>1.6</u>	other

2. Religion (check one) N= 181

<u>27.1</u>	Protestant
<u>21.0</u>	Roman Catholic
<u>1.1</u>	Jewish
<u>11.6</u>	Black Muslim (Elijah Muhammad)
<u>3.9</u>	Sunni Muslim
<u>14.4</u>	other
<u>21.0</u>	none

3. Marital Status (check one) N= 186

<u>34.4</u>	married now
<u>4.3</u>	divorced since coming to prison
<u>7.0</u>	divorced before coming to prison
<u>4.8</u>	separated before coming to prison
<u>2.2</u>	widowed before coming to prison
<u>1.1</u>	widowed since coming to prison
<u>45.2</u>	single - never married
<u>1.1</u>	married since in prison

4. Education (check one) N= 185

<u>8.1</u>	less than 7th grade
<u>11.4</u>	7th - 9th grade
<u>29.2</u>	10th - 11th grade
<u>14.6</u>	high school graduate
<u>24.9</u>	some college
<u>7.0</u>	some vocational or trade school after high school
<u>4.3</u>	completed college
<u>0.5</u>	none

Average

5. How old are you?  $N = 182$  30.9
6. How many times have you been in prison?  $N = 172$  1.0
7. What is the total number of years you have spent in prison?  $N = 168$  5.01
8. How old were you when first arrested by the police?  $N = 171$  19.6
9. How long have you been at this prison?  $N = 180$  6 to 11 months
10. How long before you will be released from prison?  $N = 170$  2 to 4 years
11. How many years or months have you already served on this sentence?  $N = 175$  12 to 23 months
12. How often do you get visits from friends or relatives? (check one)  $N = 167$ 

<u>16.2</u>	never
<u>3.0</u>	about 4 times a week or more
<u>3.0</u>	about 2-3 times a week
<u>6.6</u>	about once a week
<u>10.2</u>	about once every two weeks
<u>20.4</u>	at least once a month
<u>38.3</u>	less than once a month
<u>2.4</u>	seldom
13. How often do you get letters from outside? (check one)  $N = 177$ 

<u>3.4</u>	never
<u>7.3</u>	almost every day
<u>9.6</u>	about 4 or 5 times a week
<u>27.1</u>	about 2-3 times a week
<u>14.3</u>	about once a week
<u>17.5</u>	at least once a month
<u>9.6</u>	less than once a month
<u>0.1</u>	don't know
14. Here is a list of some possible complaints which you might have. Please check those which you feel are a problem for you. (check one)  $N = 196$ 

YES	NO	
<u>57.7</u>	<u>42.3</u>	food served
<u>43.4</u>	<u>56.6</u>	clothing issued
<u>31.1</u>	<u>68.9</u>	recreational opportunities
<u>60.7</u>	<u>39.3</u>	medical services
<u>48.2</u>	<u>51.8</u>	visitation rules
<u>37.6</u>	<u>62.4</u>	legal services
<u>56.1</u>	<u>43.9</u>	personal privacy
<u>59.7</u>	<u>40.3</u>	treatment by correctional officers
<u>43.4</u>	<u>56.6</u>	treatment by administrators
<u>42.3</u>	<u>57.7</u>	job training and educational opportunities
15. If a group of inmates strongly feels that the staff is treating them unfairly, what kinds of actions do you think they have a right to take in order to change the situation? (Check any that you would do).  $N = 196$ 

YES	NO	
<u>29.6</u>	<u>70.4</u>	Hold a meeting to talk about what's happening.
<u>14.8</u>	<u>85.2</u>	Bring it to the attention of the Liaison Committee.
<u>22.4</u>	<u>77.6</u>	Go talk to the Superintendent.
<u>20.9</u>	<u>79.1</u>	Write a letter to the Superintendent.

(Question continued on next page)

15. (continued)

YES	NO	
<u>36.2</u>	<u>63.8</u>	Write a letter to the Commissioner in Albany.
<u>28.6</u>	<u>71.4</u>	Send a letter to the newspapers.
<u>25.0</u>	<u>75.0</u>	File a law suit.
<u>21.4</u>	<u>78.6</u>	Do something to call attention to your cause even though it may be against the rules.
<u>34.2</u>	<u>65.8</u>	Do whatever it takes to get the job done.

16. To the best of your knowledge, how often do these things happen here?  
(Check one for each question). N = 171

a. fights between inmates

6.4 never  
20.5 about once a month  
11.7 about once a week  
12.3 about 2 or 3 times a week  
9.4 about 4 to 6 times a week  
16.4 at least once a day  
13.5 more than once a day  
9.9 don't know

b. fights between inmates and staff

13.5 never  
41.7 about once a month  
10.9 about once a week  
3.2 about 2 or 3 times a week  
6.4 about 4 to 6 times a week  
7.1 at least once a day  
4.5 more than once a day  
12.8 don't know

c. something in the prison damaged by an inmate

23.4 never  
22.1 about once a month  
10.4 about once a week  
8.4 about 2 or 3 times a week  
2.6 about 4 to 6 times a week  
9.1 at least once a day  
7.1 more than once a day  
16.9 don't know

d. staff abuse of an inmate

7.1 never  
8.3 about once a month  
8.9 about once a week  
10.7 about 2 or 3 times a week  
7.7 about 4 to 6 times a week  
16.1 at least once a day  
34.5 more than once a day  
6.5 don't know

16. (continued)

e. something stolen from an inmate

10.8 never  
19.9 about once a month  
21.1 about once a week  
6.6 about 2 or 3 times a week  
4.2 about 4 to 6 times a week  
12.7 at least once a day  
12.7 more than once a day  
12.0 don't know

17. Within the last two months, how often have you had a piece of clothing or other personal possession torn, broken or ruined?  $N=163$

33.1 never  
19.6 once only  
16.6 2 times  
9.8 3 times  
6.1 4 times  
4.3 5 times  
3.1 6 to 10 times  
7.4 11 or more times

18. Within the last two months, how often have you had something you owned stolen from you?  $N=171$

54.5 never  
19.4 once only  
10.3 2 times  
6.1 3 times  
3.0 4 times  
1.9 5 times  
1.8 6 to ten times  
3.0 11 or more times

19. Within the last two months, how often have you been in a fight with another inmate or had another inmate attack you?  $N=171$

80.1 never  
13.5 once only  
4.1 2 times  
0.6 3 times  
1.2 4 times  
0.0 5 times  
0.0 6 to 10 times  
0.6 11 or more times

20. Within the last two months, how often have you been in a fight with a correctional officer:  $N=169$

<u>89.9</u>	never	<u>0.0</u>	4	times
<u>4.1</u>	once only	<u>0.6</u>	5	times
<u>0.6</u>	2 times	<u>0.0</u>	6	to 10 times
<u>2.4</u>	3 times	<u>2.4</u>	11	or more times



21. How would you describe the feeling in this prison now?  
Would you say it is: (check one)  $N=171$

55.6 tense, uptight, everyone nervous most of the time  
34.5 somewhat tense, possibility of fights often  
6.4 relaxed, only a few problems  
1.2 very relaxed, not much nervousness  
2.3 don't know

22. Have you heard from anyone before today that there is to be a new inmate grievance procedure here?  $N=174$

87.4 yes  
12.6 no

If yes, please answer (a) and (b):

- a. When did you first hear about it? (check one)  $N=154$

29.9 a few days ago  
40.9 1 or 2 weeks ago  
17.5 3 or 4 weeks ago  
11.7 more than a month ago

- b. How did you first hear about it? (check one)  $N=159$

23.9 from another inmate  
1.9 from a corrections officer  
0.6 from a teacher or counselor  
49.1 from the Superintendent or his staff  
13.2 from a special film or TV tape shown in the prison  
4.4 a prison newspaper or bulletin  
3.1 a city newspaper or a magazine  
1.3 from a friend or relative from outside the prison  
2.5 other ( )

23. The new inmate grievance procedure will do more harm than good.  
(circle one)  $N=170$

<u>44.8</u>		<u>13.5</u>		<u>58.2</u>		<u>7.6</u>		<u>5.3</u>
Strongly								Strongly
Disagree	/	Disagree	/	Undecided	/	Agree	/	Agree

24. The new inmate grievance procedure will solve some of this prison's biggest problems. (circle one)  $N=167$

<u>11.4</u>		<u>12.0</u>		<u>54.5</u>		<u>14.4</u>		<u>7.8</u>
Strongly								Strongly
Disagree	/	Disagree	/	Undecided	/	Agree	/	Agree

25. The new inmate grievance procedure will help the inmates and hurt the staff. (circle one)  $N=163$

<u>23.9</u>	<u>23.3</u>	<u>45.4</u>	<u>4.9</u>	<u>2.5</u>
Strongly				Strongly
Disagree /	Disagree /	Undecided /	Agree /	Agree

26. The new inmate grievance procedure cannot do any serious harm. (circle one)  $N=165$

<u>9.7</u>	<u>9.7</u>	<u>43.0</u>	<u>26.1</u>	<u>11.5</u>
Strongly				Strongly
Disagree /	Disagree /	Undecided /	Agree /	Agree

27. The new inmate grievance procedure is sure to be effective. (circle one)  $N=165$

<u>6.1</u>	<u>11.5</u>	<u>61.8</u>	<u>14.5</u>	<u>6.1</u>
Strongly				Strongly
Disagree /	Disagree /	Undecided /	Agree /	Agree

28. The new inmate grievance procedure shows common sense. (circle one)  $N=164$

<u>7.9</u>	<u>5.5</u>	<u>37.2</u>	<u>39.6</u>	<u>9.8</u>
Strongly				Strongly
Disagree /	Disagree /	Undecided /	Agree /	Agree

29. When the new grievance procedure begins, do you think that most inmate complaints will be worked out: (check one only)  $N=162$

<u>9.9</u>	very well
<u>21.0</u>	pretty well
<u>34.0</u>	not very well
<u>24.7</u>	very poorly
<u>10.5</u>	don't know

30. How much do you think staff will care about the successful working out of inmate grievances? (check one)  $N=168$

<u>7.1</u>	very much
<u>17.3</u>	somewhat
<u>25.0</u>	a little
<u>45.8</u>	not at all
<u>4.8</u>	don't know

31. Do you think the new procedures will improve relationships with other inmates here? (check one)  $N=161$

<u>11.2</u>	yes, a lot
<u>26.7</u>	yes, some
<u>26.7</u>	a little
<u>31.7</u>	no, not at all
<u>3.7</u>	don't know

32. Do you think the new procedures will improve inmate/staff relationships? (check one)  $N=168$

6.5 yes, a lot  
14.9 yes, some  
24.4 a little  
48.8 no, not at all  
5.4 don't know

33. After the new procedure begins here, do you think you will feel comfortable filing complaints or grievances? (check only one)

$N=167$

14.4 most of the time  
12.0 some of the time  
19.2 seldom  
15.6 never  
38.9 don't know

34. When the new procedure begins, how do you expect staff will feel toward inmates filing grievances? (check only one)

$N=165$

1.8 accept it totally  
19.4 accept it with some doubt  
42.4 be suspicious of it  
32.1 not want anything to do with it  
4.2 don't know

35. When it comes to filing a grievance, do you think most of the inmates will: (check only one)  $N=161$

23.6 file whenever they feel like it  
45.3 file only if really necessary  
16.8 not file if they can help it  
9.3 not file at all  
5.0 don't know

Here are some questions about the way complaints by inmates are handled now. Please answer to the best of your knowledge.

36. If you have a complaint about something here, who would you go to first? (check one)  $N=154$

22.1 another inmate who might be able to help me  
13.0 an officer I can talk to  
20.1 a counselor or teacher  
7.8 the Liaison Committee  
14.9 the Superintendent  
7.8 other with info  
14.3 other without info

37. How do you think most of the correctional officers generally feel about inmates who make complaints to the Superintendent? (check one)  $N=165$

19.4 they don't care  
50.9 they give us a hard time about it  
3.6 they encourage us to do it  
26.1 don't know

38. How do most of the correctional officers feel about inmates who make complaints to the Liaison Committee? (check one)

$N=162$

34.6 they don't care  
33.3 they give us a hard time about it  
2.5 they encourage us to do it  
29.6 don't know

39. How do most of the inmates generally feel about those inmates who make complaints to the Liaison Committee? (check one)

$N=162$

33.3 they don't care  
6.2 they give them a hard time about it  
27.2 they encourage them to do it  
33.3 don't know

40. How do most of the inmates feel about those inmates who make complaints to the Superintendent? (check one)  $N=162$

25.3 they don't care  
7.4 they give them a hard time about it  
34.6 they encourage them to do it  
32.7 don't know

41. How does the way complaints are handled at this institution compare with other prisons you have been in or heard about? (check one)  $N=165$

46.1 this one is worse  
21.8 about the same  
4.2 this one is better  
27.9 don't know

42. Generally speaking, does the correctional staff here care about the complaints the inmates have? (check one) *N=164*

70.1 no, they don't care  
12.2 yes, they give us a hard time about it  
4.3 yes, they encourage us to make complaints  
13.4 don't know

43. Does the Superintendent care about the complaints the inmates have? (check one) *N=160*

43.1 no, he doesn't care  
10.0 yes, he gives us a hard time about it  
14.4 yes, he encourages us to make complaints  
32.5 don't know

44. Is there a particular person on the staff or a committee which is supposed to handle inmates' complaints? (check one)

*N=164*

32.3 yes  
18.3 no  
49.4 don't know

45. Do you know anyone who has complained to this person or committee? (check one) *N=154*

39.0 yes  
59.1 no  
1.9 don't know

46. In general, are complaints handled quickly? (check one)

*N=165*

3.6 always  
3.0 most of the time  
14.5 some of the time  
30.9 seldom  
26.7 never  
21.2 don't know

47. In general, are complaints handled fairly? (check one)

*N=163*

15.0 always  
4.3 most of the time  
20.2 some of the time  
32.5 seldom  
22.1 never  
19.0 don't know

48. In general, is there a written reply to complaints? (check one)

N=158

<u>6.3</u>	always
<u>17.7</u>	most of the time
<u>16.5</u>	some of the time
<u>27.2</u>	seldom
<u>10.8</u>	never
<u>21.5</u>	don't know

\* \* \* \* \*

Now we want to get some idea of how you personally feel about things. We are not interested in how you think others feel; we want your personal opinions. For each statement we read, please indicate whether you agree or disagree with that statement.

Strongly						Strongly		
Disagree	/	Disagree	/	Undecided	/	Agree	/	Agree

As you can see on the scale above from left to right,

- 1 means strong disagreement with the statement
- 2 means disagree, but not so strongly
- 3 means you are undecided
- 4 means you agree, but not strongly
- 5 means you strongly agree.

There are no right or wrong answers here, so please tell us what you feel by putting the number in the space for each item.

	<u>Strongly Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly Agree</u>
49. None of us have any influence on how we are treated here. <i>N=172</i>	<u>11.0</u>	<u>7.6</u>	<u>12.2</u>	<u>23.8</u>	<u>45.3</u>
50. The kind of guys I hang around with here are really a lot like most of the people I knew on the street. <i>N=170</i>	<u>33.5</u>	<u>30.6</u>	<u>10.0</u>	<u>14.1</u>	<u>11.8</u>
51. The government has no right to put poor people in prison when all they have done is try to survive in an unjust system. <i>N=174</i>	<u>8.0</u>	<u>9.2</u>	<u>13.2</u>	<u>18.5</u>	<u>50.0</u>
52. There is really not much I can do about what happens to me here. <i>N=173</i>	<u>9.8</u>	<u>11.0</u>	<u>6.4</u>	<u>28.3</u>	<u>44.5</u>
53. Who you know is more important that what you know. <i>N=170</i>	<u>12.9</u>	<u>5.9</u>	<u>13.5</u>	<u>20.6</u>	<u>47.1</u>
54. I feel more and more helpless when I see what's going on around here. <i>N=169</i>	<u>5.9</u>	<u>16.2</u>	<u>7.1</u>	<u>33.7</u>	<u>42.0</u>
55. When you do the kind of work I do on the street you just have to expect to pull a few years in prison once in a while. <i>N=167</i>	<u>43.1</u>	<u>20.4</u>	<u>9.0</u>	<u>12.6</u>	<u>15.0</u>
56. You have to take care of yourself because nobody else is going to take care of you. <i>N=173</i>	<u>3.5</u>	<u>1.7</u>	<u>0.6</u>	<u>15.0</u>	<u>79.2</u>
57. If you know the right people, you can get just about anything you want around here. <i>N=170</i>	<u>7.1</u>	<u>8.2</u>	<u>10.6</u>	<u>16.5</u>	<u>57.6</u>
58. Inmates can improve their own conditions here by cooperating with the staff. <i>N=163</i>	<u>50.9</u>	<u>25.2</u>	<u>9.8</u>	<u>6.7</u>	<u>7.4</u>
59. All officers belong in one class and should be treated about the same way. <i>N=169</i>	<u>13.0</u>	<u>22.5</u>	<u>18.9</u>	<u>20.1</u>	<u>25.4</u>
60. Americans prisons are just like concentration camps for the poor people, black people and other oppressed minorities. <i>N=170</i>	<u>2.9</u>	<u>8.2</u>	<u>4.7</u>	<u>19.4</u>	<u>64.7</u>

	<u>Strongly Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly Agree</u>
61. If you stop and think about it, most of the rules they have here make pretty good sense. <i>N=170</i>	<u>52.9</u>	<u>24.7</u>	<u>13.5</u>	<u>3.5</u>	<u>5.3</u>
62. We are totally powerless to control what happens to us in this institution. <i>N=172</i>	<u>8.1</u>	<u>9.9</u>	<u>5.8</u>	<u>26.2</u>	<u>50.0</u>
63. I feel more like a political prisoner than like a criminal. <i>N=169</i>	<u>5.9</u>	<u>12.4</u>	<u>15.4</u>	<u>27.2</u>	<u>39.1</u>
64. You really can't expect people to think much of you if you are willing to back away from trouble. <i>N=165</i>	<u>10.3</u>	<u>18.8</u>	<u>20.6</u>	<u>27.3</u>	<u>23.0</u>
65. The staff here would rather do things for a few inmates who will inform on others or who do just what they are told than do anything about the problems the rest of us have. <i>N=170</i>	<u>1.8</u>	<u>1.8</u>	<u>3.5</u>	<u>17.1</u>	<u>75.9</u>
66. As inmates, we all share the same problems and have the same interests. <i>N=167</i>	<u>25.7</u>	<u>35.9</u>	<u>12.0</u>	<u>14.4</u>	<u>12.0</u>
67. The biggest criminals can fix anything and rarely go to prison. <i>N=171</i>	<u>4.7</u>	<u>4.7</u>	<u>2.9</u>	<u>23.4</u>	<u>64.3</u>
68. You have to be hard to make it here. <i>N=171</i>	<u>4.1</u>	<u>17.5</u>	<u>4.1</u>	<u>26.3</u>	<u>48.0</u>
69. You have to do what you can to help other inmates even when it might get you in trouble with the officers. <i>N=167</i>	<u>12.0</u>	<u>21.0</u>	<u>19.8</u>	<u>31.7</u>	<u>15.6</u>
70. Since everyone thinks I'm a criminal, I might as well go ahead and be one when I leave here. <i>N=172</i>	<u>44.2</u>	<u>29.1</u>	<u>11.6</u>	<u>4.7</u>	<u>10.5</u>
71. The solution to the problem of crime is to tear down the prisons and rebuild the whole society that forces people into crime. <i>N=169</i>	<u>7.1</u>	<u>8.9</u>	<u>8.9</u>	<u>20.1</u>	<u>55.0</u>



	Strongly Disagree	Disagree	Undecided	Agree	Strongly Agree
72. I was right in doing what I did and I'd do it again even if I knew I'd get arrested again. <i>N=164</i>	<u>40.4</u>	<u>21.1</u>	<u>14.3</u>	<u>4.3</u>	<u>19.9</u>
73. I don't have much in common with people who never break the law. <i>N=167</i>	<u>32.3</u>	<u>36.5</u>	<u>10.8</u>	<u>7.2</u>	<u>13.2</u>
74. Most inmates are nothing more than victims of an unjust society. <i>N=171</i>	<u>9.9</u>	<u>12.3</u>	<u>7.6</u>	<u>23.4</u>	<u>46.8</u>
75. It is O.K. to hang around with people who break the law as long as you stay clean yourself. <i>N=167</i>	<u>12.6</u>	<u>22.2</u>	<u>20.4</u>	<u>25.7</u>	<u>19.2</u>
76. When inmates stick together it's a lot easier to do time. <i>N=172</i>	<u>4.1</u>	<u>4.1</u>	<u>9.9</u>	<u>37.2</u>	<u>44.8</u>
77. When I get out of here I want to do what I can for others who may still be in prison. <i>N=172</i>	<u>2.3</u>	<u>8.1</u>	<u>19.2</u>	<u>33.7</u>	<u>36.6</u>
78. Most of the people on the staff are willing to go out of their way to help an inmate. <i>N=174</i>	<u>69.5</u>	<u>20.1</u>	<u>5.7</u>	<u>0.6</u>	<u>4.0</u>
79. I have developed a friendship with a few of the officers. <i>N=169</i>	<u>45.0</u>	<u>27.2</u>	<u>4.1</u>	<u>20.1</u>	<u>3.6</u>
80. It would be pretty hard for anyone to ever make me mad enough that I'd fight them. <i>N=168</i>	<u>25.0</u>	<u>26.8</u>	<u>20.2</u>	<u>16.7</u>	<u>11.3</u>
81. I depend on my friends here for advice and help in dealing with the staff. <i>N=168</i>	<u>16.1</u>	<u>33.3</u>	<u>13.1</u>	<u>24.4</u>	<u>13.1</u>
82. The other inmates are right when they say "don't do anything more than you have to." <i>N=170</i>	<u>5.9</u>	<u>17.6</u>	<u>16.5</u>	<u>36.5</u>	<u>23.5</u>
83. The real power in this place, as it affects my life here, is controlled by inmate leaders, not staff. <i>N=166</i>	<u>53.0</u>	<u>22.9</u>	<u>9.6</u>	<u>7.2</u>	<u>7.2</u>

	<u>Strongly Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly Agree</u>
84. An officer is never to be trusted. <i>N=171</i>	<u>10.5</u>	<u>9.4</u>	<u>12.3</u>	<u>22.2</u>	<u>45.6</u>
85. We are allowed to make a lot of decisions for ourselves here. <i>N=170</i>	<u>57.1</u>	<u>24.1</u>	<u>4.7</u>	<u>6.5</u>	<u>7.6</u>
86. Even though I broke the law, I was right to do it by my moral standards. <i>N=158</i>	<u>19.0</u>	<u>17.7</u>	<u>14.6</u>	<u>19.6</u>	<u>29.1</u>
87. If you ever do have to fight, you're smart to do a good enough job on the other guy that he'll never come back for more. <i>N=173</i>	<u>2.9</u>	<u>3.5</u>	<u>9.8</u>	<u>20.8</u>	<u>63.0</u>
88. The reason I'm in here is because I did what everyone else does, only I got caught. <i>N=157</i>	<u>24.2</u>	<u>28.7</u>	<u>12.1</u>	<u>16.6</u>	<u>18.5</u>
89. This place is run in such a way that makes it easy for the staff but without showing much consideration for the needs and desires of inmates. <i>N=177</i>	<u>4.0</u>	<u>4.5</u>	<u>6.2</u>	<u>17.5</u>	<u>67.8</u>
90. I shouldn't be in prison for doing something that I had to do to survive. <i>N=160</i>	<u>13.1</u>	<u>13.1</u>	<u>11.9</u>	<u>15.6</u>	<u>46.3</u>

FIGURES ARE EXPRESSED  
IN PERCENTAGES EXCEPT  
WHERE OTHERWISE SPECIFIED

-465-

ATTICA FACILITY

February, 1977

N = NUMBER OF RESPONDENTS  
PER QUESTION

STAFF SURVEY

Community Conflict Resolution Program  
University of Missouri-St. Louis  
St. Louis, Missouri 63121

James Laue  
John Hepburn  
Martha Becker

\* \* \* \* \*

The Community Conflict Resolution Program of St. Louis has been asked to monitor the new Inmate Grievance Procedure in the correctional facilities in New York. As part of our task we are seeking information from inmates, correctional officers and the Superintendent and his staff. This questionnaire is an attempt to find out how you and other correctional officers feel about a number of things. We will be asking correctional officers in most of the correctional facilities to answer these questions. You are not asked to identify yourself, so please do not put your name on this questionnaire. Your answers will be completely confidential.

We conducted a survey here in February 1976 asking the staff questions quite similar to these. Please indicate whether you completed the first questionnaire.

49.3 Yes

41.3 No

9.3 Don't know N = 75

Now some general information about you.

1. How long have you been a correctional employee? (check one only)

1.3 Under 6 months  
5.1 7-18 months  
9.0 1½ to 2 years  
28.2 3-5 years  
17.9 6-8 years  
6.4 9-11 years  
7.7 12-14 years  
24.4 15 or more years

N = 78

2. How long have you been a correctional employee here?  
(check one only)

1.3 Under 6 months  
7.7 7-18 months  
9.0 1½ to 2 years  
30.8 3-5 years  
14.1 6-8 years  
7.7 9-11 years  
7.7 12-14 years  
21.8 15 or more years

N = 78

3. Are you planning to make corrections a career? (check one only)

65.4 Yes

3.8 No

11.5 Don't know yet -- probably not

19.2 Don't know yet -- probably yes

$N = 78$

4. Is your job here becoming more or less satisfying work? (check one only)

0.0 More satisfying

77.9 Less satisfying

22.1 About the same

$N = 77$

5. Based on your own experience, do you feel the inmates here are harder to deal with than they were a year ago? (check one only)

77.0 More difficult

1.4 Less difficult

21.6 About the same

$N = 74$

6. Based on your experience, would you recommend corrections as a career to someone just starting out? (check one only)

11.5 Yes

75.6 No

12.8 Don't know

$N = 78$

7. To the best of your knowledge how often do these things happen here? (check one for each question)

- a. fights between inmates

0.0 never

3.8 about once a month

9.0 about once every two weeks

10.3 about once a week

28.2 about 2 or 3 times a week

14.1 about 4 to 6 times a week

24.4 at least once a day

10.3 more than once a day

$N = 78$

- b. fights between inmates and staff

6.5 never

51.9 about once a month

18.2 about once every two weeks

13.0 about once a week

7.8 about 2 or 3 times a week

0.0 about 4 to 6 times a week

1.3 at least once a day

1.3 more than once a day

$N = 77$

- c. something in the prison damaged by an inmate

0.0 never  
4.0 about once a month  
1.3 about once every two weeks  
5.3 about once a week  
10.7 about 2 or 3 times a week  
8.0 about 4 to 6 times a week  
30.7 at least once a day  
40.0 more than once a day

N = 75

- d. inmate abuse of a staff member

0.0 never  
2.6 about once a month.  
0.0 about once every two weeks  
7.8 about once a week  
6.5 about 2 or 3 times a week  
3.9 about 4 to 6 times a week  
27.3 at least once a day  
51.9 more than once a day

N = 77

- e. something stolen from an inmate

1.3 never  
5.2 about once a month  
2.6 about once every two weeks  
9.1 about once a week  
9.1 about 2 or 3 times a week  
3.9 about 4 to 6 times a week  
29.9 at least once a day  
39.0 more than once a day

N = 77

8. Within the last two months, how often have you had a piece of clothing or other personal possession torn, broken or ruined? (check one only)

57.3 never  
26.7 once only  
9.3 2 times  
1.3 3 times  
4.0 4 times  
0.0 5 times  
1.3 6 to 10 times  
0.0 11 or more times

N = 75

9. Within the last two months, how often have you had something you owned stolen from you? (check one only)

70.7 never  
12.0 once only  
9.3 2 times  
2.7 3 times  
2.7 4 times  
2.7 5 times  
0.0 6 to 10 times  
0.0 11 or more times

N = 75

10. Within the last two months, how often have you been attacked by an inmate? (check one only)

88.5 never  
9.0 once only  
2.6 2 times  
0.0 3 times  
0.0 4 times  
0.0 5 times  
0.0 6 to 10 times  
0.0 11 or more

N = 78

11. How would you describe the feeling in this prison now? Would you say it is: (check one only)

25.6 tense, uptight, everyone nervous most of the time  
62.8 somewhat tense, possibility of fights often  
11.5 relaxed, only a few fights  
0.0 very relaxed, not much nervousness

N = 78

12. If a group of inmates strongly feels that the staff is treating them unfairly, what kinds of actions do you think they have a right to take in order to change the situation? (check all that you feel are appropriate) YES = Yes, Checked NO = Not Checked

N = 77

YES NO  
18.2 81.8 a. Hold a meeting to talk about what's happening.  
54.5 45.5 b. Bring it to the attention of the Liaison Committee.  
14.3 85.7 c. Go talk to the Superintendent.  
58.4 41.6 d. Write a letter to the Superintendent.  
9.1 90.9 e. Send a letter to the newspaper.  
33.8 66.2 f. Write a letter to the Commissioner in Albany.  
61.0 39.0 g. File a grievance with the clerk of the Inmate Grievance Resolution Committee  
6.5 93.5 h. File a law suit.  
2.6 77.4 i. Do something to call attention to their cause even though it may be against the rules.  
6.5 93.5 j. Do whatever it takes to get the job done.

13. Are the complaints by the inmates here about the same as they were a year ago? N = 74

75.7 Yes  
24.3 No  
0.0 Don't Know

14. Are the complaints by the staff here about the same as they were a year ago?

82.4 Yes  
17.6 No  
0.0 Don't Know

N = 74

15. When an inmate has a complaint about something here, who is that inmate supposed to go to first about the problem? (check one only)

1.3 another inmate  
83.1 an officer  
3.9 a counselor or teacher  
6.5 the Inmate Grievance Resolution Committee  
0.0 the Liaison Committee  
0.0 the Superintendent  
5.2 other ( )  
 please specify

N = 77

16. As things now operate, about how often are complaints by inmates handled in the following ways:

	Frequently	Seldom	Never	
a. Inmate with complaint does nothing and lets it drop.	a. <u>11.3</u>	<u>60.6</u>	<u>28.2</u>	N = 71
b. Inmate with complaint talks to another inmate who straightens it out with an officer.	b. <u>33.8</u>	<u>56.4</u>	<u>9.8</u>	N = 71
c. Inmate with complaint talks directly to an officer.	c. <u>73.6</u>	<u>23.6</u>	<u>2.8</u>	N = 72
d. Inmate writes to Superintendent.	d. <u>89.9</u>	<u>10.1</u>	<u>0.0</u>	N = 69
e. Inmate writes to Commissioner.	e. <u>70.6</u>	<u>27.9</u>	<u>1.5</u>	N = 68
f. Inmate files formal complaint with the Liaison Committee.	f. <u>71.0</u>	<u>29.0</u>	<u>0.0</u>	N = 69
g. Inmate files formal complaint with the Inmate Grievance Resolution Committee.	g. <u>85.9</u>	<u>14.1</u>	<u>0.0</u>	N = 71

17. In general, are complaints by inmates handled fairly? (check one only)

16.9 always  
55.8 most of the time  
11.7 some of the time  
1.3 seldom  
1.3 never  
13.0 don't know

N = 77

18. In general, are inmate complaints handled quickly? (check one only)

11.7 always  
48.1 most of the time  
15.6 some of the time  
7.8 seldom  
0.0 never  
16.9 don't know

N = 77

19. In general, is there a written reply to inmate complaints?  
(check one only)

18.2 always  
32.5 most of the time  
16.9 some of the time  
5.2 seldom  
0.0 never  
27.3 don't know

N = 77

20. How does the way inmates' complaints are handled here compare with other prisons where you have worked or heard about? (check one only)

5.2 this one is worse  
18.2 about the same  
22.1 this one is better  
54.5 don't know

N = 77

21. Generally speaking, do other correctional employees here care about the complaints the inmates have? (check one only)

25.0 they don't care  
0.0 they give them a hard time  
9.7 they encourage inmates to make complaints  
45.8 don't know  
19.4 they care

N = 72

\* \* \* \* \*

Now we would like to ask some questions about the new Inmate Grievance Procedure.

22. Are you familiar with the Inmate Grievance Procedure here? (check one only)

16.7 very familiar with it  
57.7 somewhat familiar with it  
23.1 not very familiar with it  
2.6 do not know about it

N = 78

23. Has the Inmate Grievance Procedure been written out and given to or posted for the staff? (check one only)

67.9 Yes  
9.0 No  
23.1 don't know

N = 78



24. How adequate has your orientation been to the Inmate Grievance Procedure? (check one only)

9.0 excellent orientation  
51.3 adequate orientation  
28.2 less than adequate orientation  
11.5 no orientation at all

N = 78

25. What opportunity has been given staff to discuss and review the grievance procedure since its implementation? (check one only)

39.2 none  
35.1 very little  
21.6 some  
4.1 much

N = 74

26. Has the new Inmate Grievance Procedure helped to clarify or improve existing policy? (check one only)

19.7 yes  
56.6 no  
23.7 don't know

N = 76

27. Do you think a formal means of registering complaints, such as the Inmate Grievance Procedure, was necessary here? (check one only)

13.0 definitely yes  
20.8 yes, somewhat  
22.1 yes, a little  
39.0 no, not at all  
5.2 don't know

N = 77

28. In general, how would you rate the reaction of most inmates to the new Inmate Grievance Procedure? (check one only)

25.6 enthusiastic  
37.2 neutral  
20.5 negative  
16.7 don't know

N = 78

29. The new Inmate Grievance Procedure is doing more harm than good.  
(circle one)
- |          |      |           |      |          |        |
|----------|------|-----------|------|----------|--------|
| 1.3      | 14.3 | 31.2      | 32.5 | 20.8     |        |
| Strongly |      |           |      | Strongly | N = 77 |
| Disagree | /    | Disagree  | /    | Agree    | /      |
|          |      | Undecided | /    | Agree    |        |
30. The new Inmate Grievance Procedure is solving some of this prison's biggest problems. (circle one)
- |          |      |           |      |          |        |
|----------|------|-----------|------|----------|--------|
| 20.8     | 46.8 | 22.1      | 10.4 | 0.0      |        |
| Strongly |      |           |      | Strongly | N = 77 |
| Disagree | /    | Disagree  | /    | Agree    | /      |
|          |      | Undecided | /    | Agree    |        |
31. The new Inmate Grievance Procedure is helping the inmates and hurting the staff. (circle one)
- |          |      |           |      |          |        |
|----------|------|-----------|------|----------|--------|
| 1.3      | 13.0 | 20.8      | 32.5 | 32.5     |        |
| Strongly |      |           |      | Strongly | N = 77 |
| Disagree | /    | Disagree  | /    | Agree    | /      |
|          |      | Undecided | /    | Agree    |        |
32. The new Inmate Grievance Procedure is not doing any serious harm. (circle one)
- |          |      |           |      |          |        |
|----------|------|-----------|------|----------|--------|
| 20.8     | 33.8 | 22.1      | 22.1 | 1.3      |        |
| Strongly |      |           |      | Strongly | N = 77 |
| Disagree | /    | Disagree  | /    | Agree    | /      |
|          |      | Undecided | /    | Agree    |        |
33. The new Inmate Grievance Procedure is effective. (circle one)
- |          |      |           |      |          |        |
|----------|------|-----------|------|----------|--------|
| 11.8     | 31.6 | 38.2      | 18.4 | 0.0      |        |
| Strongly |      |           |      | Strongly | N = 76 |
| Disagree | /    | Disagree  | /    | Agree    | /      |
|          |      | Undecided | /    | Agree    |        |
34. The new Inmate Grievance Procedure shows common sense. (circle one)
- |          |      |           |      |          |        |
|----------|------|-----------|------|----------|--------|
| 16.9     | 29.9 | 26.0      | 27.3 | 0.0      |        |
| Strongly |      |           |      | Strongly | N = 77 |
| Disagree | /    | Disagree  | /    | Agree    | /      |
|          |      | Undecided | /    | Agree    |        |
35. The new Inmate Grievance Procedure handles inmate grievances fairly. (circle one)
- |          |     |           |      |          |        |
|----------|-----|-----------|------|----------|--------|
| 6.5      | 9.1 | 40.3      | 41.6 | 2.6      |        |
| Strongly |     |           |      | Strongly | N = 77 |
| Disagree | /   | Disagree  | /    | Agree    | /      |
|          |     | Undecided | /    | Agree    |        |
36. The new Inmate Grievance Procedure is providing written replies to inmates about their grievances. (circle one)
- |          |     |           |      |          |        |
|----------|-----|-----------|------|----------|--------|
| 0.0      | 0.0 | 39.5      | 56.6 | 3.9      |        |
| Strongly |     |           |      | Strongly | N = 76 |
| Disagree | /   | Disagree  | /    | Agree    | /      |
|          |     | Undecided | /    | Agree    |        |
37. The new Inmate Grievance Procedure handles inmate grievances quickly. (circle one)
- |          |      |           |      |          |        |
|----------|------|-----------|------|----------|--------|
| 1.3      | 13.2 | 44.7      | 35.5 | 5.3      |        |
| Strongly |      |           |      | Strongly | N = 76 |
| Disagree | /    | Disagree  | /    | Agree    | /      |
|          |      | Undecided | /    | Agree    |        |

38. Do you think the new Inmate Grievance Procedure is improving the relationships between inmates here? (check one only)

3.9 yes, a lot  
19.7 yes, some  
22.4 a little  
52.6 no, not at all  
1.3 don't know

N = 76

39. Do you think the new Inmate Grievance Procedure is improving the relationship between inmates and staff? (check one only)

0.0 yes, a lot  
10.4 yes, some  
13.0 a little  
76.6 no, not at all  
0.0 don't know

N = 77

40. When it comes to filing a grievance, do you think most of the inmates:

88.3 file whenever they feel like it  
5.2 file only if really necessary  
3.9 do not file if they can help it  
1.3 do not file at all  
1.3 don't know

N = 77

41. Under the new Inmate Grievance Procedure, how do you think most officers feel toward inmates filing grievances? (check one only)

3.9 accept it totally  
28.6 accept it with some doubt  
31.2 are suspicious of it  
36.4 not want anything to do with it  
0.0 don't know

N = 77

42. Under the new Inmate Grievance Procedure here, how do you think the inmates feel about filing grievances? (check one only)

79.2 very comfortable, willing to file  
13.0 hesitant, reluctant to file  
5.2 very uncomfortable, very unwilling to file  
2.6 don't know

N = 77

43. Do you think the new grievance system changed the inmate complaints about: (check one for each question)

a. major institutional rules and procedures  
75.3 yes, complaints have increased  
3.9 yes, complaints have decreased  
11.7 no change  
9.1 don't know

N = 77

43. continued

b. correctional employees

76.0 yes, complaints have increased  
1.3 yes, complaints have decreased  
13.3 no change  
9.3 don't know

N = 75

c. trivial matters that are only a waste of time

82.7 yes, complaints have increased  
2.7 yes, complaints have decreased  
1.0 no change  
6.7 don't know

N = 75

44. Using the Inmate Grievance Procedure, do you think most inmates would feel comfortable filing: (check one only)

77.3 most type of grievances  
14.7 some types of grievances  
6.7 few types of grievances  
0.0 no grievances  
1.3 don't know

N = 75

45. As far as you can tell, has the new Inmate Grievance Procedure increased or decreased the number of written rules here?

54.7 increased  
34.7 decreased  
4.0 no change  
6.7 don't know

N = 75

46. As far as you can tell, since the new Inmate Grievance Procedure began, do you think that most inmate complaints have been worked out? (check one only)

5.5 very well  
53.4 pretty well  
32.9 not very well  
8.2 very poorly  
0.0 don't know

N = 73

47. How much do you think most correctional employees care about the successful working out of inmate grievances? (check one only)

14.9 very much  
25.7 somewhat  
33.8 a little  
25.7 not at all  
0.0 don't know

N = 74



49. - Q. How many times have you been involved with the Inmate Grievance Procedure in each of the following ways?

A. Table: Staff respondents data concerning the number of times they were involved with I.G.R.C. BY forms of involvement.  
N = 69.

<u>Forms of Involved</u>	<u>Number of Times Involved</u>		
	<u>None</u>	<u>One or Two Times</u>	<u>Three or More times</u>
a. Grievnace filed against me or something I did.	<u>68.1</u>	<u>20.3</u>	<u>11.6</u>
b. Called as Witness by I.G.R.C.	<u>97.1</u>	<u>2.9</u>	<u>0.0</u>
c. Provided information for committee.	<u>76.8</u>	<u>11.5</u>	<u>11.6</u>
d. Served as member of I.G.R.C.	<u>97.1</u>	<u>2.9</u>	<u>0.0</u>
e. Served as Chairman of I.G.R.C.	<u>100.0</u>	<u>0.0</u>	<u>0.0</u>
f. Took duty for another officer involved with I.G.R.C.	<u>94.2</u>	<u>1.4</u>	<u>4.3</u>
g. Other form of involvement.	<u>97.1</u>	<u>0.0</u>	<u>2.9</u>

		<u>Strongly Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly Agree</u>	
53	Hard prison life will keep men from committing crime.	<u>5.3</u>	<u>27.6</u>	<u>7.9</u>	<u>27.6</u>	<u>31.6</u>	N=
54	A criminal should be punished first, then we can worry about reform.	<u>5.4</u>	<u>17.6</u>	<u>10.8</u>	<u>36.5</u>	<u>29.7</u>	N=
55	Most of the problems that inmates have are caused by inmates themselves.	<u>1.3</u>	<u>1.3</u>	<u>9.1</u>	<u>40.3</u>	<u>48.1</u>	N=
56	Militant inmates here make my job more difficult.	<u>1.3</u>	<u>1.3</u>	<u>1.3</u>	<u>20.8</u>	<u>75.3</u>	N=
57	If given the chance, most inmates are capable of taking care of themselves on the outside.	<u>13.0</u>	<u>54.5</u>	<u>14.3</u>	<u>16.9</u>	<u>1.3</u>	N=7
58	I have developed a friendship with a few inmates.	<u>10.4</u>	<u>19.5</u>	<u>5.2</u>	<u>55.8</u>	<u>9.1</u>	N=7
59	Most inmates really can't be rehabilitated.	<u>2.6</u>	<u>15.8</u>	<u>9.2</u>	<u>34.2</u>	<u>38.2</u>	N=7
60	Most inmates respect me as a correctional employee.	<u>3.9</u>	<u>21.1</u>	<u>13.2</u>	<u>48.7</u>	<u>13.2</u>	N=76
61	A correctional employee must always enforce the rules to the letter, even if it angers inmate leaders.	<u>5.2</u>	<u>44.2</u>	<u>6.5</u>	<u>28.6</u>	<u>15.6</u>	N=77
62	Inmates here have too many legal rights.	<u>1.3</u>	<u>6.5</u>	<u>11.7</u>	<u>35.1</u>	<u>45.5</u>	N=77
63	Most criminals do not benefit from punishment.	<u>19.7</u>	<u>32.9</u>	<u>14.5</u>	<u>22.4</u>	<u>10.5</u>	N=76
64	A criminal will go straight only when he finds that prison life is hard.	<u>7.9</u>	<u>31.6</u>	<u>10.5</u>	<u>25.0</u>	<u>25.0</u>	N=76
65	If inmates come to me for help, I would try to help them.	<u>0.0</u>	<u>0.0</u>	<u>5.2</u>	<u>64.9</u>	<u>29.9</u>	N=77
66	Inmates are easier to control by privately talking to the inmate leaders than by enforcing all the rules.	<u>15.6</u>	<u>27.3</u>	<u>18.2</u>	<u>29.9</u>	<u>9.1</u>	N=77

	<u>Strongly Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly Agree</u>	
67 New changes and reforms are weakening the authority of the correctional officers.	<u>0.0</u>	<u>0.0</u>	<u>2.6</u>	<u>22.1</u>	<u>75.3</u>	N=77
68 Inmates are never to be trusted.	<u>6.5</u>	<u>42.9</u>	<u>10.4</u>	<u>26.0</u>	<u>14.3</u>	N=77
69 Harsh treatment only makes the inmate more bitter.	<u>9.2</u>	<u>28.9</u>	<u>15.8</u>	<u>39.5</u>	<u>6.6</u>	N=76



Finally, we would like some general information about you that would be useful in our analysis of correctional staff data.

70. What is your age? AVERAGE AGE 34  $N=76$

71. Number of years of formal education:  $N=77$

AVERAGE # OF YRS. OF ED. = 13.6 YRS

72. Race or ethnicity (check one)  $N=171$

2.8 Black  
93.0 White  
0.0 Spanish surname

2.8 American Indian  
1.4 Other

73. What is your annual salary? (check one)

0.0 below 9,000  
0.0 9,001 - 10,000  
0.0 10,001 - 11,000  
7.8 11,001 - 12,000  
15.6 12,001 - 13,000  
33.8 13,001 - 14,000

3 14,001 - 15,000  
2.6 15,001 - 16,000  
3.9 above 16,000

AVERAGE SALARY =  
13,789

Thank You For Your Cooperation

FIGURES ARE EXPRESSED  
IN PERCENTAGES EXCEPT  
WHERE OTHERWISE SPECIFIED

-481-

INMATE SURVEY

February, 1977  
ATTICA FACILITY

N = Number of Respondents  
per Question

Community Conflict Resolution Program  
University of Missouri-St. Louis  
St. Louis, Missouri 63121

James Laue  
John Hepburn  
Martha Becker

\* \* \* \* \*

Here are some questions about the way complaints by inmates are handled here. Please answer to the best of your knowledge.

We conducted a survey here in February 1976 asking inmates questions quite similar to these. Please indicate whether you completed the first questionnaire.

8.2 Yes      88.2 No      3.5 Don't know      N = 85

1. If you have a complaint about something here, who would you go to first? (check one only)

36.1 another inmate who might be able to help me  
5.2 an officer I can talk to  
19.6 a counselor or teacher  
4.1 the Liaison Committee  
11.3 the Inmate Grievance Resolution Committee  
6.2 the Superintendent  
17.5 Other

N = 97

2. Here is a list of some possible complaints which you might have. Please indicate how much of a problem each of these is for you by checking each item.

	Very Much	Somewhat	No Problem	
a. food served . . . . .	a. <u>60.0</u>	<u>28.9</u>	<u>11.1</u>	N = 90
b. clothing issued . . . . .	b. <u>68.7</u>	<u>24.1</u>	<u>7.2</u>	N = 83
c. recreational opportunities. . . . .	c. <u>50.7</u>	<u>38.4</u>	<u>11.0</u>	N = 73
d. medical services. . . . .	d. <u>72.1</u>	<u>19.8</u>	<u>8.1</u>	N = 86
e. visitation rules. . . . .	e. <u>69.6</u>	<u>16.5</u>	<u>13.9</u>	N = 79
f. legal services. . . . .	f. <u>47.3</u>	<u>36.5</u>	<u>16.2</u>	N = 74
g. personal privacy. . . . .	g. <u>72.8</u>	<u>19.8</u>	<u>7.4</u>	N = 81
h. treatment by correctional officers. . . . .	h. <u>81.1</u>	<u>8.9</u>	<u>10.0</u>	N = 90
i. treatment by administrators . . . . .	i. <u>67.9</u>	<u>23.8</u>	<u>8.3</u>	N = 84
j. job training and educational opportunities . . . . .	j. <u>58.1</u>	<u>23.0</u>	<u>18.9</u>	N = 74
k. other ( _____ )	k. <u>80.8</u>	<u>3.8</u>	<u>15.4</u>	N = 26

specify

3. How does the way complaints are handled at this institution compare with other prisons you have been in or heard about? (check one only)

56.6 this one is worse  
17.2 about the same  
0.0 this one is better  
26.3 don't know

N = 99

4. To the best of your knowledge, how often do these things happen here?  
(Check one for each question).

a. fights between inmates

12.5 never  
34.4 about once a month  
24.0 about once a week  
12.5 about 2 or 3 times a week  
1.0 about 4 to 6 times a week  
6.3 at least once a day  
7.3 more than once a day  
2.1 don't know

*N = 96*

b. fights between inmates and staff

10.9 never  
31.5 about once a month  
9.8 about once a week  
9.8 about 2 or 3 times a week  
10.9 about 4 to 6 times a week  
6.5 at least once a day  
14.1 more than once a day  
6.5 don't know

*N = 92*

c. something in the prison damaged by an inmate

40.7 never  
28.6 about once a month  
8.8 about once a week  
5.5 about 2 or 3 times a week  
3.3 about 4 to 6 times a week  
5.5 at least once a day  
4.4 more than once a day  
3.3 don't know

*N = 91*

d. staff abuse of an inmate

2.0 never  
6.1 about once a month  
6.1 about once a week  
11.1 about 2 or 3 times a week  
6.1 about 4 to 6 times a week  
13.1 at least once a day  
54.5 more than once a day  
1.0 don't know

*N = 99*

e. something stolen from an inmate

16.0 never  
39.4 about once a month  
14.9 about once a week  
8.5 about 2 or 3 times a week  
4.3 about 4 to 6 times a week  
4.3 at least once a day  
9.6 more than once a day  
3.2 don't know

*N = 94*

5. Within the last two months, how often have you had a piece of clothing or other personal possession torn, broken or ruined? (Check one only)

41.2 never  
21.6 once only  
16.7 2 times  
4.9 3 times  
1.0 4 times  
4.9 5 times  
2.9 6 to 10 times  
6.9 11 or more times  
0.0 don't know

N = 102

6. Within the last two months, how often have you had something you owned stolen from you? (Check one only)

68.0 never  
15.0 once only  
6.0 2 times  
6.0 3 times  
1.0 4 times  
2.0 5 times  
0.0 6 to 10 times  
2.0 11 or more times  
0.0 don't know

N = 100

7. Within the last two months, how often have you been in a fight with another inmate or had another inmate attack you? (Check one only)

84.2 never  
11.9 once only  
2.0 2 times  
1.0 3 times  
0.0 4 times  
0.0 5 times  
0.0 6 to 10 times  
1.0 11 or more times  
0.0 don't know

N = 101

8. Within the last two months, how often have you been in a fight with a correctional officer: (Check one only).

74.8 never  
7.8 once only  
2.9 2 times  
2.9 3 times  
0.0 4 times  
1.9 5 times  
1.0 6 to 10 times  
8.7 11 or more times  
0.0 don't know

N = 103

9. How would you describe the feeling in this prison now? Would you say it is: (Check one only)

78.6 tense, uptight, everyone nervous most of the time  
17.5 somewhat tense, possibility of fights often  
3.9 relaxed, only a few problems  
0.0 very relaxed, not much nervousness  
0.0 don't know

N = 103

10. Does the Superintendent care about the complaints the inmates have? (Check one only)

52.4 he doesn't care  
17.5 he gives us a hard time about it  
8.7 he encourages us to make complaints  
21.4 don't know

N = 103

11. In general, are complaints by inmates handled quickly? (check one only)

1.0 always  
1.0 most of the time  
12.7 some of the time  
34.3 seldom  
39.2 never  
11.8 don't know

N = 102

12. In general, are inmate complaints handled fairly? (check one only)

0.0 always  
1.0 most of the time  
11.8 some of the time  
39.2 seldom  
37.3 never  
10.8 don't know

N = 102

13. In general, is there a written reply to inmate complaints? (check one only)

4.9 always  
9.7 most of the time  
26.2 some of the time  
32.0 seldom  
11.7 never  
15.5 don't know

N = 103

14. Generally speaking, does the correctional staff here care about the complaints the inmates have? (Check one only)

62.1 they don't care  
24.3 they give us a hard time about it  
1.9 they encourage us to make complaints  
10.7 don't know  
1.0 they care

N = 103

15. If a group of inmates strongly feels that the staff is treating them unfairly, what kinds of actions do you think they have a right to take in order to change the situation? (Check any that you would do)

YES NO Yes= Yes, Checked / NO= Not Checked

- 17.1 82.9 a. Hold a meeting to talk about what's happening  
15.2 84.8 b. Bring it to the attention of the Inmate Liaison Committee  
9.5 90.5 c. Go talk to the Superintendent  
9.5 90.5 d. Write a letter to the Superintendent  
31.4 68.6 e. Write a letter to the Commissioner in Albany  
12.4 87.6 f. File a grievance with the clerk of the Inmate Grievance Resolution Committee  
17.1 82.9 g. File a law suit  
14.3 85.7 h. Do something to call attention to your cause even though it may be against the rules  
31.4 68.6 i. Do whatever it takes to get the job done  
1.0 99.0 j. Send letter to newspaper

N = 105

\* \* \* \* \*

Now we would like to ask some questions about the new Inmate Grievance Procedure.

16. In general how familiar are you with the Inmate Grievance Procedure here? (Check one only)

21.0 very familiar with it  
24.8 somewhat familiar with it  
35.2 not very familiar with it  
19.0 do not know about it

N = 105

17. Do you think a formal means of registering complaints, such as the Inmate Grievance Procedure, was necessary here? (Check one only)

54.8 definitely yes  
19.2 yes, somewhat  
3.8 yes, a little  
7.7 no, not at all  
14.4 don't know

N = 104

18. Has the new Inmate Grievance Procedure helped to clarify or improve existing policy? (Check one only)

19.2 Yes  
51.9 No  
28.8 Don't know

N = 104

19. Based on what you know about the grievance procedure, how useful do you think it is? (Check one only)

8.1 generally a useful system to resolve grievances  
32.3 a fairly good system that needs some improvement  
41.4 a poor system that needs lots of improvement  
17.2 a bad system that should be dropped or replaced by something else  
1.0 don't know

N = 99

20. In general, how would you rate the reaction of most inmates to the new Inmate Grievance Procedure? (check one only)

5.9 enthusiastic  
25.5 neutral  
40.2 negative  
28.4 don't know

N = 102

21. Since the new Inmate Grievance Procedure began, do you think that most inmate complaints have been worked out: (Check one only)

1.0 Very well  
10.1 Pretty well  
55.6 Not very well  
32.3 Very poorly  
1.0 Don't know

N = 99

22. How could the new Inmate Grievance Procedure be improved? (Check all that apply) YES = Yes, Checked  
 NO = Not Checked

YES	NO	
<u>18.1</u>	<u>81.9</u>	a. Greater speed
<u>65.7</u>	<u>34.3</u>	b. More "outside" control
<u>15.2</u>	<u>84.8</u>	c. Include disciplinary action, classification, parole, etc.
<u>3.8</u>	<u>96.2</u>	d. Have different inmate clerk that we have now
<u>5.7</u>	<u>94.3</u>	e. Have different committee than we have now
<u>10.5</u>	<u>89.5</u>	f. Have more written replies
<u>20.0</u>	<u>80.0</u>	g. Have better explanation of decisions
<u>1.9</u>	<u>98.1</u>	h. OK as it is
<u>7.6</u>	<u>92.4</u>	i. Other ( )

N = 105

specify

23. The new Inmate Grievance Procedure is doing more harm than good.  
(circle one)
- |          |      |           |      |          |       |
|----------|------|-----------|------|----------|-------|
| 13.0     |      |           |      | 9.0      |       |
| Strongly | 29.0 | 39.0      | 10.0 | Strongly | N=100 |
| Disagree | /    | Disagree  | /    | Agree    |       |
|          |      | Undecided | /    | Agree    |       |
24. The new Inmate Grievance Procedure is solving some of this prison's biggest problems. (circle one)
- |          |      |           |     |          |       |
|----------|------|-----------|-----|----------|-------|
| 20.8     |      |           |     | 3.0      |       |
| Strongly | 46.5 | 20.8      | 8.9 | Strongly | N=101 |
| Disagree | /    | Disagree  | /   | Agree    |       |
|          |      | Undecided | /   | Agree    |       |
25. The new Inmate Grievance Procedure is not doing any serious harm.  
(circle one)
- |          |      |           |      |          |       |
|----------|------|-----------|------|----------|-------|
| 12.9     |      |           |      | 10.9     |       |
| Strongly | 17.8 | 22.8      | 35.6 | Strongly | N=101 |
| Disagree | /    | Disagree  | /    | Agree    |       |
|          |      | Undecided | /    | Agree    |       |
26. The new Inmate Grievance Procedure is effective.  
(circle one)
- |          |      |           |     |          |      |
|----------|------|-----------|-----|----------|------|
| 15.6     |      |           |     | 0.0      |      |
| Strongly | 40.6 | 35.4      | 8.3 | Strongly | N=96 |
| Disagree | /    | Disagree  | /   | Agree    |      |
|          |      | Undecided | /   | Agree    |      |
27. The new Inmate Grievance Procedure shows common sense.  
(circle one)
- |          |      |           |      |          |       |
|----------|------|-----------|------|----------|-------|
| 12.0     |      |           |      | 5.0      |       |
| Strongly | 24.0 | 28.0      | 31.0 | Strongly | N=100 |
| Disagree | /    | Disagree  | /    | Agree    |       |
|          |      | Undecided | /    | Agree    |       |
28. The new Inmate Grievance Procedure handles inmate grievances fairly.  
(circle one)
- |          |      |           |      |          |      |
|----------|------|-----------|------|----------|------|
| 16.3     |      |           |      | 2.0      |      |
| Strongly | 26.5 | 34.7      | 20.4 | Strongly | N=98 |
| Disagree | /    | Disagree  | /    | Agree    |      |
|          |      | Undecided | /    | Agree    |      |
29. The new Inmate Grievance Procedure is providing written replies to inmates about their grievances.  
(circle one)
- |          |      |           |      |          |      |
|----------|------|-----------|------|----------|------|
| 8.2      |      |           |      | 4.1      |      |
| Strongly | 29.9 | 27.8      | 29.9 | Strongly | N=97 |
| Disagree | /    | Disagree  | /    | Agree    |      |
|          |      | Undecided | /    | Agree    |      |
30. The new Inmate Grievance Procedure handles inmate grievances quickly.  
(circle one)
- |          |      |           |     |          |      |
|----------|------|-----------|-----|----------|------|
| 14.3     |      |           |     | 2.0      |      |
| Strongly | 48.0 | 29.6      | 6.1 | Strongly | N=98 |
| Disagree | /    | Disagree  | /   | Agree    |      |
|          |      | Undecided | /   | Agree    |      |



31. How much do you think staff cares about the successful working out of the inmate grievances? (check one only)

1.9 very much  
6.8 somewhat  
27.2 a little  
63.1 not at all  
1.0 don't know

N=103

32. Do you think the new Inmate Grievance Procedure is improving relationships between inmates here? (check one only)

4.8 yes, a lot  
27.9 yes, some  
24.0 a little  
41.3 no, not at all  
1.9 don't know

N=104

33. Do you think the new Inmate Grievance Procedure is improving the relationships between inmates and staff? (check one only)

1.0 yes, a lot  
4.8 yes, some  
24.0 a little  
68.3 no, not at all  
1.9 don't know

N=104

34. Since the new Inmate Grievance Procedure began here, do you feel comfortable filing complaints or grievances? (check one only)

7.8 most of the time  
17.6 some of the time  
19.6 seldom  
34.3 never  
20.6 don't know

N=102

35. Under the new Inmate Grievance Procedure, how do you think staff feels toward inmates filing grievances? (check one only)

3.9 accept it totally  
4.9 accept it with some doubt  
44.1 be suspicious of it  
44.1 not want anything to do with it  
2.9 don't know

N=102

36. When it comes to filing a grievance, do you think most of the inmates: (check one only)

5.9 file whenever they feel like it  
42.6 file only if really necessary  
20.8 do not file if they can help it  
26.7 do not file at all  
4.0 don't know

N=101

37. Have you used the new Inmate Grievance Procedure? (check one only)

40.0 yes  
60.0 no

N = 105

IF YES, continue with question #38.  
IF NO, skip to question #45 on next page.

38. How often have you filed a grievance? (check one only)

0.0 never  
50.0 one time  
11.9 2 times  
16.7 3 times  
7.1 4 times  
2.3 5 times  
0.0 6 times  
11.9 7 times or more

N = 42

39. How often has your grievance gone before the Inmate Grievance Resolution Committee? (check one only)

34.1 never  
43.9 one time  
14.6 2 times  
0.0 3 times  
0.0 4 times  
4.9 5 times  
0.0 6 times  
2.4 7 times or more

N = 41

40. Are you generally satisfied with the way the Grievance Clerk has handled your complaint(s)?

26.8 yes  
73.2 no

N = 41

41. Were you generally satisfied with the way the Inmate Grievance Resolution Committee handled your complaint(s)?

15.4 yes  
84.6 no

N = 39

42. Of all the grievances you have filed, how many have been settled in your favor? (place number(s) in spaces below).

102 Total number of grievances you have filed.

N = 31

N = 83  
cases

30.1 number settled entirely in my favor  
15.7 number settled in my favor, but with some compromise  
54.2 number settled not in my favor

43. Of all your grievances that were settled, indicate the number you think have been resolved in the following way(s):

78 Total number of grievances settled.

N = 32

N = 71  
CASES

14.1 entirely satisfactory  
14.1 somewhat satisfactory  
71.8 not at all satisfactory

44. Have you received written notice of the results of each hearing or review? (check one only) N = 39

28.2 yes  
66.7 no  
5.1 don't know

Since you have used the Inmate Grievance Procedure, skip next question only and continue with question #46.

\* \* \* \* \*

45. Why don't you use the Inmate Grievance Procedure? (check all that apply) N = 63 YES = Yes, checked  
NO = Not checked

YES NO  
17.5 82.5 a. prefer to work it out another way  
27.0 73.0 b. fear of staff reaction  
12.7 87.3 c. don't want to make waves  
15.9 84.1 d. the grievance procedure doesn't work  
28.6 71.4 e. the grievance procedure is a hoax. I don't believe it is really going to be for our complaints  
11.1 88.8 f. I have no complaints  
1.6 98.4 g. other

46. How often have you talked to someone with the grievance procedure about a grievance you have? (check one only)

38.5 never  
14.3 one time  
9.9 2 times  
9.9 3 times  
6.6 4 times  
4.4 5 times  
0.0 6 times  
16.5 7 times or more

N = 91

47. If an inmate filed a grievance today, do you think it would eventually be worked out or settled fairly? (check one only)

4.2 yes, always  
3.1 most of the time  
52.1 some of the time  
20.8 never  
19.8 don't know

N = 96

48. Please indicate whether you would feel comfortable or uncomfortable filing EACH of the following types of grievances with the new Inmate Grievance Procedure. (check one for each item)

<u>Comfortable</u>	<u>Uncomfortable</u>	
<u>42.9</u>	<u>57.1</u>	a. Against policy or procedure (like visitation rules). N= 84
<u>23.5</u>	<u>76.5</u>	b. Against staff (like an officer talking down to you). N= 85
<u>42.2</u>	<u>57.8</u>	c. Against equipment (like inadequate medical supplies or equipment). N= 83
<u>39.5</u>	<u>60.5</u>	d. Against other inmates (like using the canteen for their own profit). N= 81
<u>34.1</u>	<u>65.9</u>	e. Against the way policy or procedures are carried out (like not receiving a visitor arrival call). N= 82,

\* \* \* \* \*

Now we want to get some idea of how you personally feel about things. We are not interested in how you think others feel; we want your personal opinions. For each statement we read, please indicate whether you agree or disagree with that statement.

Strongly Disagree / Disagree / Undecided / Agree / Strongly Agree

As you can see on the scale above from left to right,

- 1 means strong disagreement with the statement
- 2 means disagree, but not so strongly
- 3 means you are undecided
- 4 means you agree, but not strongly
- 5 means you strongly agree

There are no right or wrong answers here, so please tell us what you feel by putting the number in the space for each item.

	<u>Strongly Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly Agree</u>	
49. None of us have any influence on how we are treated here.	<u>15.2</u>	<u>6.1</u>	<u>4.5</u>	<u>22.7</u>	<u>51.5</u>	N=66
50. The kind of guys I hang around with here are really a lot like most of the people I knew on the street.	<u>25.8</u>	<u>25.8</u>	<u>13.6</u>	<u>21.2</u>	<u>13.6</u>	N=66
51. The government has no right to put poor people in prison when all they have done is try to survive in an unjust system.	<u>4.5</u>	<u>14.9</u>	<u>7.5</u>	<u>17.9</u>	<u>55.2</u>	N=67
52. There is really not much I can do about what happens to me here.	<u>13.2</u>	<u>13.2</u>	<u>2.9</u>	<u>23.5</u>	<u>47.1</u>	N=68
53. Who you know is more important that what you know.	<u>14.5</u>	<u>8.7</u>	<u>2.9</u>	<u>18.8</u>	<u>55.1</u>	N=69
54. I feel more and more helpless when I see what's going on around here.	<u>13.0</u>	<u>1.4</u>	<u>8.7</u>	<u>31.9</u>	<u>44.9</u>	N=69
55. When you do the kind of work I do on the street you just have to expect to pull a few years in prison once in a while.	<u>40.3</u>	<u>29.9</u>	<u>10.4</u>	<u>10.4</u>	<u>9.0</u>	N=67
56. You have to take care of yourself because nobody else is going to take care of you.	<u>4.3</u>	<u>1.4</u>	<u>0.0</u>	<u>21.7</u>	<u>72.5</u>	N=69
57. If you know the right people, you can get just about anything you want around here.	<u>9.0</u>	<u>10.4</u>	<u>10.4</u>	<u>16.4</u>	<u>53.7</u>	N=67
58. Inmates can improve their own conditions here by cooperating with the staff.	<u>53.6</u>	<u>20.3</u>	<u>7.2</u>	<u>11.6</u>	<u>7.2</u>	N=69
59. All officers belong in one class and should be treated about the same way.	<u>17.6</u>	<u>25.0</u>	<u>16.2</u>	<u>19.1</u>	<u>22.1</u>	N=68
60. Americans prisons are just like concentration camps for the poor people, black people and other oppressed minorities.	<u>4.4</u>	<u>7.4</u>	<u>8.8</u>	<u>14.7</u>	<u>64.7</u>	N=68

	<u>Strongly Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly Agree</u>	
61. If you stop and think about it, most of the rules they have here make pretty good sense.	<u>36.2</u>	<u>36.2</u>	<u>7.2</u>	<u>13.0</u>	<u>7.2</u>	N=69
62. We are totally powerless to control what happens to us in this institution.	<u>8.7</u>	<u>17.4</u>	<u>5.8</u>	<u>27.5</u>	<u>40.6</u>	N=69
63. I feel more like a political prisoner than like a criminal.	<u>8.7</u>	<u>4.3</u>	<u>5.8</u>	<u>31.9</u>	<u>49.3</u>	N=69
64. You really can't expect people to think much of you if you are willing to back away from trouble.	<u>13.2</u>	<u>26.5</u>	<u>17.6</u>	<u>20.6</u>	<u>22.1</u>	N=68
65. The staff here would rather do things for a few inmates who will inform on others or who do just what they are told than do anything about the problems the rest of us have.	<u>1.5</u>	<u>0.0</u>	<u>1.5</u>	<u>28.4</u>	<u>68.7</u>	N=67
66. As inmates, we all share the same problems and have the same interests.	<u>23.2</u>	<u>31.9</u>	<u>14.5</u>	<u>23.2</u>	<u>7.2</u>	N=69
67. The biggest criminals can fix anything and rarely go to prison.	<u>1.4</u>	<u>4.3</u>	<u>4.3</u>	<u>27.5</u>	<u>62.3</u>	N=69
68. You have to be hard to make it here.	<u>4.4</u>	<u>14.7</u>	<u>4.4</u>	<u>35.3</u>	<u>41.2</u>	N=68
69. You have to do what you can to help other inmates even when it might get you in trouble with the officers.	<u>10.4</u>	<u>6.0</u>	<u>9.0</u>	<u>40.3</u>	<u>34.3</u>	N=67
70. Since everyone thinks I'm a criminal, I might as well go ahead and be one when I leave here.	<u>67.6</u>	<u>19.1</u>	<u>2.9</u>	<u>1.5</u>	<u>8.8</u>	N=68
71. The solution to the problem of crime is to tear down the prisons and rebuild the whole society that forces people into crime.	<u>11.8</u>	<u>17.6</u>	<u>10.3</u>	<u>10.3</u>	<u>50.0</u>	N=68

		<u>Strongly</u> <u>Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly</u> <u>Agree</u>	
72.	I was right in doing what I did and I'd do it again even if I knew I'd get arrested again.	<u>44.4</u>	<u>23.8</u>	<u>15.9</u>	<u>9.5</u>	<u>6.3</u>	N= 63
73.	I don't have much in common with people who never break the law.	<u>27.3</u>	<u>43.9</u>	<u>10.6</u>	<u>6.1</u>	<u>12.1</u>	N= 66
74.	Most inmates are nothing more than victims of an unjust society.	<u>1.5</u>	<u>7.5</u>	<u>13.4</u>	<u>23.9</u>	<u>53.7</u>	N= 67
75.	It is O.K. to hang around with people who break the law as long as you stay clean yourself.	<u>13.4</u>	<u>29.9</u>	<u>17.9</u>	<u>26.9</u>	<u>11.9</u>	N= 67
76.	When inmates stick together it's a lot easier to do time.	<u>1.5</u>	<u>4.4</u>	<u>5.9</u>	<u>38.2</u>	<u>50.0</u>	N= 68
77.	When I get out of here I want to do what I can for others who may still be in prison.	<u>4.6</u>	<u>1.5</u>	<u>12.3</u>	<u>40.0</u>	<u>41.5</u>	N= 65
78.	Most of the people on the staff are willing to go out of their way to help an inmate.	<u>55.1</u>	<u>29.0</u>	<u>5.8</u>	<u>1.4</u>	<u>8.7</u>	N= 69
79.	I have developed a friendship with a few of the officers.	<u>39.4</u>	<u>24.2</u>	<u>9.1</u>	<u>16.7</u>	<u>10.6</u>	N= 66
80.	It would be pretty hard for anyone to ever make me mad enough that I'd fight them.	<u>19.7</u>	<u>28.8</u>	<u>15.2</u>	<u>24.2</u>	<u>12.1</u>	N= 66
81.	I depend on my friends here for advice and help in dealing with the staff.	<u>6.0</u>	<u>26.9</u>	<u>11.9</u>	<u>37.3</u>	<u>17.9</u>	N= 67
82.	The other inmates are right when they say "don't do anything more than you have to."	<u>9.1</u>	<u>24.2</u>	<u>16.7</u>	<u>31.8</u>	<u>18.2</u>	N= 66
83.	The real power in this place, as it affects my life here, is controlled by inmate leaders, not staff.	<u>46.2</u>	<u>26.2</u>	<u>3.1</u>	<u>13.8</u>	<u>10.8</u>	N= 65

	<u>Strongly Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly Agree</u>	
84. An officer is never to be trusted.	<u>10.4</u>	<u>16.4</u>	<u>7.5</u>	<u>17.9</u>	<u>47.8</u>	N = 67
85. We are allowed to make a lot of decisions for ourselves here.	<u>41.5</u>	<u>40.0</u>	<u>4.6</u>	<u>6.2</u>	<u>7.7</u>	N = 65
86. Even though I broke the law, I was right to do it by my moral standards.	<u>10.8</u>	<u>30.8</u>	<u>9.2</u>	<u>24.6</u>	<u>24.6</u>	N = 65
87. If you ever do have to fight, you're smart to do a good enough job on the other guy that he'll never come back for more.	<u>6.0</u>	<u>13.4</u>	<u>10.4</u>	<u>25.4</u>	<u>44.8</u>	N = 67
88. The reason I'm in here is because I did what everyone else does, only I got caught.	<u>13.8</u>	<u>35.4</u>	<u>10.8</u>	<u>9.2</u>	<u>30.8</u>	N = 65
89. This place is run in such a way that makes it easy for the staff but without showing much consideration for the needs and desires of inmates.	<u>1.5</u>	<u>0.0</u>	<u>4.5</u>	<u>22.4</u>	<u>71.6</u>	N = 67
90. I shouldn't be in prison for doing something that I had to do to survive.	<u>4.6</u>	<u>16.9</u>	<u>13.8</u>	<u>20.0</u>	<u>44.6</u>	N = 65



Finally, we would like some general information about you.

91. Race or Ethnicity (check one only)

67.0 Black  
17.0 White

9.6 Spanish speaking, Latin  
1.1 American Indian  
5.3 other

N = 94

92. Religion (check one only)

29.0 Protestant  
21.5 Roman Catholic  
1.1 Jewish

8.6 Black Muslim (Elijah Muhammad)  
8.6 Sunni Muslim  
9.7 other  
21.5 none

N = 93

93. Marital Status (check one only)

36.2 married now  
9.6 divorced since coming to prison  
5.3 divorced before coming to prison  
6.4 separated before coming to prison  
3.2 widowed before coming to prison  
1.1 widowed since coming to prison  
38.3 single - never married

N = 94

94. Education (check one only)

3.2 less than 7th grade  
10.6 7th - 9th grade  
31.9 10th - 11th grade  
20.2 high school graduate  
24.5 some college  
5.3 some vocational or trade school after high school  
4.3 completed college  
0.0 none

N = 94

95. How old are you? (check one only)

14.9 23 years old or younger  
22.3 24-26 years old  
22.3 27-29 years old  
18.1 30-34 years old  
22.3 35 years old or older

N = 94

96. How many times have you been in prison? (check one only)

46.9 once only (this time)  
30.2 twice (2 times)  
22.9 three or more times

N = 96

97. What is the total number of years you have spent in prison?  
(check one only)

19.6 1 year or less  
31.5 2 to 3 years  
28.3 4-7 years  
18.5 8 or more years  
2.2 don't know

N = 92

98. How old were you when first arrested by the police?  
(check one only)

26.3 15 years of age or younger  
20.0 16-17 years of age  
14.7 18-21 years of age  
38.9 22 years of age or older

N = 95

99. How long have you been at this prison?  
(check one only)

25.0 less than 3 months  
24.0 3-5 months  
19.8 6-11 months  
17.7 12-23 months  
10.4 2-4 years  
2.1 5 or more years  
1.0 don't know

N = 96

100. How long before you will be released from prison?  
(check one only)

14.0 less than 6 months  
12.9 6-11 months  
14.0 12-23 months  
18.3 2-4 years  
22.6 5 or more years  
18.3 don't know

N = 93

101. How many years of months have you already served on this sentence?  
(check one only)

8.4 less than 6 months  
17.9 6-11 months  
24.2 12-23 months  
36.8 2-4 years  
11.6 5 or more years  
1.1 don't know

N = 95

Thank You For Your Cooperation

Figures expressed in percentages except where otherwise specified

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Auburn Facility

January, 1976

N = Number of Responses per question

STAFF SURVEY

Community Conflict Resolution Program  
University of Missouri-St. Louis  
St. Louis, Missouri 63121

James Laue  
John Hepburn  
Martha Becker

\* \* \* \* \*

The Community Conflict Resolution Program of St. Louis has been asked to monitor the new inmate grievance procedure in the correctional facilities in New York. As part of our task we are seeking information from inmates, correctional officers and the Superintendent and his staff. This questionnaire is an attempt to find out how you and other correctional officers feel about a number of things. We will be asking correctional officers in most of the correctional facilities to answer these questions. You are not asked to identify yourself, so please do not put your name on this questionnaire. Your answers will be completely confidential.

First, we would like some general information about you.

1. What is your age?  $N=159$  - Average age = 37.8

2. Number of years of formal education: (circle the appropriate number)  $N=159$  - Average # of years of Education = 12.7

<u>Elementary</u>								<u>Secondary</u>				<u>College</u>			
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16

3. Race or ethnicity (check one)  $N=154$

<u>1.3</u>	Black	<u>0.0</u>	American Indian
<u>96.8</u>	White	<u>1.9</u>	other
<u>0.0</u>	Spanish surname		

4. What is your annual salary? (check one)  $N=157$

<u>0.0</u>	below 9,000	<u>46.5</u>	14,001 - 15,000
<u>0.0</u>	9,001 - 10,000	<u>10.2</u>	15,001 - 16,000
<u>0.6</u>	10,001 - 11,000	<u>5.7</u>	above 16,000
<u>4.5</u>	11,001 - 12,000		
<u>8.3</u>	12,001 - 13,000		
<u>24.2</u>	13,001 - 14,000		

5. How long have you been a correctional employee? (check one)  $N=159$

0.0 Under 6 months  
0.0 7-18 months  
5.7 1½ years to 2 years  
13.8 3-5  
26.4 6-8  
3.8 9-11  
11.3 12-14  
39.0 15 or more years

6. How long have you been a correctional employee here? (check one)  $N=160$

0.6 Under 6 months  
1.9 7-18 months  
4.4 1½ years to 2 years  
30.0 3-5  
13.8 6-8  
10.0 9-11  
7.5 12-14  
17.5 15 or more years

7. Are you planning to make corrections a career?  $N=159$

6.9 No  
71.4 Yes  
2.5 Don't know yet -- probably not  
13.2 Don't know yet -- probably yes

8. Is your job here becoming more or less satisfying work?  $N=158$

11.4 More satisfying  
50.6 Less satisfying  
38.0 About the same

9. Based on your own experience, do you feel the inmates here are harder to deal with than they were a year ago?  $N=158$

41.8 More difficult  
7.0 Less difficult  
51.3 About the same

10. Based on your experience, would you recommend corrections as a career to someone just starting out?  $N=159$

60.4 No  
27.7 Yes  
11.9 Don't know

11. Are the complaints by the inmates here about the same as they were a year ago?  $N=158$

24.7 No  
74.1 Yes  
1.3 don't know

12. Are the complaints by the staff here about the same as they were a year ago?  $N=158$

28.5 No  
70.9 Yes  
0.6 don't know

13. If a group of inmates strongly feels that the staff is treating them unfairly, what kinds of actions do you think they have a right to take in order to change the situation? (check all that you feel are appropriate)  $N=160$

Yes	No	
<u>20.6</u>	<u>79.4</u>	Hold a meeting to talk about what's happening
<u>77.5</u>	<u>22.5</u>	Bring it to the attention of the Liaison Committee
<u>31.3</u>	<u>68.8</u>	Go talk to the Superintendent
<u>64.4</u>	<u>35.6</u>	Write a letter to the Superintendent
<u>2.5</u>	<u>97.5</u>	Send a letter to the newspaper
<u>50.0</u>	<u>50.0</u>	Write a letter to the Commissioner in Albany
<u>11.9</u>	<u>88.1</u>	File a law suit
<u>3.1</u>	<u>96.9</u>	Do something to call attention to their cause even though it may be against the rules
<u>2.5</u>	<u>97.5</u>	Do whatever it takes to get the job done.

14. To the best of your knowledge how often do these things happen here? (check one for each question)

- a. fights between inmates  $N=154$

0.0 never  
7.8 about once a month  
9.7 about once every two weeks  
26.0 about once a week  
31.2 about 2 or 3 times a week  
13.6 about 4 to 6 times a week  
4.1 at least once a day  
1.9 more than once a day  
0.6 don't know

- b. fights between inmates and staff  $N=139$

26.6 never  
56.1 about once a month  
8.6 about once every two weeks  
2.9 about once a week  
0.7 about 2 or 3 times a week  
0.7 about 4 to 6 times a week  
2.9 at least once a day  
0.0 more than once a day  
1.4 don't know

c. something in the prison damaged by an inmate  $N=149$

0.0 never  
10.7 about once a month  
5.4 about once every two weeks  
12.1 about once a week  
10.7 about 2 or 3 times a week  
4.7 about 4 to 6 times a week  
30.2 at least once a day  
20.1 more than once a day

d. inmate abuse of a staff member  $N=150$

4.0 never  
8.7 about once a month  
4.0 about once every two weeks  
6.7 about once a week  
8.7 about 2 or 3 times a week  
4.0 about 4 to 6 times a week  
36.7 at least once a day  
27.3 more than once a day

e. something stolen from an inmate  $N=147$

0.7 never  
15.0 about once a month  
8.2 about once every two weeks  
15.6 about once a week  
4.8 about 3 or 3 times a week  
6.1 about 4 to 6 times a week  
34.7 at least once a day  
15.0 more than once a day

i5. Within the last two months, how often have you had a piece of clothing or other personal possession torn, broken or ruined?

(check one)  $N=156$

80.1 never  
16.0 once only  
1.9 2 times  
0.6 3 times  
0.0 4 times  
1.3 5 times  
0.0 6 to 10 times  
0.0 11 or more times

i6. Within the last two months, how often have you had something you owned stolen from you? (check one)  $N=157$

<u>90.4</u> never	<u>0.0</u> 4 times
<u>8.9</u> once only	<u>0.0</u> 5 times
<u>0.6</u> 2 times	<u>0.0</u> 6 to 10 times
<u>0.0</u> 3 times	<u>0.0</u> 11 or more

17. Within the last two months, how often have you been attacked by an inmate? (check one)  $N=156$

96.2 never  
3.8 once only  
0.0 2 times  
0.0 3 times  
0.0 4 times  
0.0 5 times  
0.0 6 to 10 times  
0.0 11 or more

18. How would you describe the feeling in this prison now? Would you say it is: (check one)  $N=157$

7.0 tense, uptight, everyone nervous most of the time  
42.7 somewhat tense, possibility of fights often  
47.8 relaxed, only a few fights  
2.5 very relaxed, not much nervousness

19. Have you heard before today that there is to be a new inmate grievance procedure here?  $N=160$

97.5 yes  
2.5 no

If yes, please answer (a) and (b):

- a. When did you first hear about it? (check one)  $N=157$

3.2 a few days ago  
12.1 1 or 2 weeks ago  
29.9 3 or 4 weeks ago  
54.8 more than a month ago

- b. How did you first hear about it? (check one)  $N=158$

43.1 from another correctional employee  
3.2 from an inmate  
16.5 from the Superintendent or the Superintendent's staff  
6.3 from a prison newspaper or bulletin  
3.8 from a special film or TV tape shown in the prison  
12.0 a city newspaper or magazine  
15.2 other (specified)

20. The new inmate grievance procedure will do more harm than good.  
(circle one)  $N=159$

6.9		34.6		43.4		12.6		2.5
strongly								strongly
disagree	/	disagree	/	undecided	/	agree	/	agree

21. The new inmate grievance procedure will solve some of this prison's biggest problems. (circle one)  $N=157$

4.5		29.3		42.7		21.0		2.5
strongly								strongly
disagree	/	disagree	/	undecided	/	agree	/	agree

22. The new inmate grievance procedure will help the inmates and hurt the staff. (circle one)  $N=157$

1.3		36.9		43.9		13.4		4.5
strongly								strongly
disagree	/	disagree	/	undecided	/	agree	/	agree

23. The new inmate grievance procedure cannot do any serious harm. (circle one)  $N=158$

7.0		25.9		38.0		27.2		1.9
strongly								strongly
disagree	/	disagree	/	undecided	/	agree	/	agree

24. The new inmate grievance procedure is sure to be effective. (circle one)  $N=158$

2.5		21.5		60.1		14.6		1.3
strongly								strongly
disagree	/	disagree	/	undecided	/	agree	/	agree

25. The new inmate grievance procedure shows common sense. (circle one)  $N=157$

3.8		14.0		32.5		45.9		3.8
strongly								strongly
disagree	/	disagree	/	undecided	/	agree	/	agree

26. When the new grievance procedure begins, do you think that most inmate complaints will be worked out: (check one only)  $N=149$

5.4 very well  
61.7 pretty well  
25.5 not very well  
4.7 very poorly  
2.1 don't know

27. How much do you think most correctional employees care about the successful working out of inmate grievances? (check one)  $N=158$

31.6 very much  
48.7 somewhat  
12.7 a little  
7.0 not at all



28. Do you think the new procedures will improve the relationships between inmates here? (check one)  $N=158$

4.4 yes, a lot  
34.2 yes, some  
31.0 a little  
29.1 no, not at all  
1.3 don't know

29. Do you think the new procedures will improve inmate/staff relationships? (check one)  $N=157$

8.3 yes, a lot  
30.6 yes, some  
35.7 a little  
24.2 no, not at all  
1.3 don't know

30. When it comes to filing a grievance, do you think most of the inmates will: (check only one)  $N=158$

81.6 file whenever they feel like it  
15.2 file only if really necessary  
2.5 not file if they can help it  
0.6 not file at all

31. When the new procedure begins, how do you expect most officers will feel toward inmates filing grievances? (check only one)  $N=159$

10.1 accept it totally  
50.3 accept it with some doubt  
30.8 be suspicious of it  
8.8 not want anything to do with it

32. After the new procedure begins here, how do you think the inmates will feel about filing complaints or grievances? (check only one)  $N=159$

74.2 very comfortable, willing to file  
23.3 hesitant, reluctant to file  
2.5 very uncomfortable, very unwilling to file

33. Do you think the new grievance system will increase the inmate complaints about:

- a. major institutional rules and procedures  $N=159$

84.9 yes  
7.5 no  
7.5 don't know

b. correctional employees  $N=158$ .

76.6 yes

8.9 no

14.6 don't know

c. trivial matters that are only a waste of time  $N=159$

78.6 yes

7.5 no

13.8 don't know

\* \* \* \* \*

Here are some questions about the way complaints by inmates are handled now.

34. Is there a particular person on the staff or a committee which is supposed to handle inmates complaints? (check one)  $N=157$

75.2 yes

15.3 no

9.6 don't know

35. In general, are complaints handled fairly? (check one)  $N=157$

10.2 always

59.1 most of the time

15.3 some of the time

1.3 seldom

0.0 never

19.1 don't know

36. In general, are complaints handled quickly? (check one)  $N=157$

6.4 always

38.2 most of the time

28.0 some of the time

7.6 seldom

0.0 never

19.7 don't know

37. In general, is there a written reply to complaints? (check one)

$N=157$

12.1 always

22.3 most of the time

28.0 some of the time

10.2 seldom

1.9 never

25.5 don't know

**CONTINUED**

**6 OF 8**

38. When an inmate has a complaint about something here, who is that inmate supposed to go to first about the problem? (check one)

*N=157*

0.6 another inmate  
71.3 an officer  
2.5 a counselor or teacher  
19.1 the Liaison Committee  
0.6 the Superintendent  
5.7 other (specified)

39. Under the present procedure, what happens after the Liaison Committee meets to discuss the inmate's complaint? (check all that are correct)

yes

no

57.6 42.4 send recommendation to Superintendent *N=158*  
29.7 70.3 notify inmate of their recommendation *N=158*  
7.0 93.0 meet with the Adjustment Committee *N=158*  
3.8 96.2 send recommendation to Commissioner *N=158*  
31.4 68.6 don't know *N=159*

40. As things now operate, about how often are complaints by inmates handled in the following ways:

	<u>Frequently</u>	<u>Seldom</u>	<u>Never</u>
a. inmate with complaint does nothing and lets it drop <i>N=141</i>	<u>26.2</u>	<u>63.8</u>	<u>9.9</u>
b. inmate with complaint talks to another inmate who straightens it out with an officer <i>N=143</i>	<u>31.5</u>	<u>55.2</u>	<u>13.3</u>
c. inmate with complaint talks directly to an officer <i>N=150</i>	<u>77.3</u>	<u>21.3</u>	<u>1.3</u>
d. inmate writes to Superintendent <i>(N=140)</i>	<u>69.2</u>	<u>30.1</u>	<u>0.7</u>
e. inmate writes to Commissioner <i>(N=143)</i>	<u>50.3</u>	<u>48.3</u>	<u>1.4</u>
f. inmate files formal complaint with Liaison Committee <i>N=137</i>	<u>47.4</u>	<u>51.1</u>	<u>1.5</u>

41. How do you think most of the correctional employees personally feel about inmates who make complaints to the Superintendent? (check one) *N=157*

46.5 they don't care  
1.3 they give the inmates a hard time about it  
26.1 they encourage inmates to do it  
26.1 don't know

42. How does the way inmates' complaints are handled here compare with other prisons where you have worked or heard about? (check one)

*N=155*

5.2 this one is worse  
32.3 about the same  
24.5 this one is better  
38.1 don't know

43. How do you think most inmates generally feel about other inmates who make complaints to the Liaison Committee? (check one)

*N=157*

34.4 they don't care  
19 they give them a hard time about it  
29.9 they encourage them to do it  
33.8 don't know

44. How do you think most inmates generally feel about other inmates who make complaints to the superintendent? (check one)

*N=157*

37.6 they don't care  
0.6 they give them a hard time about it  
32.5 they encourage them to do it  
29.3 don't know

45. Does the Superintendent really care about the complaints the inmates have? (check one)

*N=155*

5.2 the Superintendent doesn't care  
0.0 the Superintendent gives them a hard time  
40.6 the Superintendent encourages them to make complaints  
54.2 don't know

46. Generally speaking, do other correctional employees here care about the complaints the inmates have? (check one)

*N=148*

19.6 they don't care  
1.4 they give them a hard time  
29.1 they encourage them to make complaints  
50.0 don't know

	<u>Strongly Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly Agree</u>
47. A criminal should be punished first, then we can worry about reform. <i>N=157</i>	<u>8.3</u>	<u>26.8</u>	<u>12.1</u>	<u>31.8</u>	<u>21.0</u>
48. Most of the problems that inmates have are caused by inmates themselves. <i>N=159</i>	<u>1.3</u>	<u>14.5</u>	<u>4.4</u>	<u>54.1</u>	<u>25.8</u>
49. Militant inmates here make my job more difficult. <i>N=159</i>	<u>0.6</u>	<u>4.4</u>	<u>6.3</u>	<u>39.6</u>	<u>49.1</u>
50. If given the chance, most inmates are capable of taking care of themselves on the outside. <i>N=157</i>	<u>8.3</u>	<u>56.7</u>	<u>12.7</u>	<u>17.8</u>	<u>4.5</u>
51. I have developed a friendship with a few inmates. <i>N=154</i>	<u>7.8</u>	<u>24.0</u>	<u>7.8</u>	<u>58.4</u>	<u>1.9</u>
52. Most inmates really can't be rehabilitated. <i>N=159</i>	<u>7.5</u>	<u>30.2</u>	<u>11.9</u>	<u>37.7</u>	<u>12.6</u>
53. Most inmates respect me as a correctional employee. <i>N=157</i>	<u>4.5</u>	<u>9.6</u>	<u>15.3</u>	<u>66.9</u>	<u>3.8</u>
54. A correctional employee must always enforce the rules to the letter, even if it angers inmate leaders. <i>N=157</i>	<u>3.2</u>	<u>42.0</u>	<u>7.6</u>	<u>29.9</u>	<u>17.2</u>
55. Inmates here have too many legal rights. <i>N=158</i>	<u>1.9</u>	<u>20.3</u>	<u>18.4</u>	<u>42.4</u>	<u>17.1</u>
56. Most criminals do not benefit from punishment. <i>N=157</i>	<u>7.6</u>	<u>21.0</u>	<u>14.0</u>	<u>45.2</u>	<u>12.1</u>
57. A criminal will go straight only when he finds that prison life is hard. <i>N=158</i>	<u>12.7</u>	<u>50.0</u>	<u>10.8</u>	<u>18.4</u>	<u>8.2</u>
58. Hard prison life will keep men from committing crime. <i>N=155</i>	<u>16.1</u>	<u>41.9</u>	<u>14.2</u>	<u>16.8</u>	<u>11.0</u>
59. If inmates come to me for help, I would try to help them. <i>N=154</i>	<u>0.0</u>	<u>0.6</u>	<u>1.3</u>	<u>70.8</u>	<u>27.3</u>
60. Inmates are easier to control by privately talking to the inmate leaders than by enforcing all the rules. <i>N=150</i>	<u>15.3</u>	<u>38.7</u>	<u>14.0</u>	<u>29.3</u>	<u>2.7</u>

	<u>Strongly Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly Agree</u>
61. New changes and reforms are weakening the authority of the correctional officers. <i>N=155</i>	<u>1.9</u>	<u>8.4</u>	<u>6.5</u>	<u>47.1</u>	<u>36.1</u>
62. Inmates are never to be trusted ( <i>N=151</i> )	<u>4.6</u>	<u>48.3</u>	<u>13.2</u>	<u>22.5</u>	<u>11.3</u>
63. Harsh treatment only makes the inmate more bitter. <i>N=151</i>	<u>6.6</u>	<u>16.6</u>	<u>13.9</u>	<u>52.3</u>	<u>10.6</u>

THANK YOU FOR YOUR HELP.

percentages except where  
otherwise specified

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January 1976

Auburn Facility

N = Number of Responses  
per question

INMATE SURVEY

Community Conflict Resolution Program  
University of Missouri-St. Louis  
St. Louis, Missouri 63121

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First, we would like some general information about you.

1. Race or Ethnicity (check one)  $N=231$

<u>54.5</u>	Black
<u>31.6</u>	White
<u>12.1</u>	Spanish speaking, Latin
<u>0.9</u>	American Indian
<u>0.9</u>	other

2. Religion (check one)  $N=230$

<u>25.7</u>	Protestant
<u>23.5</u>	Roman Catholic
<u>2.6</u>	Jewish
<u>4.3</u>	Black Muslim (Elijah Muhammad)
<u>4.8</u>	Sunni Muslim
<u>12.6</u>	other
<u>26.5</u>	none

3. Marital Status (check one)  $N=233$

<u>30.9</u>	married now
<u>5.6</u>	divorced since coming to prison
<u>3.9</u>	divorced before coming to prison
<u>7.7</u>	separated before coming to prison
<u>1.7</u>	widowed before coming to prison
<u>0</u>	widowed since coming to prison
<u>50.2</u>	single - never married

4. Education (check one)  $N=234$

<u>2.6</u>	less than 7th grade
<u>13.2</u>	7th - 9th grade
<u>23.9</u>	10th - 11th grade
<u>25.6</u>	high school graduate
<u>22.2</u>	some college
<u>10.3</u>	some vocational or trade school after high school
<u>2.1</u>	completed college
<u>0</u>	none



Average  
28.7

5. How old are you?  $N=228$

6. How many times have you been in prison?  $N=223$

1.1

7. What is the total number of years you have spent in prison?  $N=218$

5.64

8. How old were you when first arrested by the police?  $N=221$

18.5

9. How long have you been at this prison?  $N=228$

6 to 11 months

10. How long before you will be released from prison?  $N=210$

2 to 4 yrs.

11. How many years or months have you already served on this sentence?  $N=221$

12 to 23 months

12. How often do you get visits from friends or relatives? (check one)

7.7 Never

$N=209$

0.5 about 4 times a week or more

2.4 about 2-3 times a week

7.2 about once a week

8.1 about once every two weeks

19.1 at least once a month

54.5 less than once a month

0.5 seldom

13. How often do you get letters from outside? (check one)  $N=230$

0.9 Never

12.2 almost every day

9.1 about 4 or 5 times a week

29.6 about 2-3 times a week

27.4 about once a week

11.3 at least once a month

9.1 less than once a month

0.4 don't know

14. Here is a list of some possible complaints which you might have. Please check those which you feel are a problem for you. (check one)  $N=237$

yes

no

43.5

56.5

food served

33.8

66.2

clothing issued

28.3

71.7

recreational opportunities

48.1

51.9

medical services

35.9

64.1

visitation rules

21.5

78.5

legal services

43.0

57.0

personal privacy

43.5

56.5

treatment by correctional officers

27.8

72.2

treatment by administrators

48.9

51.1

job training and educational opportunities

15. If a group of inmates strongly feels that the staff is treating them unfairly, what kinds of actions do you think they have a right to take in order to change the situation? (Check any that you would do).  $N=237$

yes

no

31.2

68.8

Hold a meeting to talk about what's happening.

19.0

81.0

Bring it to the attention of the Liaison Committee.

21.5

78.5

Go talk to the Superintendent.

20.3

79.7

Write a letter to the Superintendent.

(Question continued on next page)

15. (continued)

yes	no	
<u>36.7</u>	<u>63.3</u>	Write a letter to the Commissioner in Albany.
<u>17.3</u>	<u>82.7</u>	Send a letter to the newspapers.
<u>26.6</u>	<u>73.4</u>	File a law suit.
<u>11.8</u>	<u>88.2</u>	Do something to call attention to your cause even though it may be against the rules.
<u>29.2</u>	<u>70.8</u>	Do whatever it takes to get the job done.

16. To the best of your knowledge, how often do these things happen here? (Check one for each question).

a. fights between inmates  $N=209$

2.9 never  
43.5 about once a month  
24.4 about once a week  
11.0 about 2 or 3 times a week  
4.3 about 4 to 6 times a week  
7.7 at least once a day  
2.9 more than once a day  
3.3 don't know

b. fights between inmates and staff  $N=187$

34.2 never  
35.8 about once a month  
7.5 about once a week  
4.8 about 2 or 3 times a week  
1.1 about 4 to 6 times a week  
4.8 at least once a day  
4.8 more than once a day  
7.0 don't know

c. something in the prison damaged by an inmate  $N=183$

29.0 never  
32.2 about once a month  
10.4 about once a week  
7.1 about 2 or 3 times a week  
2.2 about 4 to 6 times a week  
7.7 at least once a day  
4.9 more than once a day  
6.6 don't know

d. staff abuse of an inmate  $N=204$

11.3 never  
52.4 about once a month  
9.8 about once a week  
7.4 about 2 or 3 times a week  
7.4 about 4 to 6 times a week  
17.2 at least once a day  
32.4 more than once a day  
3.9 don't know

16. (continued)

e. something stolen from an inmate  $N=200$

18.0 never  
29.0 about once a month  
15.0 about once a week  
10.0 about 2 or 3 times a week  
4.0 about 4 to 6 times a week  
13.5 at least once a day  
7.0 more than once a day  
3.5 don't know

17. Within the last two months, how often have you had a piece of clothing or other personal possession torn, broken or ruined?  $N=218$

46.3 never  
20.2 once only  
16.1 2 times  
7.3 3 times  
5.0 4 times  
3.7 5 times  
0.9 6 to 10 times  
0.5 11 or more times

18. Within the last two months, how often have you had something you owned stolen from you?  $N=222$

68.5 never  
20.3 once only  
8.1 2 times  
1.4 3 times  
0.5 4 times  
0.5 5 times  
0.5 6 to ten times  
0.5 11 or more times

19. Within the last two months, how often have you been in a fight with another inmate or had another inmate attack you?  $N=224$

93.3 never  
4.9 once only  
0.9 2 times  
0 3 times  
0.4 4 times  
0.4 5 times  
0 6 to 10 times  
0.4 11 or more times

20. Within the last two months, how often have you been in a fight with a correctional officer:  $N=222$

<u>94.6</u>	never	<u>0.9</u>	4. times
<u>2.7</u>	once only	<u>0</u>	5 times
<u>1.8</u>	2 times	<u>0</u>	6 to 10 times
<u>0</u>	3 times	<u>0</u>	11 or more times

21. How would you describe the feeling in this prison now?  
Would you say it is: (check one) *N=219*

32.0 tense, uptight, everyone nervous most of the time  
39.3 somewhat tense, possibility of fights often  
24.2 relaxed, only a few problems  
3.2 very relaxed, not much nervousness  
1.4 don't know

22. Have you heard from anyone before today that there is to be a new inmate grievance procedure here? *N=231*

87.9    yes  
12.1    no

If yes, please answer (a) and (b):

- a. When did you first hear about it? (check one) *NE 205*

<u>10.2</u>	a few days ago
<u>9.3</u>	1 or 2 weeks ago
<u>42.9</u>	3 or 4 weeks ago
<u>37.6</u>	more than a month ago

- b. How did you first hear about it? (check one) *N=205*

20.0 from another inmate  
3.4 from a corrections officer  
2.0 from a teacher or counselor  
5.9 from the Superintendent or his staff  
52.1 from a special film or TV tape shown in the prison  
9.3 a prison newspaper or bulletin  
2.4 a city newspaper or a magazine  
2.0 from a friend or relative from outside the prison  
2.9 other ( Specified )

23. The new inmate grievance procedure will do more harm than good.  
(circle one) *N=225*

12.0		20.0		56.0		5.8		6.2
Strongly		Disagree	/	Undecided	/	Agree	/	Strongly
Disagree								Agree

24. The new inmate grievance procedure will solve some of this prison's biggest problems. (circle one)

13.4					5.8
Strongly	17.0	53.6	10.3	Strongly	
Disagree	Disagree	Undecided	Agree	Agree	

25. The new inmate grievance procedure will help the inmates and hurt the staff. (circle one)  $N=221$

<u>22.6</u>		<u>34.4</u>		<u>38.9</u>		<u>3.2</u>		<u>0.9</u>
Strongly								Strongly
Disagree	/	Disagree	/	Undecided	/	Agree	/	Agree

26. The new inmate grievance procedure cannot do any serious harm. (circle one)  $N=221$

<u>6.3</u>		<u>18.1</u>		<u>38.5</u>		<u>27.6</u>		<u>9.5</u>
Strongly								Strongly
Disagree	/	Disagree	/	Undecided	/	Agree	/	Agree

27. The new inmate grievance procedure is sure to be effective. (circle one)  $N=219$

<u>6.8</u>		<u>16.9</u>		<u>61.6</u>		<u>11.0</u>		<u>3.7</u>
Strongly								Strongly
Disagree	/	Disagree	/	Undecided	/	Agree	/	Agree

28. The new inmate grievance procedure shows common sense. (circle one)  $N=218$

<u>5.5</u>		<u>9.6</u>		<u>25.7</u>		<u>44.5</u>		<u>14.7</u>
Strongly								Strongly
Disagree	/	Disagree	/	Undecided	/	Agree	/	Agree

29. When the new grievance procedure begins, do you think that most inmate complaints will be worked out: (check one only)  $N=210$

<u>6.7</u>	very well
<u>22.4</u>	pretty well
<u>41.9</u>	not very well
<u>21.0</u>	very poorly
<u>8.1</u>	don't know

30. How much do you think staff will care about the successful working out of inmate grievances? (check one)  $N=218$

<u>7.3</u>	very much
<u>17.0</u>	somewhat
<u>31.2</u>	a little
<u>43.1</u>	not at all
<u>1.4</u>	don't know

31. Do you think the new procedures will improve relationships with other inmates here? (check one)  $N=214$

<u>12.1</u>	yes, a lot
<u>23.8</u>	yes, some
<u>32.7</u>	a little
<u>27.1</u>	no, not at all
<u>4.2</u>	don't know

32. Do you think the new procedures will improve inmate/staff relationships? (check one) *N=220*

5.0 yes, a lot  
15.9 yes, some  
25.5 a little  
51.4 no, not at all  
1.2 don't know

33. After the new procedure begins here, do you think you will feel comfortable filing complaints or grievances? (check only one) *N=220*

12.7 most of the time  
13.6 some of the time  
14.1 seldom  
16.4 never  
43.2 don't know

34. When the new procedure begins, how do you expect staff will feel toward inmates filing grievances? (check only one) *N=214*

5.1 accept it totally  
20.6 accept it with some doubt  
50.5 be suspicious of it  
22.9 not want anything to do with it  
0.9 don't know

35. When it comes to filing a grievance, do you think most of the inmates will: (check only one) *N=209*

63.4 file whenever they feel like it  
54.1 file only if really necessary  
21.1 not file if they can help it  
10.5 not file at all  
1.0 don't know

Here are some questions about the way complaints by inmates are handled now. Please answer to the best of your knowledge.

36. If you have a complaint about something here, who would you go to first? (check one) *N=203*

27.6 another inmate who might be able to help me  
11.8 an officer I can talk to  
31.5 a counselor or teacher  
9.9 the Liaison Committee  
9.4 the Superintendent  
8.9 other with info.  
1.0 other blank

37. How do you think most of the correctional officers generally feel about inmates who make complaints to the Superintendent? (check one)  $N = 213$

17.8 they don't care  
48.4 they give us a hard time about it  
2.8 they encourage us to do it  
31.0 don't know

38. How do most of the correctional officers feel about inmates who make complaints to the Liaison Committee? (check one)  $N = 210$

30.0 they don't care  
26.2 they give us a hard time about it  
3.3 they encourage us to do it  
40.5 don't know

39. How do most of the inmates generally feel about those inmates who make complaints to the Liaison Committee? (check one)  $N = 208$

34.6 they don't care  
1.9 they give them a hard time about it  
25.0 they encourage them to do it  
38.5 don't know

40. How do most of the inmates feel about those inmates who make complaints to the Superintendent? (check one)  $N = 202$

24.3 they don't care  
6.4 they give them a hard time about it  
25.7 they encourage them to do it  
43.6 don't know

41. How does the way complaints are handled at this institution compare with other prisons you have been in or heard about? (check one)  $N = 202$

29.7 this one is worse  
23.8 about the same  
5.4 this one is better  
41.4 don't know

42. Generally speaking, does the correctional staff here care about the complaints the inmates have? (check one) *N=202*

61.9 no, they don't care  
11.9 yes, they give us a hard time about it  
4.5 yes, they encourage us to make complaints  
21.8 don't know

43. Does the Superintendent care about the complaints the inmates have? (check one) *N=204*

43.6 no, he doesn't care  
11.3 yes, he gives us a hard time about it  
5.9 yes, he encourages us to make complaints  
39.2 don't know

44. Is there a particular person on the staff or a committee which is supposed to handle inmates' complaints? (check one) *N=194*

36.6 yes  
9.8 no  
53.6 don't know

45. Do you know anyone who has complained to this person or committee? (check one) *N=199*

28.6 yes  
70.9 no  
0.5 don't know

46. In general, are complaints handled quickly? (check one) *N=198*

0.5 always  
3.1 most of the time  
13.1 some of the time  
30.8 seldom  
19.7 never  
32.8 don't know

47. In general, are complaints handled fairly? (check one) *N=199*

0.5 always  
3.0 most of the time  
16.6 some of the time  
32.2 seldom  
14.1 never  
33.7 don't know



48. In general, is there a written reply to complaints? (check one)

*n=197*

<u>8.1</u>	always
<u>18.8</u>	most of the time
<u>18.8</u>	some of the time
<u>16.2</u>	seldom
<u>5.1</u>	never
<u>33.0</u>	don't know

\* \* \* \* \*

Now we want to get some idea of how you personally feel about things. We are not interested in how you think others feel; we want your personal opinions. For each statement we read, please indicate whether you agree or disagree with that statement.

Strongly						Strongly		
Disagree	/	Disagree	/	Undecided	/	Agree	/	Agree

As you can see on the scale above from left to right,

- 1 means strong disagreement with the statement
- 2 means disagree, but not so strongly
- 3 means you are undecided
- 4 means you agree, but not strongly
- 5 means you strongly agree.

There are no right or wrong answers here, so please tell us what you feel by putting the number in the space for each item.

	<u>Strongly Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly Agree</u>
49. None of us have any influence on how we are treated here. <i>N=210</i>	<u>11.9</u>	<u>12.9</u>	<u>4.8</u>	<u>25.2</u>	<u>45.2</u>
50. The kind of guys I hang around with here are really a lot like most of the people I knew on the street. <i>N=205</i>	<u>31.7</u>	<u>31.2</u>	<u>8.3</u>	<u>16.6</u>	<u>12.2</u>
51. The government has no right to put poor people in prison when all they have done is try to survive in an unjust system. <i>N=199</i>	<u>6.0</u>	<u>13.1</u>	<u>8.0</u>	<u>18.6</u>	<u>54.3</u>
52. There is really not much I can do about what happens to me here. <i>N=208</i>	<u>16.8</u>	<u>19.2</u>	<u>9.8</u>	<u>23.6</u>	<u>36.5</u>
53. Who you know is more important that what you know. <i>N=209</i>	<u>10.5</u>	<u>13.4</u>	<u>7.2</u>	<u>27.8</u>	<u>41.1</u>
54. I feel more and more helpless when I see what's going on around here. <i>N=204</i>	<u>7.4</u>	<u>17.2</u>	<u>7.4</u>	<u>39.7</u>	<u>28.4</u>
55. When you do the kind of work I do on the street you just have to expect to pull a few years in prison once in a while. <i>N=205</i>	<u>43.9</u>	<u>25.4</u>	<u>4.4</u>	<u>18.0</u>	<u>8.3</u>
56. You have to take care of yourself because nobody else is going to take care of you. <i>N=209</i>	<u>3.3</u>	<u>3.8</u>	<u>2.4</u>	<u>25.4</u>	<u>65.1</u>
57. If you know the right people, you can get just about anything you want around here. <i>N=207</i>	<u>13.0</u>	<u>11.6</u>	<u>11.6</u>	<u>33.8</u>	<u>30.0</u>
58. Inmates can improve their own conditions here by cooperating with the staff. <i>N=206</i>	<u>35.0</u>	<u>31.1</u>	<u>11.7</u>	<u>13.6</u>	<u>8.7</u>
59. All officers belong in one class and should be treated about the same way. <i>N=211</i>	<u>10.9</u>	<u>24.6</u>	<u>14.7</u>	<u>26.1</u>	<u>23.7</u>
60. Americans prisons are just like concentration camps for the poor people, black people and other oppressed minorities. <i>N=209</i>	<u>7.2</u>	<u>14.4</u>	<u>5.3</u>	<u>17.7</u>	<u>55.5</u>

	<u>Strongly Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly Agree</u>
61. If you stop and think about it, most of the rules they have here make pretty good sense. <i>N=209</i>	<u>60.1</u>	<u>32.5</u>	<u>6.2</u>	<u>6.7</u>	<u>3.8</u>
62. We are totally powerless to control what happens to us in this institution. <i>N=211</i>	<u>7.1</u>	<u>21.8</u>	<u>8.5</u>	<u>27.5</u>	<u>35.1</u>
63. I feel more like a political prisoner than like a criminal. <i>N=203</i>	<u>9.9</u>	<u>25.1</u>	<u>21.2</u>	<u>20.2</u>	<u>23.6</u>
64. You really can't expect people to think much of you if you are willing to back away from trouble. <i>N=208</i>	<u>12.5</u>	<u>27.4</u>	<u>9.6</u>	<u>32.7</u>	<u>17.8</u>
65. The staff here would rather do things for a few inmates who will inform on others or who do just what they are told than do anything about the problems the rest of us have. <i>N=213</i>	<u>3.8</u>	<u>2.8</u>	<u>4.7</u>	<u>16.9</u>	<u>11.8</u>
66. As inmates, we all share the same problems and have the same interests. <i>N=209</i>	<u>25.4</u>	<u>38.3</u>	<u>5.7</u>	<u>20.6</u>	<u>10.0</u>
67. The biggest criminals can fix anything and rarely go to prison. <i>N=210</i>	<u>3.8</u>	<u>1.4</u>	<u>4.3</u>	<u>29.0</u>	<u>61.4</u>
68. You have to be hard to make it here. <i>N=210</i>	<u>4.8</u>	<u>31.9</u>	<u>6.2</u>	<u>32.4</u>	<u>24.8</u>
69. You have to do what you can to help other inmates even when it might get you in trouble with the officers. <i>N=209</i>	<u>6.7</u>	<u>25.8</u>	<u>18.7</u>	<u>33.5</u>	<u>15.3</u>
70. Since everyone thinks I'm a criminal, I might as well go ahead and be one when I leave here. <i>N=210</i>	<u>64.3</u>	<u>24.3</u>	<u>5.7</u>	<u>3.8</u>	<u>1.9</u>
71. The solution to the problem of crime is to tear down the prisons and rebuild the whole society that forces people into crime. <i>N=208</i>	<u>7.7</u>	<u>13.5</u>	<u>11.1</u>	<u>17.3</u>	<u>50.5</u>

	Strongly Disagree	Disagree	Undecided	Agree	Strongly Agree
72. I was right in doing what I did and I'd do it again even if I knew I'd get arrested again. <i>N=204</i>	<u>46.1</u>	<u>21.1</u>	<u>11.3</u>	<u>5.9</u>	<u>15.7</u>
73. I don't have much in common with people who never break the law. <i>N=210</i>	<u>35.7</u>	<u>43.3</u>	<u>5.7</u>	<u>11.0</u>	<u>4.3</u>
74. Most inmates are nothing more than victims of an unjust society. <i>N=210</i>	<u>3.8</u>	<u>17.1</u>	<u>10.0</u>	<u>32.9</u>	<u>36.2</u>
75. It is O.K. to hang around with people who break the law as long as you stay clean yourself. <i>N=205</i>	<u>12.2</u>	<u>33.2</u>	<u>13.7</u>	<u>30.7</u>	<u>10.2</u>
76. When inmates stick together it's a lot easier to do time. <i>N=207</i>	<u>3.9</u>	<u>10.1</u>	<u>10.1</u>	<u>45.4</u>	<u>30.4</u>
77. When I get out of here I want to do what I can for others who may still be in prison. <i>N=209</i>	<u>3.3</u>	<u>10.5</u>	<u>24.4</u>	<u>37.3</u>	<u>24.4</u>
78. Most of the people on the staff are willing to go out of their way to help an inmate. <i>N=211</i>	<u>60.2</u>	<u>25.6</u>	<u>6.6</u>	<u>1.4</u>	<u>6.2</u>
79. I have developed a friendship with a few of the officers. <i>N=204</i>	<u>40.2</u>	<u>33.3</u>	<u>10.3</u>	<u>14.2</u>	<u>2.0</u>
80. It would be pretty hard for anyone to ever make me mad enough that I'd fight them. <i>N=206</i>	<u>38.3</u>	<u>27.7</u>	<u>13.1</u>	<u>14.1</u>	<u>6.8</u>
81. I depend on my friends here for advice and help in dealing with the staff. <i>N=202</i>	<u>10.9</u>	<u>34.7</u>	<u>9.9</u>	<u>38.1</u>	<u>6.4</u>
82. The other inmates are right when they say "don't do anything more than you have to." <i>N=209</i>	<u>8.1</u>	<u>21.1</u>	<u>17.7</u>	<u>42.6</u>	<u>10.5</u>
83. The real power in this place, as it affects my life here, is controlled by inmate leaders, not staff. <i>N=204</i>	<u>41.7</u>	<u>41.2</u>	<u>7.4</u>	<u>6.9</u>	<u>2.9</u>

	<u>Strongly Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly Agree</u>
84. An officer is never to be trusted. N=205	<u>10.7</u>	<u>11.2</u>	<u>12.2</u>	<u>21.5</u>	<u>44.4</u>
85. We are allowed to make a lot of decisions for ourselves here. N=207	<u>44.0</u>	<u>41.1</u>	<u>4.8</u>	<u>6.8</u>	<u>3.4</u>
86. Even though I broke the law, I was right to do it by my moral standards. N=191	<u>22.0</u>	<u>23.6</u>	<u>12.6</u>	<u>20.9</u>	<u>20.9</u>
87. If you ever do have to fight, you're smart to do a good enough job on the other guy that he'll never come back for more. N=206	<u>52.2</u>	<u>4.9</u>	<u>10.2</u>	<u>30.1</u>	<u>49.0</u>
88. The reason I'm in here is because I did what everyone else does, only I got caught. N=203	<u>28.1</u>	<u>33.0</u>	<u>5.4</u>	<u>22.2</u>	<u>11.3</u>
89. This place is run in such a way that makes it easy for the staff but without showing much consideration for the needs and desires of inmates. N=211	<u>5.2</u>	<u>3.3</u>	<u>4.3</u>	<u>32.7</u>	<u>54.5</u>
90. I shouldn't be in prison for doing something that I had to do to survive. N=197	<u>12.2</u>	<u>18.8</u>	<u>15.2</u>	<u>18.3</u>	<u>35.5</u>

Figures are expressed  
in percentages except  
where otherwise specified  
n = number of respondents  
per question

-525-

Auburn

February, 1977

STAFF SURVEY

Community Conflict Resolution Program  
University of Missouri-St. Louis  
St. Louis, Missouri 63121

James Laue  
John Hepburn  
Martha Becker

\* \* \* \* \*

The Community Conflict Resolution Program of St. Louis has been asked to monitor the new Inmate Grievance Procedure in the correctional facilities in New York. As part of our task we are seeking information from inmates, correctional officers and the Superintendent and his staff. This questionnaire is an attempt to find out how you and other correctional officers feel about a number of things. We will be asking correctional officers in most of the correctional facilities to answer these questions. You are not asked to identify yourself, so please do not put your name on this questionnaire. Your answers will be completely confidential.

We conducted a survey here in February 1976 asking the staff questions quite similar to these. Please indicate whether you completed the first questionnaire. N = 110

58.2 Yes

40.9 No

0.9 Don't know

Now some general information about you.

1. How long have you been a correctional employee? (check one only)

3.4 Under 6 months  
0.8 7-18 months  
0.8 1½ to 2 years  
16.0 3-5 years  
33.6 6-8 years  
9.2 9-11 years  
8.4 12-14 years  
27.7 15 or more years

2. How long have you been a correctional employee here?  
(check one only)

5.1 Under 6 months  
0.8 7-18 months  
2.5 1½ to 2 years  
28.8 3-5 years  
22.9 6-8 years  
11.9 9-11 years  
3.4 12-14 years  
24.6 15 or more years

3. Are you planning to make corrections a career? (check one only)  $N=118$

72.0 Yes

2.5 No

5.1 Don't know yet -- probably not

20.3 Don't know yet -- probably yes

4. Is your job here becoming more or less satisfying work? (check one only)  $N=118$

5.9 More satisfying

76.3 Less satisfying

17.8 About the same

5. Based on your own experience, do you feel the inmates here are harder to deal with than they were a year ago? (check one only)  $N=115$

69.6 More difficult

1.7 Less difficult

28.7 About the same

6. Based on your experience, would you recommend corrections as a career to someone just starting out? (check one only)  $N=119$

10.1 Yes

74.8 No

15.1 Don't know

7. To the best of your knowledge how often do these things happen here? (check one for each question)

- a. fights between inmates  $N=119$

0.0 never

3.4 about once a month

5.9 about once every two weeks

16.0 about once a week

40.3 about 2 or 3 times a week

13.4 about 4 to 6 times a week

17.6 at least once a day

1.7 more than once a day

1.7 don't know

- b. fights between inmates and staff  $N=118$

12.7 never

56.8 about once a month

11.0 about once every two weeks

11.9 about once a week

3.4 about 2 or 3 times a week

0.0 about 4 to 6 times a week

1.7 at least once a day

0.0 more than once a day

2.5 don't know

c. something in the prison damaged by an inmate  $N=114$

0.0 never  
9.6 about once a month  
7.0 about once every two weeks  
14.0 about once a week  
7.0 about 2 or 3 times a week  
6.1 about 4 to 6 times a week  
36.0 at least once a day  
19.3 more than once a day  
0.9 don't know

d. inmate abuse of a staff member  $N=116$

0.9 never  
8.6 about once a month  
2.6 about once every two weeks  
6.0 about once a week  
8.6 about 2 or 3 times a week  
0.9 about 4 to 6 times a week  
35.3 at least once a day  
35.3 more than once a day  
1.7 don't know

e. something stolen from an inmate  $N=111$

4.5 never  
8.1 about once a month  
1.8 about once every two weeks  
19.8 about once a week  
8.1 about 2 or 3 times a week  
6.3 about 4 to 6 times a week  
37.8 at least once a day  
12.6 more than once a day  
0.9 don't know

8. Within the last two months, how often have you had a piece of clothing or other personal possession torn, broken or ruined? (check one only)

$N=116$

69.8 never  
20.7 once only  
6.9 2 times  
1.7 3 times  
0.9 4 times  
0.0 5 times  
0.0 6 to 10 times  
0.0 11 or more times

9. Within the last two months, how often have you had something you owned stolen from you? (check one only)  $N=116$

87.9 never  
9.5 once only  
1.7 2 times  
0.0 3 times  
0.9 4 times  
0.0 5 times  
0.0 6 to 10 times  
0.0 11 or more times



10. Within the last two months, how often have you been attacked by an inmate? (check one only) N=116

83.6 never  
14.7 once only  
0.9 2 times  
0.9 3 times  
0.0 4 times  
0.0 5 times  
0.0 6 to 10 times  
0.0 11 or more

11. How would you describe the feeling in this prison now? Would you say it is: (check one only) N=119

11.8 tense, uptight, everyone nervous most of the time  
59.7 somewhat tense, possibility of fights often  
28.6 relaxed, only a few fights  
0.0 very relaxed, not much nervousness

12. If a group of inmates strongly feels that the staff is treating them unfairly, what kinds of actions do you think they have a right to take in order to change the situation? (check all that you feel are appropriate) N=118

yes  
17.8 82.2 a. Hold a meeting to talk about what's happening.  
66.9 33.1 b. Bring it to the attention of the Liaison Committee.  
28.8 71.2 c. Go talk to the Superintendent.  
50.8 49.2 d. Write a letter to the Superintendent.  
6.8 93.2 e. Send a letter to the newspaper.  
39.0 61.0 f. Write a letter to the Commissioner in Albany.  
66.1 33.9 g. File a grievance with the clerk of the Inmate Grievance Resolution Committee  
13.6 86.4 h. File a law suit.  
5.1 94.9 i. Do something to call attention to their cause even though it may be against the rules.  
3.4 96.6 j. Do whatever it takes to get the job done..

13. Are the complaints by the inmates here about the same as they were a year ago? N=114

71.9 Yes  
27.2 No  
0.9 don't know

14. Are the complaints by the staff here about the same as they were a year ago? N=116

75.9 Yes  
23.3 No  
0.9 don't know

15. When an inmate has a complaint about something here, who is that inmate supposed to go to first about the problem? (check one only)

N=117

0.0 another inmate  
78.6 an officer  
6.0 a counselor or teacher  
6.0 the Inmate Grievance Resolution Committee  
3.4 the Liaison Committee  
0.0 the Superintendent  
6.0 other ( )  
 please specify

16. As things now operate, about how often are complaints by inmates handled in the following ways:

		Frequently	Seldom	Never	Don't Know
N=108	a. Inmate with complaint does nothing and lets it drop.	a. <u>16.7</u>	<u>62.0</u>	<u>19.4</u>	<u>1.9</u>
N=109	b. Inmate with complaint talks to another inmate who straightens it out with an officer.	b. <u>28.4</u>	<u>62.4</u>	<u>7.3</u>	<u>1.8</u>
N=110	c. Inmate with complaint talks directly to an officer.	c. <u>71.8</u>	<u>21.8</u>	<u>4.5</u>	<u>1.8</u>
N=107	d. Inmate writes to Superintendent.	d. <u>63.6</u>	<u>34.6</u>	<u>0.0</u>	<u>1.9</u>
N=106	e. Inmate writes to Commissioner.	e. <u>55.7</u>	<u>40.6</u>	<u>0.9</u>	<u>2.8</u>
N=109	f. Inmate files formal complaint with the Liaison Committee.	f. <u>65.1</u>	<u>33.0</u>	<u>0.0</u>	<u>1.8</u>
N=112	g. Inmate files formal complaint with the Inmate Grievance Resolution Committee.	g. <u>84.8</u>	<u>13.4</u>	<u>0.0</u>	<u>1.8</u>

17. In general, are complaints by inmates handled fairly? (check one only)

N=118

13.6 always  
69.5 most of the time  
5.1 some of the time  
0.8 seldom  
0.0 never  
11.0 don't know

18. In general, are inmate complaints handled quickly? (check one only)

N=118

11.0 always  
48.3 most of the time  
22.9 some of the time  
3.4 seldom  
0.0 never  
14.4 don't know

19. In general, is there a written reply to inmate complaints?  
(check one only)  $N=116$   
19.8 always  
34.5 most of the time  
20.7 some of the time  
3.4 seldom  
0.0 never  
21.6 don't know
20. How does the way inmates' complaints are handled here compare with other prisons where you have worked or heard about? (check one only)  
 $N=117$   
2.6 this one is worse  
22.2 about the same  
30.8 this one is better  
44.4 don't know
21. Generally speaking, do other correctional employees here care about the complaints the inmates have? (check one only)  $N=110$   
15.5 they don't care  
0.0 they give them a hard time  
20.0 they encourage inmates to make complaints  
55.6 don't know  
9.1 they care

\* \* \* \* \*

Now we would like to ask some questions about the new Inmate Grievance Procedure.

22. Are you familiar with the Inmate Grievance Procedure here? (check one only)  $N=117$   
15.4 very familiar with it  
49.6 somewhat familiar with it  
30.8 not very familiar with it  
4.3 do not know about it
23. Has the Inmate Grievance Procedure been written out and given to or posted for the staff? (check one only)  $N=118$   
67.8 Yes  
14.4 No  
9.1 don't know

24. How adequate has your orientation been to the Inmate Grievance Procedure? (check one only)  $N = 117$

11.1 excellent orientation  
44.4 adequate orientation  
29.9 less than adequate orientation  
14.5 no orientation at all

25. What opportunity has been given staff to discuss and review the grievance procedure since its implementation? (check one only)  $N = 113$

43.4 none  
28.3 very little  
21.2 some  
7.0 much

26. Has the new Inmate Grievance Procedure helped to clarify or improve existing policy? (check one only)  $N = 117$

41.0 yes  
23.9 no  
35.0 don't know

27. Do you think a formal means of registering complaints, such as the Inmate Grievance Procedure, was necessary here? (check one only)  $N = 118$

22.0 definitely yes  
40.7 yes, somewhat  
17.8 yes, a little  
12.7 no, not at all  
6.8 don't know

28. In general, how would you rate the reaction of most inmates to the new Inmate Grievance Procedure? (check one only)  $N = 118$

33.9 enthusiastic  
36.4 neutral  
10.2 negative  
19.5 don't know

29. The new Inmate Grievance Procedure is doing more harm than good.  
(circle one)
- |          |      |           |      |          |   |
|----------|------|-----------|------|----------|---|
| 4.3      |      |           |      | 4.3      |   |
| Strongly | 34.2 | 44.4      | 12.8 | Strongly |   |
| Disagree | /    | Disagree  | /    | Agree    | / |
|          |      | Undecided |      | Agree    |   |
- N=117
30. The new Inmate Grievance Procedure is solving some of this prison's biggest problems. (circle one)
- |          |      |           |      |          |   |
|----------|------|-----------|------|----------|---|
| 9.4      |      |           |      | 0.9      |   |
| Strongly | 43.6 | 22.2      | 23.9 | Strongly |   |
| Disagree | /    | Disagree  | /    | Agree    | / |
|          |      | Undecided |      | Agree    |   |
- N=117
31. The new Inmate Grievance Procedure is helping the inmates and hurting the staff. (circle one)
- |          |      |           |      |          |   |
|----------|------|-----------|------|----------|---|
| 0.9      |      |           |      | 10.3     |   |
| Strongly | 25.6 | 35.9      | 27.4 | Strongly |   |
| Disagree | /    | Disagree  | /    | Agree    | / |
|          |      | Undecided |      | Agree    |   |
- N=117
32. The new Inmate Grievance Procedure is not doing any serious harm. (circle one)
- |          |      |           |      |          |   |
|----------|------|-----------|------|----------|---|
| 9.4      |      |           |      | 0.9      |   |
| Strongly | 20.5 | 29.9      | 39.3 | Strongly |   |
| Disagree | /    | Disagree  | /    | Agree    | / |
|          |      | Undecided |      | Agree    |   |
- N=117
33. The new Inmate Grievance Procedure is effective. (circle one)
- |          |      |           |      |          |   |
|----------|------|-----------|------|----------|---|
| 3.4      |      |           |      | 1.7      |   |
| Strongly | 17.1 | 41.0      | 36.8 | Strongly |   |
| Disagree | /    | Disagree  | /    | Agree    | / |
|          |      | Undecided |      | Agree    |   |
- N=117
34. The new Inmate Grievance Procedure shows common sense. (circle one)
- |          |      |           |      |          |   |
|----------|------|-----------|------|----------|---|
| 5.1      |      |           |      | 0.9      |   |
| Strongly | 13.7 | 40.2      | 40.2 | Strongly |   |
| Disagree | /    | Disagree  | /    | Agree    | / |
|          |      | Undecided |      | Agree    |   |
- N=117
35. The new Inmate Grievance Procedure handles inmate grievances fairly. (circle one)
- |          |     |           |      |          |   |
|----------|-----|-----------|------|----------|---|
| 0.9      |     |           |      | 6.0      |   |
| Strongly | 5.1 | 35.0      | 53.0 | Strongly |   |
| Disagree | /   | Disagree  | /    | Agree    | / |
|          |     | Undecided |      | Agree    |   |
- N=117
36. The new Inmate Grievance Procedure is providing written replies to inmates about their grievances. (circle one)
- |          |     |           |      |          |   |
|----------|-----|-----------|------|----------|---|
| 0.0      |     |           |      | 6.0      |   |
| Strongly | 1.7 | 24.1      | 68.1 | Strongly |   |
| Disagree | /   | Disagree  | /    | Agree    | / |
|          |     | Undecided |      | Agree    |   |
- N=116
37. The new Inmate Grievance Procedure handles inmate grievances quickly. (circle one)
- |          |     |           |      |          |   |
|----------|-----|-----------|------|----------|---|
| 0.9      |     |           |      | 2.6      |   |
| Strongly | 6.9 | 42.2      | 47.4 | Strongly |   |
| Disagree | /   | Disagree  | /    | Agree    | / |
|          |     | Undecided |      | Agree    |   |
- N=116

38. Do you think the new Inmate Grievance Procedure is improving the relationships between inmates here? (check one only)  $N = 114$

2.6 yes, a lot  
25.4 yes, some  
40.4 a little  
28.1 no, not at all  
3.5 don't know

39. Do you think the new Inmate Grievance Procedure is improving the relationship between inmates and staff? (check one only)  $N = 116$

1.7 yes, a lot  
19.8 yes, some  
29.3 a little  
46.6 no, not at all  
2.6 don't know

40. When it comes to filing a grievance, do you think most of the inmates:  $N = 115$

78.3 file whenever they feel like it  
13.9 file only if really necessary  
5.2 do not file if they can help it  
1.7 do not file at all  
0.9 don't know

41. Under the new Inmate Grievance Procedure, how do you think most officers feel toward inmates filing grievances? (check one only)

$N = 114$

15.8 accept it totally  
46.5 accept it with some doubt  
26.3 are suspicious of it  
10.5 not want anything to do with it  
0.9 don't know

42. Under the new Inmate Grievance Procedure here, how do you think the inmates feel about filing grievances? (check one only)  $N = 116$

79.3 very comfortable, willing to file  
16.4 hesitant, reluctant to file  
0.9 very uncomfortable, very unwilling to file  
3.4 don't know

43. Do you think the new grievance system changed the inmate complaints about: (check one for each question)  $N = 115$

a. major institutional rules and procedures

63.5 yes, complaints have increased  
2.6 yes, complaints have decreased  
16.5 no change  
17.4 don't know

43. continued

N = 115

b. correctional employees

59.1 yes, complaints have increased  
3.5 yes, complaints have decreased  
18.3 no change  
19.1 don't know

c. trivial matters that are only a waste of time

N = 114

70.2 yes, complaints have increased  
6.1 yes, complaints have decreased  
9.6 no change  
14.0 don't know

44. Using the Inmate Grievance Procedure, do you think most inmates would feel comfortable filing: (check one only) N = 116

63.8 most type of grievances  
27.6 some types of grievances  
6.0 few types of grievances  
0.9 no grievances  
1.7 don't know

45. As far as you can tell, has the new Inmate Grievance Procedure increased or decreased the number of written rules here? N = 115

45.2 increased  
21.7 decreased  
16.5 no change  
16.5 don't know

46. As far as you can tell, since the new Inmate Grievance Procedure began, do you think that most inmate complaints have been worked out? (check one only) N = 114

7.6 very well  
70.2 pretty well  
13.2 not very well  
4.4 very poorly  
2.6 don't know

47. How much do you think most correctional employees care about the successful working out of inmate grievances? (check one only)

N = 116

16.4 very much  
41.4 somewhat  
30.2 a little  
11.2 not at all  
0.9 don't know

48. About how much of your time in any given week is involved with the Inmate Grievance Procedure? (check one only) *N=118*

<u>75.4</u>	none
<u>13.6</u>	1 hour or less
<u>1.7</u>	2 to 3 hours
<u>0.0</u>	4 to 5 hours
<u>0.0</u>	6 to 7 hours
<u>1.7</u>	8 or more hours
<u>7.6</u>	don't know

49. Staff members may be involved with inmate grievances in a number of ways. Here is a list of some of the ways. HOW MANY TIMES have you been involved in each of these ways? (mark EACH ITEM with a NUMBER)

# of times

- [illegible]

50. Based on your experience with the grievance procedure, how would you evaluate its usefulness? (check one only) *N=114*

19.3 generally a useful system to resolve grievances  
37.7 a fairly good system that needs some improvement  
19.3 a poor system that needs lots of improvement  
8.8 a bad system that should be dropped or replaced by something else  
149 don't know

51. As far as you can tell, under the new Inmate Grievance Procedure, about what percent of the grievances filed so far are in each of the following categories? *N = 70*

17.7% deal with important issues.  
22.5% deal with issues that aren't very important, but have merit.  
21.6% deal with issues that are marginal and have very little merit.  
34.5% deal with frivolous issues which are a waste of time.  
3.7% don't know  
100%

52. How does the way inmates' complaints are handled now compare with the way they were handled before the new grievance system started? (check one only)

43.5 better now  
25.2 about the same  
12.2 worse now  
19.1 don't know



49. - Q. How many times have you been involved with the Inmate Grievance Procedure in each of the following ways?

A. Table: Staff respondents data concerning the number of times they were involved with I.G.R.C. BY forms of involvement.  
N = 115.

<u>Forms of Involved</u>	<u>Number of Times Involved</u>		
	<u>None</u>	<u>One or Two Times</u>	<u>Three or More times</u>
a. Grievance filed against me or something I did.	<u>66.1</u>	<u>25.5</u>	<u>8.7</u>
b. Called as Witness by I.G.R.C.	<u>89.6</u>	<u>10.4</u>	<u>0.0</u>
c. Provided information for committee.	<u>60.0</u>	<u>24.3</u>	<u>15.7</u>
d. Served as member of I.G.R.C.	<u>93.9</u>	<u>4.4</u>	<u>1.7</u>
e. Served as Chairman of I.G.R.C.	<u>93.0</u>	<u>3.5</u>	<u>3.5</u>
f. Took duty for another officer involved with I.G.R.C.	<u>86.1</u>	<u>8.9</u>	<u>5.2</u>
g. Other form of involvement.	<u>95.6</u>	<u>3.5</u>	<u>0.9</u>

		<u>Strongly Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly Agree</u>	
53	Hard prison life will keep men from committing crime.	<u>7.6</u>	<u>31.1</u>	<u>11.8</u>	<u>30.3</u>	<u>19.3</u>	N=119
54	A criminal should be punished first, then we can worry about reform.	<u>6.0</u>	<u>26.5</u>	<u>12.0</u>	<u>35.0</u>	<u>20.5</u>	N=117
55	Most of the problems that inmates have are caused by inmates themselves.	<u>0.0</u>	<u>9.2</u>	<u>7.6</u>	<u>57.1</u>	<u>26.1</u>	N=119
56	Militant inmates here make my job more difficult.	<u>0.0</u>	<u>5.0</u>	<u>8.4</u>	<u>31.9</u>	<u>54.6</u>	N=119
57	If given the chance, most inmates are capable of taking care of themselves on the outside.	<u>13.7</u>	<u>49.6</u>	<u>15.4</u>	<u>17.9</u>	<u>3.4</u>	N=117
58	I have developed a friendship with a few inmates.	<u>7.7</u>	<u>18.8</u>	<u>11.1</u>	<u>58.1</u>	<u>4.3</u>	N=117
59	Most inmates really can't be rehabilitated.	<u>2.6</u>	<u>24.6</u>	<u>8.8</u>	<u>47.4</u>	<u>16.7</u>	N=114
60	Most inmates respect me as a correctional employee.	<u>5.9</u>	<u>14.4</u>	<u>23.7</u>	<u>49.2</u>	<u>6.8</u>	N=118
61	A correctional employee must always enforce the rules to the letter, even if it angers inmate leaders.	<u>2.6</u>	<u>48.7</u>	<u>5.1</u>	<u>29.9</u>	<u>13.7</u>	N=117
62	Inmates here have too many legal rights.	<u>0.0</u>	<u>13.6</u>	<u>17.8</u>	<u>33.1</u>	<u>35.6</u>	N=118
63	Most criminals do not benefit from punishment.	<u>14.8</u>	<u>28.7</u>	<u>17.4</u>	<u>34.8</u>	<u>4.3</u>	N=115
64	A criminal will go straight only when he finds that prison life is hard.	<u>8.5</u>	<u>41.9</u>	<u>13.7</u>	<u>17.1</u>	<u>18.8</u>	N=117
65	If inmates come to me for help, I would try to help them.	<u>1.7</u>	<u>0.0</u>	<u>1.7</u>	<u>70.3</u>	<u>26.3</u>	N=118
66	Inmates are easier to control by privately talking to the inmate leaders than by enforcing all the rules.	<u>14.8</u>	<u>35.7</u>	<u>25.2</u>	<u>20.0</u>	<u>4.3</u>	N=115

	<u>Strongly Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly Agree</u>	
67 New changes and reforms are weakening the authority of the correctional officers.	<u>0.8</u>	<u>4.2</u>	<u>5.1</u>	<u>30.5</u>	<u>59.3</u>	N=118
68 Inmates are never to be trusted.	<u>4.2</u>	<u>46.6</u>	<u>16.1</u>	<u>17.8</u>	<u>15.3</u>	N=118
69 Harsh treatment only makes the inmate more bitter.	<u>6.0</u>	<u>25.6</u>	<u>20.5</u>	<u>41.9</u>	<u>6.0</u>	N=117

Finally, we would like some general information about you that would be useful in our analysis of correctional staff data.

70. What is your age? average age 35  $N=117$

71. Number of years of formal education: (circle the appropriate number)  $N=119$

Elementary  
1 2 3 4 5 6 7 8

Secondary  $\bar{X}=12.9$   
9 10 11 12

College  
13 14 15 16

72. Race or ethnicity (check one)

1.7 Black  
93.0 White  
0.0 Spanish surname

1.7 American Indian  
3.5 Other

73. What is your annual salary? (check one)  $N=118$

0.0 below 9,000  
0.0 9,001 - 10,000  
0.0 10,001 - 11,000  
4.2 11,001 - 12,000  
11.9 12,001 - 13,000  
27.1 13,001 - 14,000

50.0 14,001 - 15,000  
3.4 15,001 - 16,000  
3.4 above 16,000

average salary  
14,136

Thank You For Your Cooperation

INMATE SURVEY

AUBURN

Community Conflict Resolution Program  
University of Missouri-St. Louis  
St. Louis, Missouri 63121

James Laue  
John Hepburn  
Martha Becker

\* \* \* \* \*

Here are some questions about the way complaints by inmates are handled here. Please answer to the best of your knowledge.

We conducted a survey here in February 1976 asking inmates questions quite similar to these. Please indicate whether you completed the first questionnaire.  $N = 239$

18.0 Yes79.9 No2.1 Don't know

1. If you have a complaint about something here, who would you go to first? (check one only)  $N = 259$

26.3 another inmate who might be able to help me  
12.4 an officer I can talk to  
13.5 a counselor or teacher  
5.4 the Liaison Committee  
21.2 the Inmate Grievance Resolution Committee  
6.6 the Superintendent  
14.7 Other

2. Here is a list of some possible complaints which you might have. Please indicate how much of a problem each of these is for you by checking each item.  $N =$

	Very Much	Somewhat	No Problem	
a. food served . . . . .	a. <u>54.5</u>	<u>33.7</u>	<u>11.8</u>	$N = 246$
b. clothing issued . . . . .	b. <u>43.6</u>	<u>33.8</u>	<u>22.6</u>	$n = 234$
c. recreational opportunities. . . . .	c. <u>38.9</u>	<u>34.8</u>	<u>26.2</u>	$n = 221$
d. medical services. . . . .	d. <u>68.1</u>	<u>19.4</u>	<u>12.5</u>	$n = 248$
e. visitation rules. . . . .	e. <u>53.4</u>	<u>26.3</u>	<u>20.3</u>	$n = 236$
f. legal services. . . . .	f. <u>51.6</u>	<u>22.2</u>	<u>26.2</u>	$n = 225$
g. personal privacy. . . . .	g. <u>61.6</u>	<u>24.5</u>	<u>13.9</u>	$n = 237$
h. treatment by correctional officers. . . . .	h. <u>41.8</u>	<u>40.5</u>	<u>17.7</u>	$n = 237$
i. treatment by administrators . . . . .	i. <u>51.7</u>	<u>32.3</u>	<u>15.9</u>	$n = 232$
j. job training and educational opportunities . . . . .	j. <u>48.4</u>	<u>29.3</u>	<u>22.3</u>	$n = 215$
k. other ( _____ )	k. <u>72.3</u>	<u>7.4</u>	<u>20.2</u>	$n = 94$
specify				

3. How does the way complaints are handled at this institution compare with other prisons you have been in or heard about? (check one only)

 $N = 264$ 

40.9 this one is worse  
23.9 about the same  
8.3 this one is better  
26.9 don't know

4. To the best of your knowledge, how often do these things happen here?  
(Check one for each question).

a. fights between inmates  $N = 261$

4.2 never  
21.8 about once a month  
26.8 about once a week  
24.9 about 2 or 3 times a week  
7.7 about 4 to 6 times a week  
6.9 at least once a day  
4.6 more than once a day  
3.1 don't know

b. fights between inmates and staff  $N = 250$

22.4 never  
43.2 about once a month  
8.0 about once a week  
6.0 about 2 or 3 times a week  
2.0 about 4 to 6 times a week  
5.2 at least once a day  
3.2 more than once a day  
9.2 don't know

c. something in the prison damaged by an inmate  $N = 245$

29.0 never  
29.8 about once a month  
9.8 about once a week  
6.5 about 2 or 3 times a week  
2.9 about 4 to 6 times a week  
7.3 at least once a day  
4.9 more than once a day  
9.8 don't know

d. staff abuse of an inmate  $N = 259$

6.2 never  
13.1 about once a month  
10.4 about once a week  
10.8 about 2 or 3 times a week  
8.9 about 4 to 6 times a week  
16.6 at least once a day  
29.0 more than once a day  
5.0 don't know

e. something stolen from an inmate  $N = 256$

12.0 never  
30.5 about once a month  
13.3 about once a week  
8.6 about 2 or 3 times a week  
5.1 about 4 to 6 times a week  
10.9 at least once a day  
12.1 more than once a day  
7.0 don't know

5. Within the last two months, how often have you had a piece of clothing or other personal possession torn, broken or ruined? (Check one only)

N = 265

37.0 never  
23.0 once only  
15.5 2 times  
9.4 3 times  
4.2 4 times  
5.3 5 times  
3.4 6 to 10 times  
1.9 11 or more times  
0.4 don't know

6. Within the last two months, how often have you had something you owned stolen from you? (Check one only)

N = 266

65.4 never  
20.3 once only  
7.1 2 times  
4.5 3 times  
0.0 4 times  
0.4 5 times  
1.9 6 to 10 times  
0.0 11 or more times  
0.4 don't know

7. Within the last two months, how often have you been in a fight with another inmate or had another inmate attack you? (Check one only)

N = 269

85.9 never  
8.6 once only  
3.7 2 times  
1.1 3 times  
0.0 4 times  
0.4 5 times  
0.0 6 to 10 times  
0.4 11 or more times  
0.0 don't know

8. Within the last two months, how often have you been in a fight with a correctional officer: (Check one only)

N = 268

91.4 never  
4.5 once only  
1.5 2 times  
0.4 3 times  
0.7 4 times  
0.7 5 times  
0.4 6 to 10 times  
0.4 11 or more times  
0.0 don't know

9. How would you describe the feeling in this prison now? Would you say it is: (Check one only)  $N = 275$

41.9 tense, uptight, everyone nervous most of the time  
38.5 somewhat tense, possibility of fights often  
17.1 relaxed, only a few problems  
3.3 very relaxed, not much nervousness

10. Does the Superintendent care about the complaints the inmates have? (Check one only)  $N = 275$

47.3 he doesn't care  
21.8 he gives us a hard time about it  
4.7 he encourages us to make complaints  
26.2 don't know

11. In general, are complaints by inmates handled quickly? (check one only)  $N = 275$

2.5 always  
4.0 most of the time  
14.9 some of the time  
40.0 seldom  
28.7 never  
9.8 don't know

12. In general, are inmate complaints handled fairly? (check one only)  $N = 274$

1.1 always  
4.7 most of the time  
21.5 some of the time  
40.5 seldom  
21.2 never  
10.9 don't know

13. In general, is there a written reply to inmate complaints? (check one only)  $N = 273$

9.9 always  
21.6 most of the time  
23.4 some of the time  
20.1 seldom  
8.8 never  
16.1 don't know

14. Generally speaking, does the correctional staff here care about the complaints the inmates have? (Check one only)  $N = 273$

50.9 they don't care  
23.8 they give us a hard time about it  
5.9 they encourage us to make complaints  
18.3 don't know  
1.1 they care



15. If a group of inmates strongly feels that the staff is treating them unfairly, what kinds of actions do you think they have a right to take in order to change the situation? (Check any that you would do) *N = 278*

<u>Yes</u>	<u>No</u>	<i>Yes = yes, checked / No = Not checked</i>
<u>20.5</u>	<u>79.5</u>	a. Hold a meeting to talk about what's happening
<u>21.2</u>	<u>78.8</u>	b. Bring it to the attention of the Inmate Liaison Committee
<u>10.4</u>	<u>89.6</u>	c. Go talk to the Superintendent
<u>7.9</u>	<u>92.1</u>	d. Write a letter to the Superintendent
<u>25.2</u>	<u>74.8</u>	e. Write a letter to the Commissioner in Albany
<u>23.0</u>	<u>77.0</u>	f. File a grievance with the clerk of the Inmate Grievance Resolution Committee
<u>22.3</u>	<u>77.7</u>	g. File a law suit
<u>18.7</u>	<u>81.3</u>	h. Do something to call attention to your cause even though it may be against the rules
<u>28.4</u>	<u>71.6</u>	i. Do whatever it takes to get the job done
<u>7.9</u>	<u>92.1</u>	j. send letter to newspaper

\* \* \* \* \*

Now we would like to ask some questions about the new Inmate Grievance Procedure.

16. In general how familiar are you with the Inmate Grievance Procedure here? (Check one only) *N = 276*

26.4 very familiar with it  
30.8 somewhat familiar with it  
34.8 not very familiar with it  
8.0 do not know about it

17. Do you think a formal means of registering complaints, such as the Inmate Grievance Procedure, was necessary here? (Check one only)

*N = 273*

65.6 definitely yes  
14.3 yes, somewhat  
5.5 yes, a little  
5.9 no, not at all  
8.8 don't know

18. Has the new Inmate Grievance Procedure helped to clarify or improve existing policy? (Check one only)  $N = 271$

40.6 Yes

32.1 No

27.3 Don't know

19. Based on what you know about the grievance procedure, how useful do you think it is? (Check one only)  $N = 268$

15.3 generally a useful system to resolve grievances

35.1 a fairly good system that needs some improvement

39.9 a poor system that needs lots of improvement

7.5 a bad system that should be dropped or replaced by something else

2.2 don't know

20. In general, how would you rate the reaction of most inmates to the new Inmate Grievance Procedure? (check one only)  $N = 271$

11.4 enthusiastic

37.6 neutral

26.9 negative

24.0 don't know

21. Since the new Inmate Grievance Procedure began, do you think that most inmate complaints have been worked out: (Check one only)

$N = 267$

2.2 Very well

24.7 Pretty well

42.7 Not very well

26.2 Very poorly

4.1 don't know

22. How could the new Inmate Grievance Procedure be improved? (Check all that apply)  $N = 278$

Yes = yes, checked

NO = Not checked

Yes

38.8

52.5

26.3

3.2

8.3

13.7

33.8

2.9

11.9

61.2 a. Greater speed

47.5 b. More "outside" control

73.8 c. Include disciplinary action, classification, parole, etc.

96.8 d. Have different inmate clerk that we have now

91.7 e. Have different committee than we have now

86.3 f. Have more written replies

66.2 g. Have better explanation of decisions

97.2 h. OK as it is

88.1 i. Other ( )

specify

23. The new Inmate Grievance Procedure is doing more harm than good.  
(circle one)
- |          |      |           |     |          |
|----------|------|-----------|-----|----------|
| 21.3     | 34.8 | 31.5      | 8.6 | 3.7      |
| Strongly |      |           |     | Strongly |
| Disagree | /    | Disagree  | /   | Agree    |
|          |      | Undecided | /   | Agree    |
- N = 267
24. The new Inmate Grievance Procedure is solving some of this prison's biggest problems. (circle one)
- |          |      |           |      |          |
|----------|------|-----------|------|----------|
| 22.0     | 38.4 | 22.8      | 12.7 | 4.1      |
| Strongly |      |           |      | Strongly |
| Disagree | /    | Disagree  | /    | Agree    |
|          |      | Undecided | /    | Agree    |
- N = 268
25. The new Inmate Grievance Procedure is not doing any serious harm.  
(circle one)
- |          |      |           |      |          |
|----------|------|-----------|------|----------|
| 6.0      | 15.3 | 24.3      | 43.7 | 10.8     |
| Strongly |      |           |      | Strongly |
| Disagree | /    | Disagree  | /    | Agree    |
|          |      | Undecided | /    | Agree    |
- N = 268
26. The new Inmate Grievance Procedure is effective.  
(circle one)
- |          |      |           |      |          |
|----------|------|-----------|------|----------|
| 9.4      | 27.3 | 33.0      | 26.2 | 4.1      |
| Strongly |      |           |      | Strongly |
| Disagree | /    | Disagree  | /    | Agree    |
|          |      | Undecided | /    | Agree    |
- N = 267
27. The new Inmate Grievance Procedure shows common sense.  
(circle one)
- |          |      |           |      |          |
|----------|------|-----------|------|----------|
| 6.7      | 22.8 | 22.0      | 41.4 | 7.1      |
| Strongly |      |           |      | Strongly |
| Disagree | /    | Disagree  | /    | Agree    |
|          |      | Undecided | /    | Agree    |
- N = 268
28. The new Inmate Grievance Procedure handles inmate grievances fairly.  
(circle one)
- |          |      |           |      |          |
|----------|------|-----------|------|----------|
| 9.8      | 23.7 | 32.7      | 27.4 | 6.4      |
| Strongly |      |           |      | Strongly |
| Disagree | /    | Disagree  | /    | Agree    |
|          |      | Undecided | /    | Agree    |
- N = 266
29. The new Inmate Grievance Procedure is providing written replies to inmates about their grievances.  
(circle one)
- |          |      |           |      |          |
|----------|------|-----------|------|----------|
| 6.9      | 21.0 | 30.2      | 37.0 | 5.0      |
| Strongly |      |           |      | Strongly |
| Disagree | /    | Disagree  | /    | Agree    |
|          |      | Undecided | /    | Agree    |
- N = 262
30. The new Inmate Grievance Procedure handles inmate grievances quickly.  
(circle one)
- |          |      |           |      |          |
|----------|------|-----------|------|----------|
| 23.0     | 36.6 | 24.9      | 13.6 | 1.9      |
| Strongly |      |           |      | Strongly |
| Disagree | /    | Disagree  | /    | Agree    |
|          |      | Undecided | /    | Agree    |
- N = 265

31. How much do you think staff cares about the successful working out of the inmate grievances? (check one only)

3.0 very much  
14.3 somewhat  
28.9 a little  
52.6 not at all  
1.1 don't know

32. Do you think the new Inmate Grievance Procedure is improving relationships between inmates here? (check one only)

6.4 yes, a lot  
23.2 yes, some  
34.5 a little  
33.7 no, not at all  
2.2 don't know

33. Do you think the new Inmate Grievance Procedure is improving the relationships between inmates and staff? (check one only)

2.3 yes, a lot  
11.7 yes, some  
26.9 a little  
56.8 no, not at all  
2.3 don't know

34. Since the new Inmate Grievance Procedure began here, do you feel comfortable filing complaints or grievances? (check one only)

16.9 most of the time  
14.2 some of the time  
15.7 seldom  
37.5 never  
15.7 don't know

35. Under the new Inmate Grievance Procedure, how do you think staff feels toward inmates filing grievances? (check one only)

5.4 accept it totally  
17.8 accept it with some doubt  
40.5 be suspicious of it  
34.0 not want anything to do with it  
2.3 don't know

36. When it comes to filing a grievance, do you think most of the inmates: (check one only)

9.1 file whenever they feel like it  
44.9 file only if really necessary  
26.6 do not file if they can help it  
16.7 do not file at all  
2.7 don't know

37. Have you used the new Inmate Grievance Procedure? (check one only)

N = 267

45.7 yes

54.3 no

IF YES, continue with question #38.

IF NO, skip to question #45 on next page.

38. How often have you filed a grievance? (check one only) N = 120

3.3 never

40.8 one time

26.7 2 times

10.8 3 times

7.5 4 times

2.5 5 times

1.7 6 times

1.7 7 times

6.7 8 or more times  
or more

39. How often has your grievance gone before the Inmate Grievance Resolution Committee? (check one only) N = 116

23.3 never

33.6 one time

23.3 2 times

7.8 3 times

3.4 4 times

1.7 5 times

1.7 6 times

5.2 7 times

40. Are you generally satisfied with the way the Grievance Clerk has handled your complaint(s)? N = 118

62.7 yes

37.3 no

41. Were you generally satisfied with the way the Inmate Grievance Resolution Committee handled your complaint(s)? N = 115

50.4 yes

49.6 no

42. Of all the grievances you have filed, how many have been settled in your favor? (place number(s) in spaces below).

269 Total number of grievances you have filed. N = 116 Respondants

N = 225 / 20.0 number settled entirely in my favor  
Cases / 25.8 number settled in my favor, but with some compromise  
54.2 number settled not in my favor

43. Of all your grievances that were settled, indicate the number you think have been resolved in the following way(s):

231 Total number of grievances settled. *N=109 RESPONDANTS*

*N=211*  
*CASES* / 18.5 entirely satisfactory  
25.1 somewhat satisfactory  
56.4 not at all satisfactory

44. Have you received written notice of the results of each hearing or review? (check one only) *N=114*

50.9 yes  
45.6 no  
3.5 don't know

Since you have used the Inmate Grievance Procedure,  
 skip next question only and continue with question #46.

\* \* \* \* \*

45. Why don't you use the Inmate Grievance Procedure? (check all that apply) *N=156* *YES = YES, CHECKED*  
*NO = NOT CHECKED.*

*YES* *NO*  
21.2 78.8 a. prefer to work it out another way  
7.7 92.3 b. fear of staff reaction  
8.3 91.7 c. don't want to make waves  
12.8 87.2 d. the grievance procedure doesn't work  
25.0 75.0 e. the grievance procedure is a hoax. I don't believe it is really going to be for our complaints  
13.5 86.5 f. I have no complaints  
3.2 96.8 g. OTHER

46. How often have you talked to someone with the grievance procedure about a grievance you have? (check one only) *N=234*

35.0 never  
20.1 one time  
12.8 2 times  
6.0 3 times  
6.8 4 times  
4.7 5 times  
2.1 6 times  
12.4 7 times OR MORE

47. If an inmate filed a grievance today, do you think it would eventually be worked out or settled fairly? (check one only)

3.7 yes, always  
14.8 most of the time  
42.2 some of the time  
17.2 never  
22.1 don't know

48. Please indicate whether you would feel comfortable or uncomfortable filing EACH of the following types of grievances with the new Inmate Grievance Procedure. (check one for each item)

<u>Comfortable</u>	<u>Uncomfortable</u>	
<u>61.5</u>	<u>38.5</u>	a. Against policy or procedure (like N=213 visitation rules).
<u>42.1</u>	<u>57.9</u>	b. Against staff (like an officer talking down to you). N=216
<u>60.6</u>	<u>39.4</u>	c. Against equipment (like inadequate medical supplies or equipment). N=216
<u>37.8</u>	<u>62.2</u>	d. Against other inmates (like using the canteen for their own profit). N=193
<u>60.6</u>	<u>39.4</u>	e. Against the way policy or procedures are carried out (like not receiving a visitor arrival call). N=213

\* \* \* \* \*

Now we want to get some idea of how you personally feel about things. We are not interested in how you think others feel; we want your personal opinions. For each statement we read, please indicate whether you agree or disagree with that statement.

Strongly Disagree / Disagree / Undecided / Agree / Strongly Agree

As you can see on the scale above from left to right,

- 1 means strong disagreement with the statement
- 2 means disagree, but not so strongly
- 3 means you are undecided
- 4 means you agree, but not strongly
- 5 means you strongly agree

There are no right or wrong answers here, so please tell us what you feel by putting the number in the space for each item.

	<u>Strongly Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly Agree</u>	
49. None of us have any influence on how we are treated here.	<u>12.5</u>	<u>8.3</u>	<u>5.0</u>	<u>23.8</u>	<u>50.4</u>	N=240
50. The kind of guys I hang around with here are really a lot like most of the people I knew on the street.	<u>29.1</u>	<u>29.1</u>	<u>5.3</u>	<u>26.6</u>	<u>9.8</u>	N=244
51. The government has no right to put poor people in prison when all they have done is try to survive in an unjust system.	<u>7.3</u>	<u>9.0</u>	<u>3.7</u>	<u>18.4</u>	<u>61.6</u>	N=245
52. There is really not much I can do about what happens to me here.	<u>12.6</u>	<u>17.1</u>	<u>3.7</u>	<u>19.1</u>	<u>47.6</u>	N=246
53. Who you know is more important that what you know.	<u>10.1</u>	<u>11.3</u>	<u>4.8</u>	<u>24.2</u>	<u>49.6</u>	N=248
54. I feel more and more helpless when I see what's going on around here.	<u>6.7</u>	<u>15.1</u>	<u>7.5</u>	<u>32.9</u>	<u>37.7</u>	N=252
55. When you do the kind of work I do on the street you just have to expect to pull a few years in prison once in a while.	<u>46.7</u>	<u>22.4</u>	<u>3.3</u>	<u>13.4</u>	<u>14.2</u>	N=246
56. You have to take care of yourself because nobody else is going to take care of you.	<u>3.2</u>	<u>2.8</u>	<u>0.8</u>	<u>18.7</u>	<u>74.5</u>	N=251
57. If you know the right people, you can get just about anything you want around here.	<u>7.3</u>	<u>8.1</u>	<u>7.7</u>	<u>26.2</u>	<u>50.8</u>	N=248
58. Inmates can improve their own conditions here by cooperating with the staff.	<u>62.8</u>	<u>16.6</u>	<u>5.1</u>	<u>7.9</u>	<u>7.5</u>	N=253
59. All officers belong in one class and should be treated about the same way.	<u>12.8</u>	<u>21.6</u>	<u>15.2</u>	<u>22.0</u>	<u>28.4</u>	N=250
60. Americans prisons are just like concentration camps for the poor people, black people and other oppressed minorities.	<u>6.7</u>	<u>6.3</u>	<u>5.6</u>	<u>19.8</u>	<u>61.5</u>	N=252



	<u>Strongly Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly Agree</u>	
61. If you stop and think about it, most of the rules they have here make pretty good sense.	<u>51.6</u>	<u>29.2</u>	<u>8.0</u>	<u>6.0</u>	<u>5.2</u>	N=250
62. We are totally powerless to control what happens to us in this institution.	<u>9.2</u>	<u>17.5</u>	<u>7.2</u>	<u>23.5</u>	<u>42.6</u>	N=251
63. I feel more like a political prisoner than like a criminal.	<u>9.9</u>	<u>12.7</u>	<u>13.5</u>	<u>25.0</u>	<u>38.9</u>	N=252
64. You really can't expect people to think much of you if you are willing to back away from trouble.	<u>10.0</u>	<u>24.8</u>	<u>12.8</u>	<u>26.8</u>	<u>25.6</u>	N=250
65. The staff here would rather do things for a few inmates who will inform on others or who do just what they are told than do anything about the problems the rest of us have.	<u>2.0</u>	<u>0.8</u>	<u>3.9</u>	<u>6.5</u>	<u>76.9</u>	N=255
66. As inmates, we all share the same problems and have the same interests.	<u>17.1</u>	<u>34.9</u>	<u>11.5</u>	<u>19.8</u>	<u>16.7</u>	N=252
67. The biggest criminals can fix anything and rarely go to prison.	<u>3.2</u>	<u>3.6</u>	<u>2.8</u>	<u>24.5</u>	<u>66.0</u>	N=253
68. You have to be hard to make it here.	<u>7.6</u>	<u>24.3</u>	<u>8.0</u>	<u>30.3</u>	<u>29.9</u>	N=251
69. You have to do what you can to help other inmates even when it might get you in trouble with the officers.	<u>12.0</u>	<u>23.2</u>	<u>12.4</u>	<u>31.2</u>	<u>21.2</u>	N=250
70. Since everyone thinks I'm a criminal, I might as well go ahead and be one when I leave here.	<u>65.6</u>	<u>21.2</u>	<u>4.8</u>	<u>3.2</u>	<u>5.2</u>	N=250
71. The solution to the problem of crime is to tear down the prisons and rebuild the whole society that forces people into crime.	<u>10.0</u>	<u>10.4</u>	<u>12.4</u>	<u>14.3</u>	<u>53.0</u>	N=251

	<u>Strongly Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly Agree</u>	
72. I was right in doing what I did and I'd do it again even if I knew I'd get arrested again.	<u>49.1</u>	<u>20.0</u>	<u>7.8</u>	<u>10.0</u>	<u>13.0</u>	N= 230
73. I don't have much in common with people who never break the law.	<u>36.1</u>	<u>39.4</u>	<u>8.7</u>	<u>8.7</u>	<u>7.1</u>	N= 241
74. Most inmates are nothing more than victims of an unjust society.	<u>8.2</u>	<u>12.7</u>	<u>9.0</u>	<u>24.5</u>	<u>45.7</u>	N= 245
75. It is O.K. to hang around with people who break the law as long as you stay clean yourself.	<u>17.6</u>	<u>32.2</u>	<u>13.5</u>	<u>23.3</u>	<u>13.5</u>	N= 245
76. When inmates stick together it's a lot easier to do time.	<u>2.8</u>	<u>6.0</u>	<u>8.0</u>	<u>35.6</u>	<u>47.6</u>	N= 250
77. When I get out of here I want to do what I can for others who may still be in prison.	<u>4.2</u>	<u>4.2</u>	<u>19.3</u>	<u>39.5</u>	<u>32.8</u>	N= 238
78. Most of the people on the staff are willing to go out of their way to help an inmate.	<u>65.5</u>	<u>19.4</u>	<u>4.0</u>	<u>5.2</u>	<u>6.0</u>	N= 252
79. I have developed a friendship with a few of the officers.	<u>42.2</u>	<u>27.5</u>	<u>12.4</u>	<u>15.9</u>	<u>2.0</u>	N= 251
80. It would be pretty hard for anyone to ever make me mad enough that I'd fight them.	<u>38.2</u>	<u>32.3</u>	<u>11.6</u>	<u>13.1</u>	<u>4.8</u>	N= 251
81. I depend on my friends here for advice and help in dealing with the staff.	<u>15.8</u>	<u>24.3</u>	<u>15.4</u>	<u>36.0</u>	<u>8.5</u>	N= 247
82. The other inmates are right when they say "don't do anything more than you have to."	<u>10.6</u>	<u>32.5</u>	<u>13.8</u>	<u>26.4</u>	<u>16.7</u>	N= 246
83. The real power in this place, as it affects my life here, is controlled by inmate leaders, not staff.	<u>48.8</u>	<u>32.0</u>	<u>8.4</u>	<u>5.6</u>	<u>5.2</u>	N= 250

	Strongly Disagree	Disagree	Undecided	Agree	Strongly Agree	
84. An officer is never to be trusted.	<u>6.0</u>	<u>8.9</u>	<u>11.3</u>	<u>18.5</u>	<u>55.2</u>	N=248
85. We are allowed to make a lot of decisions for ourselves here.	<u>58.0</u>	<u>27.6</u>	<u>4.4</u>	<u>4.0</u>	<u>6.0</u>	N=250
86. Even though I broke the law, I was right to do it by my moral standards.	<u>16.4</u>	<u>24.7</u>	<u>16.4</u>	<u>18.7</u>	<u>23.7</u>	N=219
87. If you ever do have to fight, you're smart to do a good enough job on the other guy that he'll never come back for more.	<u>3.7</u>	<u>6.2</u>	<u>10.3</u>	<u>24.8</u>	<u>55.0</u>	N=242
88. The reason I'm in here is because I did what everyone else does, only I got caught.	<u>28.7</u>	<u>35.2</u>	<u>4.3</u>	<u>13.5</u>	<u>18.3</u>	N=230
89. This place is run in such a way that makes it easy for the staff but without showing much consideration for the needs and desires of inmates.	<u>3.2</u>	<u>4.5</u>	<u>5.3</u>	<u>21.9</u>	<u>65.2</u>	N=247
90. I shouldn't be in prison for doing something that I had to do to survive.	<u>12.2</u>	<u>15.8</u>	<u>9.5</u>	<u>22.5</u>	<u>40.1</u>	N=222

Finally, we would like some general information about you.

91. Race or Ethnicity (check one only) *N= 246*

54.1 Black  
28.5 White

12.6 Spanish speaking, Latin  
1.6 American Indian  
3.3 other

92. Religion (check one only) *N= 242*

33.1 Protestant  
23.6 Roman Catholic  
2.1 Jewish

7.9 Black Muslim (Elijah Muhammad)  
7.0 Sunni Muslim  
12.4 other  
14.0 none

93. Marital Status (check one only) *N= 247*

30.4 married now  
13.8 divorced since coming to prison  
5.3 divorced before coming to prison  
8.1 separated before coming to prison  
1.2 widowed before coming to prison  
0.8 widowed since coming to prison  
40.5 single - never married

94. Education (check one only)

*N= 247*

2.8 less than 7th grade  
9.7 7th - 9th grade  
27.5 10th - 11th grade  
23.5 high school graduate  
22.3 some college  
10.9 some vocational or trade school after high school  
2.8 completed college  
0.4 none

95. How old are you? (check one only) *N= 245*

16.7 23 years old or younger  
17.6 24-26 years old  
15.5 27-29 years old  
30.6 30-34 years old  
19.6 35 years old or older

96. How many times have you been in prison? (check one only)  $N=237$

44.7 once only (this time)  
30.4 twice (2 times)  
24.9 three or more times

97. What is the total number of years you have spent in prison?  $N=236$   
(check one only)

8.9 1 year or less  
32.2 2 to 3 years  
31.8 4-7 years  
25.0 8 or more years  
2.1 don't know

98. How old were you when first arrested by the police?  $N=230$   
(check one only)

33.9 15 years of age or younger  
21.3 16-17 years of age  
22.2 18-21 years of age  
22.6 22 years of age or older

99. How long have you been at this prison?  $N=233$   
(check one only)

10.3 less than 3 months  
16.7 3-5 months  
25.3 6-11 months  
22.3 12-23 months  
13.7 2-4 years  
11.6 5 or more years  
0.0 don't know

100. How long before you will be released from prison?  $N=233$   
(check one only)

13.7 less than 6 months  
15.0 6-11 months  
15.5 12-23 months  
12.6 2-4 years  
17.6 5 or more years  
20.6 don't know

101. How many years or months have you already served on this sentence?  $N=233$   
(check one only)

0.9 less than 6 months  
10.7 6-11 months  
29.6 12-23 months  
39.1 2-4 years  
18.9 5 or more years  
0.9 don't know

Thank You For Your Cooperation

FIGURES EXPRESSED IN  
PERCENTAGES EXCEPT  
WHERE OTHERWISE SPECIFIED  
N = Number of Respondents  
per Question

-559-

CANON CITY MAXIMUM  
FACILITY

June, 1976

COLORADO  
STAFF SURVEY

Community Conflict Resolution Program  
University of Missouri-St. Louis  
St. Louis, Missouri 63121

James Laue  
John Hepburn  
Martha Becker

\* \* \* \* \*

The Community Conflict Resolution Program of St. Louis has been asked to monitor the new inmate grievance procedure in the correctional facilities in Colorado. As part of our task we are seeking information from inmates, correctional officers and the Superintendent and his staff.

This questionnaire is an attempt to find out how you and other correctional officers like yourself feel about a number of things. You are not asked to identify yourself, so please do not put your name on this questionnaire. Your answers will be complete confidential.

First, we would like some general information about you as a correctional officer, my major assignment is:

66.2 security  
23.9 group living and counseling  
9.8 programs

In some of the questions we will use the words "correctional officer." When used, correctional officer refers to all persons employed in this facility for security, programs and counseling.

1. What is your age? Average Age = 41.4 N = 69
2. Number of years of formal education: (circle the appropriate number) N = 71  

<u>Elementary</u>	<u>Secondary</u>	<u>College</u>	<u>Average # of years of Education = 13.2</u>
1 2 3 4 5 6 7 8	9 10 11 12	13 14 15 16	
3. Race or ethnicity (check one)  

<u>0.0</u> Black	<u>0.0</u> American Indian
<u>94.4</u> White	<u>2.8</u> other
<u>2.8</u> Spanish surname	

4. What is your annual salary? (check one)  $N = 70$

1.4 below 9,000  
11.4 9,001 - 10,000  
18.6 10,001 - 11,000  
10.0 11,001 - 12,000  
20.0 12,001 - 13,000

11.4 13,001 - 14,000  
7.1 14,001 - 15,000  
8.6 15,001 - 16,000  
11.4 above 16,000

Average Income = 12,001 to 13,000

5. How long have you been a correctional employee? (check one)  $N = 71$

4.2 6 months or less  
7.0 7-18 months  
12.7 19-24 months  
16.9 3-5 years  
9.9 6-8 years  
11.3 9-11 years  
12.7 12-14 years  
25.4 15 or more years

Average # of years  
 of Service = 6 to 8 years

6. How long have you been a correctional employee here? (check one)  $N = 71$

4.2 6 months or less  
7.0 7-18 months  
15.5 19-24 months  
15.5 3-5 years  
8.5 6-8 years  
11.3 9-11 years  
12.7 12-14 years  
25.4 15 or more years

Average # of years at  
 Canon City Max. = 6 to 8 years

7. Are you planning to make corrections a career?  $N = 70$

4.3 no  
80.0 yes  
2.9 don't know yet -- probably not  
12.9 don't know yet -- probably yes

8. Is your job here becoming more or less satisfying work?  $N = 70$

17.1 more satisfying  
57.1 less satisfying  
25.7 about the same

9. Based on your own experience, do you feel the inmates here are harder to deal with than they were a year ago?

79.7 more difficult  
1.4 less difficult  
18.8 about the same

10. Based on your experience, would you recommend corrections as a career to someone just starting out?  $N = 71$

59.2 no  
26.8 yes  
14.1 don't know

11. Are the complaints by the inmates here about the same as they were a year ago?

31.3 no  
68.7 yes

12. Are the complaints by the staff here about the same as they were a year ago?

17.4 no  
82.6 yes

13. If a group of inmates strongly feels that the staff is treating them unfairly, what kinds of actions do you think they have a right to take in order to change the situation? (check all that you feel are appropriate)  $N = 72$

<u>Yes</u>	<u>No</u>
<u>47.2</u>	<u>52.8</u> hold a meeting to talk about what's happening
<u>52.8</u>	<u>47.2</u> bring it to the attention of the Inmate Awareness Committee
<u>47.2</u>	<u>52.8</u> go talk to the Superintendent
<u>40.3</u>	<u>59.7</u> write a letter to the Superintendent
<u>8.3</u>	<u>91.7</u> send a letter to the newspaper
<u>9.7</u>	<u>90.3</u> write a letter to the Commissioner in Denver
<u>9.1</u>	<u>90.3</u> file a law suit
<u>2.8</u>	<u>97.2</u> do something to call attention to their cause even though it may be against the rules
<u>5.6</u>	<u>94.4</u> do whatever it takes to get the job done

14. To the best of your knowledge how often do these things happen here? (check one for each question)  $N = 71$

a. fights between inmates

0.0 never  
8.5 about once a month  
11.3 about once every two weeks  
18.3 about once a week  
29.6 about 2 or 3 times a week  
12.7 about 4 to 6 times a week  
14.1 at least once a day  
5.6 more than once a day



b. fights between inmates and staff  $N = 65$

10.8 never  
40.0 about once a month  
12.3 about once every two weeks  
15.4 about once a week  
6.2 about 2 or 3 times a week  
1.5 about 4 to 6 times a week  
10.8 at least once a day  
3.1 more than once a day

c. something in the prison damaged by an inmate  $N = 72$

0.0 never  
2.8 about once a month  
4.2 about once every two weeks  
2.8 about once a week  
4.2 about 2 or 3 times a week  
4.2 about 4 to 6 times a week  
38.9 at least once a day  
43.1 more than once a day

d. verbal abuse of a staff member by an inmate  $N = 72$

0.0 never  
1.4 about once a month  
1.4 about once every two weeks  
1.4 about once a week  
1.4 about 2 or 3 times a week  
1.4 about 4 to 6 times a week  
19.4 at least once a day  
73.6 more than once a day

e. something stolen from an inmate  $N = 70$

0.0 never  
2.9 about once a month  
2.9 about once every two weeks  
7.1 about once a week  
8.6 about 2 or 3 times a week  
8.6 about 4 to 6 times a week  
28.6 at least once a day  
41.4 more than once a day

15. Within the last two months, how often have you had a piece of clothing or other personal possession torn, broken or ruined?  $N = 71$   
 (check one)

63.4 never  
15.5 once only  
15.5 2 times  
1.4 3 times  
1.4 4 times  
0.0 5 times  
1.4 6 to 10 times  
1.4 11 or more times

16. Within the last two months, how often have you had something you owned stolen from you? (check one)  $N = 71$

73.2 never  
19.7 once only  
6.6 2 times  
0.0 3 times  
1.4 4 times  
0.0 5 times  
0.0 6 to 10 times  
0.0 11 or more times

17. Within the last two months, how often have you been attacked by an inmate? (check one)  $N = 71$

85.9 never  
8.5 once only  
4.2 2 times  
1.4 3 times  
0.0 4 times  
0.0 5 times  
0.0 6 to 10 times  
0.0 11 or more times

18. How would you describe the feeling in this prison now? Would you say it is: (check one)  $N = 72$

30.6 tense, uptight, everyone nervous most of the time  
63.9 somewhat tense, possibility of fights often  
4.2 relaxed, only a few fights  
1.4 very relaxed, not much nervousness

19. Have you heard before today that there is to be a new inmate grievance procedure here?  $N = 72$

79.2 yes  
20.8 no

If yes, please answer (a) and (b):

- a. When did you first hear about it? (check one)  $N = 57$

7.0 a few days ago  
22.8 1 or 2 weeks ago  
28.1 3 or 4 weeks ago  
42.1 more than a month ago

- b. How did you first hear about it? (check one)  $N = 59$

62.5 from another correctional officer  
20.3 from an inmate  
16.9 from the Superintendent or his staff  
0.0 from a prison newspaper or bulletin  
0.0 from a special film or TV tape shown in the prison  
1.7 a city newspaper or magazine  
8.5 other (specified)

20. The new inmate grievance procedure will do more harm than good.  
(circle one)  $N = 71$

<u>8.5</u>		<u>12.7</u>		<u>36.6</u>		<u>28.2</u>		<u>14.1</u>
strongly								strongly
disagree	/	disagree	/	undecided	/	agree	/	agree

21. The new inmate grievance procedure will solve some of this prison's biggest problems. (circle one)  $N = 71$

<u>18.3</u>		<u>39.4</u>		<u>28.2</u>		<u>8.5</u>		<u>5.6</u>
strongly								strongly
disagree	/	disagree	/	undecided	/	agree	/	agree

22. The new inmate grievance procedure will help the inmates and hurt the staff. (circle one)  $N = 68$

<u>5.9</u>		<u>19.1</u>		<u>25.0</u>		<u>32.4</u>		<u>17.6</u>
strongly								strongly
disagree	/	disagree	/	undecided	/	agree	/	agree

23. The new inmate grievance procedure cannot do any serious harm.  
(circle one)  $N = 70$

<u>18.6</u>		<u>40.0</u>		<u>21.4</u>		<u>18.6</u>		<u>1.4</u>
strongly								strongly
disagree	/	disagree	/	undecided	/	agree	/	agree

24. The new inmate grievance procedure is sure to be effective. (circle one)  $N = 70$

<u>18.6</u>		<u>37.1</u>		<u>34.3</u>		<u>10.0</u>		<u>0.0</u>
strongly								strongly
disagree	/	disagree	/	undecided	/	agree	/	agree

25. The new inmate grievance procedure shows common sense. (circle one)  $N = 70$

<u>18.6</u>		<u>24.3</u>		<u>31.4</u>		<u>21.4</u>		<u>4.3</u>
strongly								strongly
disagree	/	disagree	/	undecided	/	agree	/	agree

26. When the new grievance procedure begins, do you think that most inmate complaints will be worked out: (check one)  $N = 70$

<u>4.3</u>	very well
<u>30.0</u>	pretty well
<u>44.3</u>	not very well
<u>21.4</u>	very poorly

27. How much do you think most correctional officers care about the successful working out of inmate grievances? (check one)  $N = 70$

<u>21.4</u>	very much
<u>37.1</u>	somewhat
<u>24.3</u>	a little
<u>17.1</u>	not at all

28. Do you think the new procedures will improve the relationships between inmates here? (check one)  $N = 69$

5.8 yes, a lot  
17.4 yes, some  
24.6 a little  
50.7 no, not at all  
1.4 don't know

29. Do you think the new procedures will improve inmate/staff relationships? (check one)  $N = 68$

4.4 yes, a lot  
16.2 yes, some  
36.8 a little  
41.2 no, not at all  
1.5 don't know

30. When it comes to filing a grievance, do you think most of the inmates will: (check only one)  $N = 67$

85.1 file whenever they feel like it  
9.0 file only if really necessary  
4.5 not file if they can help it  
1.5 not file at all

31. When the new procedure begins, how do you expect most officers will feel toward inmates filing grievances? (check only one)  $N = 69$

6.3 accept it totally  
23.2 accept it with some doubt  
43.5 be suspicious of it  
27.5 not want anything to do with it

32. After the new procedure begins here, how do you think the inmates will feel about filing complaints or grievances? (check only one)  $N = 68$

79.4 very comfortable, willing to file  
19.1 hesitant, reluctant to file  
1.5 very uncomfortable, very unwilling to file

33. Do you think the new grievance system will increase the inmate complaints about:

a. major institutional rules and procedures  $N = 70$

87.1 yes  
10.0 no  
2.9 don't know

b. correctional officers  $N = 70$

85.7 yes  
8.6 no  
5.7 don't know

c. trivial matters that are only a waste of time  $N = 69$ .

79.7 yes  
8.7 no  
11.6 don't know

\*\*\*\*\*

Here are some questions about the way complaints by inmates are handled now.

34. Is there a particular person on the staff or a committee which is supposed to handle inmates complaints? (check one)  $N = 70$

70.0 yes  
8.6 no  
21.4 don't know

35. In general, are complaints handled fairly? (check one)  $N = 70$

8.6 always  
57.1 most of the time  
8.6 some of the time  
7.1 seldom  
1.4 never  
17.1 don't know

36. In general, are complaints handled quickly? (check one)  $N = 71$

5.6 always  
43.7 most of the time  
25.4 some of the time  
8.6 seldom  
0.0 never  
19.7 don't know

37. In general, is there a written reply to complaints? (check one)  $N = 70$

7.1 always  
20.0 most of the time  
28.6 some of the time  
10.0 seldom  
2.9 never  
31.4 don't know

38. When an inmate has a complaint about something here, who is he supposed to go to first about his problem? (check one)  $N = 70$

1.4 another inmate  
35.7 an officer  
51.4 a counselor or teacher  
4.3 the Inmate Awareness Committee  
0.0 the Superintendent  
7.1 other (specified)

39. Under the present procedure, what happens after the Inmate Awareness Committee meets to discuss the inmate's complaint? (check all that are correct)  $N = 72$

Yes  
40.3  
23.6  
11.1  
2.8  
46.3

No  
59.7 send recommendation to Superintendent  
76.4 notify inmate of their recommendation  
88.9 meet with Disciplinary Hearings Officer  
97.2 send recommendation to Commissioner  
59.7 don't know

40. As things now operate, about how often are complaints by inmates handled in the following ways:

	Frequently	Seldom	Never	
a. inmate with complaint does nothing and lets it drop	<u>37.3</u>	<u>47.5</u>	<u>15.3</u>	$N = 59$
b. inmate with complaint talks to another inmate who straightens it out with an officer	<u>17.9</u>	<u>73.2</u>	<u>8.9</u>	$N = 56$
c. inmate with complaint talks directly to an officer	<u>49.1</u>	<u>47.5</u>	<u>3.4</u>	$N = 59$
d. inmate writes to Superintendent	<u>74.1</u>	<u>24.1</u>	<u>1.7</u>	
e. inmate writes to Commissioner	<u>42.3</u>	<u>44.2</u>	<u>13.5</u>	
f. inmate files formal complaint with Inmate Awareness Committee	<u>55.6</u>	<u>42.6</u>	<u>1.9</u>	

41. How do you think most of the correctional officers personally feel about inmates who make complaints to the Superintendent? (check one)  $N = 67$

44.8 they don't care  
6.0 they give the inmates a hard time about it  
22.4 they encourage inmates to do it  
26.9 don't know

42. How does the way inmates' complaints are handled here compare with other prisons where you have worked or heard about? (check one)  $N = 69$

13.0 this one is worse  
17.4 about the same  
10.0 this one is better  
59.4 don't know

43. How do you think most inmates generally feel about other inmates who make complaints to the Inmate Awareness Committee? (check one)  $N = 70$

37.1 they don't care  
1.4 they give them a hard time about it  
35.7 they encourage them to do it  
25.7 don't know

44. How do you think most inmates generally feel about other inmates who make complaints to the Superintendent? (check one) **N = 70**

31.4 they don't care  
7.1 they given them a hard time about it  
48.6 they encourage them to do it  
12.9 don't know

45. Does the Superintendent really care about the complaints the inmates have? (check one) **N = 69**

0.0 no, he doesn't care  
0.0 yes, he gives them a hard time about it  
47.8 yes, he encourages them to make complaints  
52.2 don't know

46. Generally speaking, do other correctional officers here care about the complaints the inmates have? (check one) **N = 67**

26.9 no, they don't care  
6.0 yes, they given them a hard time about it  
26.9 yes, they encourage them to make complaints  
40.3 don't know

\*\*\*\*\*

**SEE NEXT PAGE**

Now we want to get some idea of how you personally feel about things. We are not interested in how you think others feel; we want your personal opinions. For each of the following statements, please put the number which best represents your opinion in the space to the left.

Strongly Disagree	/	Disagree	/	Undecided	/	Agree	/	Strongly Agree
(1)		(2)		(3)		(4)		(5)

- \_\_\_ 47. A criminal should be punished first, then we can worry about reform.
- \_\_\_ 48. Most of the problems that inmates have are caused by inmates themselves.
- \_\_\_ 49. Militant inmates here make my job more difficult.
- \_\_\_ 50. If given the chance, most inmates are capable of taking care of themselves on the outside.
- \_\_\_ 51. I have developed friendship with a few inmates.
- \_\_\_ 52. Most inmates really can't be rehabilitated.

	Strongly Disagree	Disagree	Undecided	Agree	Strongly Agree
47. A criminal should be punished first, then we can worry about reform. <i>N=69</i>	<u>8.7</u>	<u>21.7</u>	<u>7.2</u>	<u>34.8</u>	<u>27.5</u>
48. Most of the problems that inmates have are caused by inmates themselves. <i>N=70</i>	<u>1.4</u>	<u>7.1</u>	<u>1.4</u>	<u>44.3</u>	<u>45.7</u>
49. Militant inmates here make my job more difficult. <i>N=70</i>	<u>1.4</u>	<u>5.7</u>	<u>5.7</u>	<u>38.6</u>	<u>48.6</u>
50. If given the chance, most inmates are capable of taking care of themselves on the outside. <i>N=69</i>	<u>10.1</u>	<u>46.4</u>	<u>10.1</u>	<u>23.2</u>	<u>10.1</u>
51. I have developed a friendship with a few inmates. <i>N=68</i>	<u>13.2</u>	<u>11.8</u>	<u>7.4</u>	<u>52.9</u>	<u>14.7</u>
52. Most inmates really can't be rehabilitated. <i>N=68</i>	<u>4.4</u>	<u>32.4</u>	<u>16.2</u>	<u>26.5</u>	<u>20.6</u>
53. Most inmates respect me as a correctional employee. <i>N=69</i>	<u>10.1</u>	<u>13.0</u>	<u>14.5</u>	<u>50.7</u>	<u>11.6</u>
54. A correctional employee must always enforce the rules to the letter, even if it angers inmate leaders. <i>N=69</i>	<u>2.9</u>	<u>23.2</u>	<u>5.8</u>	<u>42.0</u>	<u>26.1</u>
55. Inmates here have too many legal rights. <i>N=69</i>	<u>2.9</u>	<u>10.1</u>	<u>4.3</u>	<u>40.6</u>	<u>42.0</u>
56. Most criminals do not benefit from punishment.	<u>14.5</u>	<u>26.1</u>	<u>14.5</u>	<u>33.3</u>	<u>11.6</u>
57. A criminal will go straight only when he finds that prison life is hard. <i>N=68</i>	<u>5.9</u>	<u>32.4</u>	<u>11.8</u>	<u>25.0</u>	<u>25.0</u>
58. Hard prison life will keep men from committing crime. <i>N=69</i>	<u>5.8</u>	<u>39.1</u>	<u>11.6</u>	<u>23.2</u>	<u>20.3</u>
59. If inmates come to me for help, I would try to help them. <i>N=68</i>	<u>0.0</u>	<u>1.5</u>	<u>1.5</u>	<u>80.9</u>	<u>16.2</u>
60. Inmates are easier to control by privately talking to the inmate leaders than by enforcing all the rules. <i>N=69</i>	<u>24.6</u>	<u>39.1</u>	<u>14.5</u>	<u>20.3</u>	<u>1.4</u>



	<u>Strongly Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly Agree</u>
61. New changes and reforms are weakening the authority of the correctional officers. <i>N=69</i>	<u>1.4</u>	<u>5.8</u>	<u>1.4</u>	<u>44.9</u>	<u>46.4</u>
62. Inmates are never to be trusted. <i>N=69</i>	<u>4.3</u>	<u>44.9</u>	<u>7.2</u>	<u>29.0</u>	<u>14.5</u>
63. Harsh treatment only makes the inmate more bitter. <i>N=68</i>	<u>11.8</u>	<u>23.5</u>	<u>17.6</u>	<u>32.4</u>	<u>14.7</u>

THANK YOU FOR YOUR HELP.

FIGURES ARE EXPRESSED  
IN PERCENTAGES EXCEPT  
WHERE OTHERWISE SPECIFIED

-571-

CANON CITY MAXIMUM  
FACILITY  
CORRECTED 9-29-76

N = Number of Respondents  
per Question

June 1976

COLORADO  
INMATE SURVEY

Community Conflict Resolution Program  
University of Missouri-St. Louis  
St. Louis, Missouri 63121

James Laue  
John Hepburn  
Martha Becker

\* \* \* \* \*

1. How often do you get visits from friends or relatives? (check one) N = 114

<u>7.9</u>	never
<u>2.6</u>	about 4 times a week or more
<u>3.5</u>	about 2-3 times a week
<u>16.7</u>	about once a week
<u>7.0</u>	about once every two weeks
<u>18.4</u>	at least once a month
<u>43.9</u>	less than once a month

2. How often do you get letters from outside? (check one) N = 115

<u>2.6</u>	never
<u>17.4</u>	almost every day
<u>5.2</u>	about 4 or 5 times a week
<u>28.7</u>	about 2-3 times a week
<u>34.8</u>	at least once a month
<u>11.3</u>	less than once a month

3. Here is a list of some possible complaints which you might have.  
Please check all those which you feel are a problem for you. N = 116

Yes	No	
<u>68.1</u>	<u>31.9</u>	food served
<u>55.2</u>	<u>44.8</u>	clothing issued
<u>59.5</u>	<u>40.5</u>	recreational opportunities
<u>56.9</u>	<u>43.1</u>	medical services
<u>35.3</u>	<u>64.7</u>	visitation rules
<u>51.7</u>	<u>48.3</u>	legal services
<u>57.8</u>	<u>42.2</u>	personal privacy
<u>54.3</u>	<u>45.7</u>	treatment by correctional officers
<u>58.6</u>	<u>41.4</u>	treatment by administrators
<u>81.9</u>	<u>18.1</u>	job training and educational opportunities

4. If a group of inmates strongly feels that the staff is treating them unfairly, what kinds of actions do you think they have a right to take in order to change the situation? (Check any that you would do).  $N = 116$

Yes	No	
<u>52.6</u>	<u>47.4</u>	Hold a meeting to talk about what's happening.
<u>47.4</u>	<u>52.6</u>	Bring it to the attention of the Inmate Awareness Committee
<u>44.0</u>	<u>56.0</u>	Go talk to the Superintendent.
<u>26.7</u>	<u>73.3</u>	Write a letter to the Superintendent
<u>33.6</u>	<u>66.4</u>	Write a letter to the Commissioner in Denver
<u>35.3</u>	<u>64.7</u>	Send a letter to the newspaper
<u>34.5</u>	<u>65.5</u>	File a law suit
<u>35.3</u>	<u>64.7</u>	Do something to call attention to your cause even though it may be against the rules
<u>49.1</u>	<u>50.9</u>	Do whatever it takes to get the job done

5. To the best of your knowledge, how often do these things happen here? (Check one for each question).

- a. fights between inmates  $N = 109$

<u>3.7</u>	never
<u>18.3</u>	about once a month
<u>29.4</u>	about once a week
<u>17.4</u>	about 2 or 3 times a week
<u>8.3</u>	about 4 to 6 times a week
<u>11.9</u>	at least once a day
<u>9.2</u>	more than once a day
<u>1.8</u>	don't know

- b. fights between inmates and staff  $N = 109$

<u>17.4</u>	never
<u>42.2</u>	about once a month
<u>9.2</u>	about once a week
<u>8.3</u>	about 2 or 3 times a week
<u>2.8</u>	about 4 to 6 times a week
<u>10.1</u>	at least once a day
<u>8.3</u>	more than once a day
<u>1.8</u>	don't know

- c. something in the prison damaged by an inmate  $N = 105$

<u>19.1</u>	never
<u>28.6</u>	about once a month
<u>15.2</u>	about once a week
<u>8.6</u>	about 2 or 3 times a week
<u>1.9</u>	about 4 to 6 times a week
<u>13.3</u>	at least once a day
<u>11.4</u>	more than once a day
<u>1.9</u>	don't know

(cont.)

- d. verbal abuse of an inmate by staff  $N = 114$

<u>7.9</u>	never
<u>13.2</u>	about once a month
<u>9.6</u>	about once a week
<u>10.5</u>	about 2 or 3 times a week
<u>10.5</u>	about 4 to 6 times a week
<u>20.2</u>	at least once a day
<u>27.2</u>	more than once a day
<u>0.9</u>	don't know

- e. something stolen from an inmate  $N = 113$

<u>8.8</u>	never
<u>10.6</u>	about once a month
<u>14.2</u>	about once a week
<u>13.3</u>	about 2 or 3 times a week
<u>8.0</u>	about 4 to 6 times a week
<u>15.0</u>	at least once a day
<u>27.4</u>	more than once a day
<u>1.8</u>	don't know

6. Within the last two months, how often have you had a piece of clothing or other personal possession torn, broken or ruined?  $N = 113$

<u>26.5</u>	never
<u>21.2</u>	once only
<u>16.8</u>	2 times
<u>6.2</u>	3 times
<u>10.6</u>	4 times
<u>8.0</u>	5 times
<u>3.5</u>	6 to 10 times
<u>7.1</u>	11 or more times

7. Within the last two months, how often have you had something you owned stolen from you?  $N = 114$

<u>43.9</u>	never
<u>23.7</u>	once only
<u>18.4</u>	2 times
<u>7.9</u>	3 times
<u>0.0</u>	4 times
<u>2.6</u>	5 times
<u>2.6</u>	6 to ten times
<u>0.9</u>	11 or more times

8. Within the last two months, how often have you been in a fight with another inmate or had another inmate attack you?  $N = 115$

<u>71.3</u>	never
<u>12.2</u>	once only
<u>10.4</u>	2 times
<u>0.9</u>	3 times
<u>3.5</u>	4 times
<u>0.0</u>	5 times
<u>0.9</u>	6 to 10 times
<u>0.9</u>	11 or more times

9. Within the last two months, how often have you been in a fight with a correctional officer?  $N = 113$

75.2 never  
10.6 once only  
6.2 2 times  
3.5 3 times  
3.5 4 times  
0.0 5 times  
0.0 6 to 10 times  
0.9 11 or more times

10. How would you describe the feeling in this prison now? Would you say it is: (check one)  $N = 114$

59.6 tense, uptight, everyone nervous most of the time  
35.1 somewhat tense, possibility of fights often  
5.3 relaxed, only a few problems  
0.0 very relaxed, not much nervousness

11. Have you heard from anyone before today that there is to be a new inmate grievance procedure here?  $N = 116$

69.0 yes  
31.0 no

If yes, please answer (a) and (b):

- a. When did you first hear about it? (check one)  $N = 112$

17.9 a few days ago  
22.3 1 or 2 weeks ago  
16.1 3 or 4 weeks ago  
11.6 more than a month ago  
not applicable

- b. How did you first hear about it? (check one)  $N = 116$

44.8 from another inmate  
3.4 from a corrections officer  
5.2 from a teacher or counselor  
1.7 from the Superintendent or his staff  
0.0 from a special film or TV tape shown in the prison  
6.9 a prison newspaper or bulletin  
0.9 a city newspaper or a magazine  
0.7 from a friend or relative from outside the prison  
3.4 other (Specified / 1.7 Unspecified)  
31.0 not applicable

12. The new inmate grievance procedure will do more harm than good. (circle one)  $N = 109$

<u>20.2</u>		<u>18.3</u>		<u>48.6</u>		<u>5.5</u>		<u>7.3</u>
Strongly								Strongly
Disagree	/	Disagree	/	Undecided	/	Agree	/	Agree

13. The new inmate grievance procedure will solve some of this prison's biggest problems. (circle one)  $N = 110$

<u>3.6</u>		<u>15.5</u>		<u>49.1</u>		<u>20.0</u>		<u>11.8</u>
Strongly								Strongly
Disagree	/	Disagree	/	Undecided	/	Agree	/	Agree

14. The new inmate grievance procedure will help the inmates and hurt the staff. (circle one)  $N = 110$

13.6		40.0		38.2		4.5		3.6
Strongly								Strongly
Disagree	/	Disagree	/	Undecided	/	Agree	/	Agree

15. The new inmate grievance procedure cannot do any serious harm. (circle one)  $N = 109$

4.6		10.1		37.6		35.8		11.9
Strongly								Strongly
Disagree	/	Disagree	/	Undecided	/	Agree	/	Agree

16. The new inmate grievance procedure is sure to be effective. (circle one)  $N = 110$

2.7		16.4		60.0		17.3		3.6
Strongly								Strongly
Disagree	/	Disagree	/	Undecided	/	Agree	/	Agree

17. The new inmate grievance procedure shows common sense. (circle one)  $N = 110$

1.8		3.6		30.0		52.7		11.8
Strongly								Strongly
Disagree	/	Disagree	/	Undecided	/	Agree	/	Agree

18. When the new grievance procedure begins, do you think that most inmate complaints will be worked out: (check one only)  $N = 110$

<u>6.4</u>	very well
<u>38.2</u>	pretty well
<u>28.2</u>	not very well
<u>23.6</u>	very poorly
<u>3.6</u>	don't know

19. How much do you think staff will care about the successful working out of inmate grievances? (check one)  $N = 113$

<u>8.0</u>	very much
<u>14.2</u>	somewhat
<u>31.9</u>	a little
<u>46.0</u>	not at all

20. Do you think the new procedures will improve relationships with other inmates here? (check one)  $N = 112$

<u>12.5</u>	yes, a lot
<u>29.5</u>	yes, some
<u>34.8</u>	a little
<u>21.4</u>	no, not at all
<u>1.8</u>	don't know

21. Do you think the new procedures will improve inmate/staff relationships? (check one)  $N = 113$

<u>6.2</u>	yes, a lot
<u>15.9</u>	yes, some
<u>37.2</u>	a little
<u>38.9</u>	no, not at all
<u>1.8</u>	don't know

22. After the new procedure begins here, do you think you will feel comfortable filing complaints or grievances? (check only one)  $N = 114$

17.5 most of the time  
23.7 some of the time  
21.1 seldom  
18.4 never  
19.3 don't know

23. When the new procedure begins, how do you expect staff will feel toward inmates filing grievances? (check only one)  $N = 113$

1.8 accept it totally  
21.2 accept it with some doubt  
40.7 be suspicious of it  
36.3 not want anything to do with it

24. When it comes to filing a grievance, do you think most of the inmates will: (check only one)  $N = 113$

14.2 file whenever they feel like it  
48.7 file only if really necessary  
23.9 not file if they can help it  
12.4 not file at all  
0.9 don't know

Here are some questions about the way complaints by inmates are handled now. Please answer to the best of your knowledge.

25. If you have a complaint about something here, who would you go to first? (check one)  $N = 108$

23.1 another inmate who might be able to help me  
8.3 an officer I can talk to  
15.7 a counselor or teacher  
25.9 the Inmate Awareness Committee  
8.3 the Superintendent  
18.5 other

26. How do you think most of the correctional officers generally feel about inmates who make complaints to the Superintendent? (check one)  $N = 112$

21.4 they don't care  
52.7 they give us a hard time about it  
2.7 they encourage us to do it  
23.2 don't know

27. How do most of the correctional officers feel about inmates who make complaints to the Inmate Awareness Committee? (check one)  $N = 113$

31.9 they don't care  
38.9 they give us a hard time about it  
0.9 they encourage us to do it  
28.3 don't know

28. How do most of the inmates generally feel about those inmates who make complaints to the Inmate Awareness Committee? (check one)  $N = 112$

29.5 they don't care  
8.0 they give them a hard time about it  
30.4 they encourage them to do it  
32.1 don't know

29. How do most of the inmates feel about those inmates who make complaints to the Superintendent? (check one)  $N = 110$

19.1 they don't care  
11.8 they give them a hard time about it  
32.7 they encourage them to do it  
36.4 don't know

30. How does the way complaints are handled at this institution compare with other prisons you have been in or heard about? (check one)  $N = 110$

50.0 this one is worse  
8.2 about the same  
2.7 this one is better  
39.1 don't know

31. Generally speaking, does the correctional staff here care about the complaints the inmates have? (check one)  $N = 108$

74.1 no, they don't care  
10.2 yes, they give us a hard time about it  
2.8 yes, they encourage us to make complaints  
13.0 don't know

32. Does the Superintendent care about the complaints the inmates have?  $N = 109$   
 (check one)

57.8 no, he doesn't care  
9.2 yes, he gives us a hard time about it  
4.6 yes, he encourages us to make complaints  
28.4 don't know

33. Is there a particular person on the staff or a committee which is supposed to handle inmates' complaints? (check one)  $N = 109$

38.5 yes  
22.0 no  
39.4 don't know

34. Do you know anyone who has complained to this person or committee? (check one)  $N = 106$

48.1 yes  
57.9 no



35. In general, are complaints handled quickly? (check one)  $N = 109$

<u>3.7</u>	always
<u>1.8</u>	most of the time
<u>11.9</u>	some of the time
<u>34.9</u>	seldom
<u>32.1</u>	never
<u>15.6</u>	don't know

36. In general, are complaints handled fairly, (check one)  $N = 110$

<u>0.9</u>	always
<u>0.9</u>	most of the time
<u>13.6</u>	some of the time
<u>38.2</u>	seldom
<u>26.4</u>	never
<u>20.0</u>	don't know

37. In general, is there a written reply to complaints? (check one)  $N = 108$

<u>4.6</u>	always
<u>5.6</u>	most of the time
<u>10.2</u>	some of the time
<u>28.7</u>	seldom
<u>25.0</u>	never
<u>25.9</u>	don't know

\* \* \* \* \*

Now we want to get some idea of how you personally feel about things. We are not interested in how you think others feel; we want your personal opinions. For each statement we read, please indicate whether you agree or disagree with that statement.

Strongly						Strongly
Disagree	/	Disagree	/	Undecided	/	Agree
						Agree

As you can see on the scale above from left to right,

- 1 means strong disagreement with the statement
- 2 means disagree, but not so strongly
- 3 means you are undecided
- 4 means you agree, but not strongly
- 5 means you strongly agree.

There are no right or wrong answers here, so please tell us what you feel by putting the number in the space for each item.

	Strongly Disagree	Disagree	Undecided	Agree	Strongly Agree
38. None of us have any influence on how we are treated here. <i>N=109</i>	<u>12.8</u>	<u>19.3</u>	<u>7.3</u>	<u>29.4</u>	<u>31.2</u>
39. The kind of guys I hang around with here are really a lot like most of the people I knew on the street. <i>N=110</i>	<u>37.3</u>	<u>32.7</u>	<u>6.4</u>	<u>16.4</u>	<u>7.3</u>
40. The government has no right to put poor people in prison when all they have done is try to survive in an unjust system. <i>N=110</i>	<u>8.2</u>	<u>28.2</u>	<u>14.5</u>	<u>15.5</u>	<u>33.6</u>
41. There is really not much I can do about what happens to me here. <i>N=109</i>	<u>18.3</u>	<u>29.4</u>	<u>9.2</u>	<u>22.0</u>	<u>21.1</u>
42. Who you know is more important that what you know. <i>N=110</i>	<u>16.4</u>	<u>14.5</u>	<u>4.5</u>	<u>29.1</u>	<u>35.5</u>
43. I feel more and more helpless when I see what's going on around here. <i>N=112</i>	<u>9.8</u>	<u>10.7</u>	<u>8.0</u>	<u>44.6</u>	<u>26.8</u>
44. When you do the kind of work I do on the street you just have to expect to pull a few years in prison once in a while. <i>N=111</i>	<u>47.7</u>	<u>27.9</u>	<u>6.3</u>	<u>11.7</u>	<u>6.3</u>
45. You have to take care of yourself because nobody else is going to take care of you. <i>N=112</i>	<u>3.6</u>	<u>3.6</u>	<u>0.9</u>	<u>24.8</u>	<u>65.2</u>
46. If you know the right people, you can get just about anything you want around here. <i>N=112</i>	<u>6.3</u>	<u>11.6</u>	<u>10.7</u>	<u>34.8</u>	<u>36.6</u>
47. Inmates can improve their own conditions here by cooperating with the staff. <i>N=112</i>	<u>46.4</u>	<u>28.6</u>	<u>11.6</u>	<u>8.9</u>	<u>4.5</u>
48. All officers belong in one class and should be treated about the same way. <i>N=111</i>	<u>19.8</u>	<u>25.2</u>	<u>13.5</u>	<u>18.9</u>	<u>22.5</u>
49. Americans prisons are just like concentration camps for the poor people, black people and other oppressed minorities. <i>N=112</i>	<u>8.0</u>	<u>19.6</u>	<u>9.8</u>	<u>27.7</u>	<u>34.8</u>

		<u>Strongly Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly Agree</u>
50.	If you stop and think about it, most of the rules they have here make pretty good sense. <i>N=112</i>	<u>44.6</u>	<u>28.6</u>	<u>10.7</u>	<u>13.4</u>	<u>2.7</u>
51.	We are totally powerless to control what happens to us in this institution. <i>N=112</i>	<u>11.6</u>	<u>22.3</u>	<u>8.9</u>	<u>26.8</u>	<u>30.4</u>
52.	I feel more like a political prisoner than like a criminal. <i>N=110</i>	<u>7.3</u>	<u>23.6</u>	<u>8.2</u>	<u>32.7</u>	<u>28.2</u>
53.	You really can't expect people to think much of you if you are willing to back away from trouble. <i>N=109</i>	<u>12.8</u>	<u>30.3</u>	<u>10.1</u>	<u>28.4</u>	<u>18.3</u>
54.	The staff here would rather do things for a few inmates who will inform on others or who do just what they are told than do anything about the problems the rest of us have. <i>N=111</i>	<u>4.5</u>	<u>4.5</u>	<u>8.1</u>	<u>22.5</u>	<u>60.4</u>
55.	As inmates, we all share the same problems and have the same interests. <i>N=112</i>	<u>17.9</u>	<u>43.8</u>	<u>7.1</u>	<u>20.5</u>	<u>10.7</u>
56.	The biggest criminals can fix anything and rarely go to prison. <i>N=110</i>	<u>10.0</u>	<u>6.4</u>	<u>8.2</u>	<u>30.0</u>	<u>45.5</u>
57.	You have to be hard to make it here. <i>N=112</i>	<u>4.5</u>	<u>27.7</u>	<u>7.1</u>	<u>32.1</u>	<u>28.6</u>
58.	You have to do what you can to help other inmates even when it might get you in trouble with the officers. <i>N=111</i>	<u>7.2</u>	<u>29.7</u>	<u>16.2</u>	<u>32.4</u>	<u>14.4</u>
59.	Since everyone thinks I'm a criminal, I might as well go ahead and be one when I leave here. <i>N=112</i>	<u>52.7</u>	<u>32.1</u>	<u>3.6</u>	<u>6.3</u>	<u>5.4</u>
60.	The solution to the problem of crime is to tear down the prisons and rebuild the whole society that forces people into crime. <i>N=113</i>	<u>8.8</u>	<u>20.4</u>	<u>14.2</u>	<u>21.2</u>	<u>35.4</u>

		<u>Strongly</u> <u>Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly</u> <u>Agree</u>
61.	I was right in doing what I did and I'd do it again even if I knew I'd get arrested again. <i>N=111</i>	<u>45.0</u>	<u>26.1</u>	<u>9.0</u>	<u>5.4</u>	<u>14.4</u>
62.	I don't have much in common with people who never break the law. <i>N=113</i>	<u>24.8</u>	<u>49.6</u>	<u>7.1</u>	<u>15.0</u>	<u>3.5</u>
63.	Most inmates are nothing more than victims of an unjust society. <i>N=112</i>	<u>8.9</u>	<u>24.1</u>	<u>15.2</u>	<u>33.9</u>	<u>17.9</u>
64.	It is O.K. to hang around with people who break the law as long as you stay clean yourself. <i>N=111</i>	<u>14.4</u>	<u>35.1</u>	<u>15.3</u>	<u>28.8</u>	<u>6.3</u>
65.	When inmates stick together it's a lot easier to do time. <i>N=113</i>	<u>2.7</u>	<u>9.7</u>	<u>13.3</u>	<u>32.7</u>	<u>41.6</u>
66.	When I get out of here I want to do what I can for others who may still be in prison. <i>N=113</i>	<u>3.5</u>	<u>8.8</u>	<u>27.4</u>	<u>33.6</u>	<u>26.5</u>
67.	Most of the people on the staff are willing to go out of their way to help an inmate. <i>N=113</i>	<u>72.6</u>	<u>19.5</u>	<u>3.5</u>	<u>3.5</u>	<u>0.9</u>
68.	I have developed a friendship with a few of the officers. <i>N=112</i>	<u>33.0</u>	<u>25.0</u>	<u>14.3</u>	<u>24.1</u>	<u>3.6</u>
69.	It would be pretty hard for anyone to ever make me mad enough that I'd fight them. <i>N=113</i>	<u>21.2</u>	<u>40.7</u>	<u>15.0</u>	<u>14.2</u>	<u>8.8</u>
70.	I depend on my friends here for advice and help in dealing with the staff. <i>N=113</i>	<u>13.3</u>	<u>41.6</u>	<u>14.2</u>	<u>27.4</u>	<u>3.5</u>
71.	The other inmates are right when they say "don't do anything more than you have to." <i>N=113</i>	<u>10.6</u>	<u>38.9</u>	<u>16.8</u>	<u>24.8</u>	<u>8.8</u>
72.	The real power in this place, as it affects my life here, is controlled by inmate leaders, not staff. <i>N=112</i>	<u>25.9</u>	<u>37.5</u>	<u>14.3</u>	<u>17.0</u>	<u>5.4</u>

	Strongly Disagree	Disagree	Undecided	Agree	Strongly Agree
73. An officer is never to be trusted. <i>N=113</i>	<u>6.2</u>	<u>23.0</u>	<u>13.3</u>	<u>22.1</u>	<u>35.4</u>
74. We are allowed to make a lot of decisions for ourselves here. <i>N=113</i>	<u>40.7</u>	<u>35.4</u>	<u>4.4</u>	<u>15.0</u>	<u>4.4</u>
75. Even though I broke the law, I was right to do it by my moral standards. <i>N=107</i>	<u>22.4</u>	<u>29.9</u>	<u>9.3</u>	<u>22.4</u>	<u>15.9</u>
76. If you ever do have to fight, you're smart to do a good enough job on the other guy that he'll never come back for more. <i>N=111</i>	<u>4.5</u>	<u>5.4</u>	<u>7.2</u>	<u>31.5</u>	<u>51.4</u>
77. The reason I'm in here is because I did what everyone else does, only I got caught. <i>N=109</i>	<u>25.7</u>	<u>35.8</u>	<u>7.3</u>	<u>19.3</u>	<u>11.9</u>
78. This place is run in such a way that makes it easy for the staff but without showing much consideration for the needs and desires of inmates. <i>N=112</i>	<u>3.6</u>	<u>4.5</u>	<u>5.4</u>	<u>20.5</u>	<u>66.1</u>
79. I shouldn't be in prison for doing something that I had to do to survive. <i>N=109</i>	<u>6.4</u>	<u>27.5</u>	<u>18.3</u>	<u>19.3</u>	<u>28.4</u>

Now we would like some general information about you.

80. Race or Ethnicity (check one)  $N=112$

17.9 Black  
48.2 White  
26.8 Spanish speaking, Latin  
3.6 American Indian  
3.6 Other

81. Religion  $N=110$

31.8 Protestant  
21.8 Roman Catholic  
3.6 Jewish  
3.6 Black Muslim (Elijah Muhammad)  
0.9 Sunni Muslim  
18.2 Other  
20.0 None

82. Marital Status (check one)  $N=108$

24.1 married now  
15.7 divorced since coming to prison  
11.1 divorced before coming to prison  
6.5 separated before coming to prison  
2.8 widowed before coming to prison  
2.8 widowed since coming to prison  
36.1 single - never married

83. Education (check one)  $N=109$

3.7 less than 7th grade  
21.1 7th - 9th grade  
17.4 10th - 11th grade  
16.5 high school graduate  
37.6 some college  
3.7 some vocational or trade school after high school  
0.0 completed college  
0.0 none

84. How old are you?  $N=110$

Average  
28.8

85. How many times have you been in prison?  $N=108$

1.0

86. What is the total number of years you have spent in prison?  $N=105$

11.5

87. How old were you when first arrested by the police?  $N=107$

16.8

88. How long have you been at this prison?  $N=110$

12 to 23 mos.  
yrs./mos.

89. How long before you will be released from prison?  $N=97$

5 or more years  
yrs./mos.

90. How many years and months have you already served on this sentence?  $N=107$

12 to 23 mos.  
yrs./mos.

Thank you for your help

Kirkland Facility  
South Carolina

FIGURES ARE EXPRESSED  
IN PERCENTAGES EXCEPT  
WHERE OTHERWISE SPECIFIED

Aug. 1, 1976

N = NUMBER OF RESPONDENTS  
PER QUESTION.

SOUTH CAROLINA  
STAFF SURVEY

Community Conflict Resolution Program  
University of Missouri-St. Louis  
St. Louis, Missouri 63121

James Laue  
John Hepburn  
Martha Becker

\* \* \* \* \*

The Community Conflict Resolution Program of St. Louis has been asked to monitor the new inmate grievance procedure in the Kirkland Correctional Institution. As part of our task we are seeking information from inmates, correctional officers and the Superintendent and his staff.

This questionnaire is an attempt to find out how you and other correctional officers like yourself feel about a number of things. You are not asked to identify yourself, so please do not put your name on this questionnaire. Your answers will be completely confidential.

First, we would like some general information about you.

1. What is your age? AVERAGE AGE = 33.8 N=58
2. Number of years of formal education: (circle the appropriate number)  
AVERAGE # OF YEARS OF EDUCATION = 13.2 N=62  

<u>Elementary</u>	<u>Secondary</u>	<u>College</u>
1 2 3 4 5 6 7 8	9 10 11 12	13 14 15 16 17+
3. Race or ethnicity (check one) N=62  

<u>40.3</u> Black	<u>1.6</u> American Indian
<u>56.5</u> White	<u>0.0</u> other
<u>1.6</u> Spanish surname	
4. What is your annual salary? (check one) N=62  

<u>83.9</u> below 7,000	<u>9.2</u> 11,001 - 12,000
<u>7.0</u> 7,001 - 8,000	<u>1.6</u> 12,001 - 13,000
<u>8.0</u> 8,001 - 9,000	<u>1.6</u> 13,001 - 14,000
<u>6.5</u> 9,001 - 10,000	<u>0.0</u> above 14,000
<u>3.2</u> 10,001 - 11,000	

AVERAGE INCOME = below \$9,000

5. How long have you been a correctional employee? (check one)  $N = 602$

22.6 6 months or less  
30.6 7-18 months  
12.9 19-24 months  
27.4 2-5 years  
4.8 6-8 years  
1.6 9-11 years  
0.0 12-14 years  
0.0 15 or more years

AVERAGE # OF YEARS  
 OF SERVICE = 7 to 18 months

6. How long have you been a correctional employee here? (check one)  $N = 602$

27.4 6 months or less  
37.1 7-18 months  
29.0 19-24 months  
6.5 2-5 years  
0.0 6-8 years  
0.0 9-11 years  
0.0 12-14 years  
0.0 15 or more years

AVERAGE # OF YEARS  
 OF SERVICE AT KIRKLAND S.C. =  
 7 to 18 months

7. Are you planning to make corrections a career?  $N = 60$

20.0 no  
40.0 yes  
6.7 don't know yet -- probably not  
33.3 don't know yet -- probably yes

8. Is your job here becoming more or less satisfying work?  $N = 62$

33.9 more satisfying  
29.0 less satisfying  
37.1 about the same

9. Based on your own experience, do you feel the inmates here are harder to deal with than they were six months ago?  $N = 58$

24.1 more difficult  
31.0 less difficult  
44.8 about the same

10. Based on your experience, would you recommend corrections as a career to someone just starting out?  $N = 61$

37.7 no  
34.4 yes  
27.9 don't know



11. Are the complaints by the inmates here about the same as they were six months ago?  $N' = 59$

32.2 no

59.3 yes

8.5 DON'T KNOW

12. Are the complaints by the staff here about the same as they were six months ago?  $N = 60$

13.3 no

80.0 yes

6.7 DON'T KNOW

13. If a group of inmates strongly feels that the staff is treating them unfairly, what kinds of actions do you think they have a right to take in order to change the situation? (check all that you feel are appropriate)  $N = 62$

yes

NO

53.2

46.8 hold a meeting to talk about what's happening

79.0

21.0 bring it to the attention of the Inmate Advisory Council

48.4

31.6 go talk to the Superintendent

54.8

45.2 write a letter to the Superintendent

9.7

90.3 send a letter to the newspaper

19.4

80.6 write a letter to the Commissioner in Columbia

11.3

88.7 file a law suit

4.8

95.2 do something to call attention to their cause even though it may be against the rules

6.5

93.5 do whatever it takes to get the job done

14. To the best of your knowledge how often do these things happen here? (check one for each question)  $N = 61$

a. fights between inmates

0.0 never

39.3 about once a month

9.8 about once every two weeks

8.2 about once a week

21.3 about 2 or 3 times a week

1.6 about 4 to 6 times a week

13.1 at least once a day

3.3 more than once a day

3.3 DON'T KNOW

b. fights between inmates and staff  $N = 56$

37.5 never

53.6 about once a month

0.0 about once every two weeks

1.8 about once a week

1.8 about 2 or 3 times a week

0.0 about 4 to 6 times a week

1.8 at least once a day

0.0 more than once a day

3.6 DON'T KNOW

c. something in the prison damaged by an inmate  $N=57$

- 8.8 never
- 24.3 about once a month
- 8.8 about once every two weeks
- 14.0 about once a week
- 10.5 about 2 or 3 times a week
- 3.5 about 4 to 6 times a week
- 12.3 at least once a day
- 12.3 more than once a day
- 3.5 *DON'T KNOW*

d. verbal abuse of a staff member by an inmate  $N=53$

- 11.3 never
- 18.9 about once a month
- 13.2 about once every two weeks
- 5.7 about once a week
- 11.3 about 2 or 3 times a week
- 3.8 about 4 to 6 times a week
- 18.9 at least once a day
- 15.1 more than once a day

e. something stolen from an inmate  $N=59$

- 0.0 never
- 10.2 about once a month
- 16.9 about once every two weeks
- 11.9 about once a week
- 8.5 about 2 or 3 times a week
- 5.1 about 4 to 6 times a week
- 25.4 at least once a day
- 22.0 more than once a day
- 0.0 *DON'T KNOW*

15. Within the last two months, how often have you had a piece of clothing or other personal possession torn, broken or ruined?  $N=59$   
(check one)

- 93.2 never
- 1.7 once only
- 0.0 2 times
- 3.4 3 times
- 1.7 4 times
- 0.0 5 times
- 0.0 6 to 10 times
- 0.0 11 or more times

16. Within the last two months, how often have you had something you owned stolen from you? (check one)  $N=60$

- 85.0 never
- 10.0 once only
- 1.7 2 times
- 0.0 3 times
- 3.3 4 times
- 0.0 5 times
- 0.0 6 to 10 times
- 0.0 11 or more times

17. Within the last two months, how often have you been attacked by an inmate? (check one)  $N=62$

76.8 never  
3.2 once only  
0.0 2 times  
0.0 3 times  
0.0 4 times  
0.0 5 times  
0.0 6 to 10 times  
0.0 11 or more times

18. How would you describe the feeling in this prison now? Would you say it is: (check one)  $N=61$

1.6 tense, uptight, everyone nervous most of the time  
23.0 somewhat tense, possibility of fights often  
57.4 relaxed, only a few fights  
18.0 very relaxed, not much nervousness

19. Have you heard before today that there is to be a new inmate grievance procedure here?  $N=61$

75.4 yes  
24.6 no

If yes, please answer (a) and (b):

- a. When did you first hear about it? (check one)  $N=60$

18.3 a few days ago  
41.7 1 or 2 weeks ago  
5.0 3 or 4 weeks ago  
13.5 more than a month ago  
21.7 Not applicable

- b. How did you first hear about it? (check one)  $N=62$

24.2 from another correctional officer  
11.3 from an inmate  
27.4 from the Warden or his staff  
3.2 from a prison newspaper or bulletin  
0.0 from a special film or TV tape shown in the prison  
0.0 a city newspaper or magazine  
14.5 other ( Specified )

20. The new inmate grievance procedure will do more harm than good, (circle one)  $N=58$

<u>10.3</u>	<u>24.1</u>	<u>48.3</u>	<u>12.1</u>	<u>5.2</u>
strongly				strongly
disagree	/	disagree	/	agree
		undecided	/	agree

21. The new inmate grievance procedure will solve some of this prison's biggest problems. (circle one)  $N=60$

11.7 strongly disagree / 26.7 disagree / 35.0 undecided / 23.3 agree / 3.3 strongly agree

22. The new inmate grievance procedure will help the inmates and hurt the staff. (circle one)  $N=60$

16.7 strongly disagree / 28.3 disagree / 33.3 undecided / 14.7 agree / 5.0 strongly agree

23. The new inmate grievance procedure cannot do any serious harm. (circle one)  $N=60$

10.0 strongly disagree / 16.7 disagree / 35.0 undecided / 35.0 agree / 3.3 strongly agree

24. The new inmate grievance procedure is sure to be effective. (circle one)  $N=60$

5.0 strongly disagree / 16.7 disagree / 53.3 undecided / 21.7 agree / 3.3 strongly agree

25. The new inmate grievance procedure shows common sense. (circle one)  $N=59$

0.0 strongly disagree / 8.5 disagree / 37.3 undecided / 44.1 agree / 10.2 strongly agree

26. When the new grievance procedure begins, do you think that most inmate complaints will be worked out: (check one)  $N=57$

19.3 very well  
54.4 pretty well  
22.8 not very well  
3.5 very poorly

27. How much do you think most correctional officers care about the successful working out of inmate grievances? (check one)  $N=59$

32.2 very much  
32.2 somewhat  
22.0 a little  
11.9 not at all

28. Do you think the new procedures will improve the relationships between inmates here? (check one)  $N=59$

16.7 Don't know  
18.6 yes, a lot  
28.8 yes, some  
20.3 a little  
13.6 no, not at all  
18.6 don't know

29. Do you think the new procedures will improve inmate/staff relationships? (check one)  $N = 62$

16.1 yes, a lot  
30.6 yes, some  
16.1 a little  
14.5 no, not at all  
22.6 don't know

30. When it comes to filing a grievance, do you think most of the inmates will: (check only one)  $N = 62$

64.5 file whenever they feel like it  
22.6 file only if really necessary  
3.2 not file if they can help it  
0.0 not file at all  
9.7 don't know

31. When the new procedure begins, how do you expect most officers will feel toward inmates filing grievances? (check only one)  $N = 62$

16.1 accept it totally  
25.8 accept it with some doubt  
29.0 be suspicious of it  
16.1 not want anything to do with it  
12.9 don't know

32. After the new procedure begins here, how do you think the inmates will feel about filing complaints or grievances? (check only one)  $N = 62$

69.4 very comfortable, willing to file  
8.1 hesitant, reluctant to file  
3.2 very uncomfortable, very unwilling to file  
19.3 don't know

33. Do you think the new grievance system will increase the inmate complaints about:

a. major institutional rules and procedures  $N = 62$

75.8 yes  
8.1 no  
16.1 don't know

b. correctional officers  $N = 61$

72.1 yes  
4.9 no  
23.0 don't know

c. trivial matters that are only a waste of time  $N=60$

63.3 yes  
15.0 no  
21.7 don't know

\* \* \* \* \*

Here are some questions about the way complaints by inmates are handled now.

34. Is there a particular person on the staff or a committee which is supposed to handle inmates complaints? (check one)  $N=61$

65.6 yes  
9.8 no  
24.6 don't know

35. In general, are complaints handled fairly? (check one)  $N=61$

18.0 always  
46.0 most of the time  
18.0 some of the time  
0.0 seldom  
0.0 never  
23.0 don't know

36. In general, are complaints handled quickly? (check one)  $N=61$

11.5 always  
42.6 most of the time  
6.6 some of the time  
11.5 seldom  
0.0 never  
22.9 don't know

37. In general, is there a written reply to complaints? (check one)  $N=60$

15.0 always  
30.0 most of the time  
11.7 some of the time  
6.7 seldom  
0.0 never  
36.7 don't know

38. When an inmate has a complaint about something here, who is he supposed to go to first about his problem? (check one)  $N=61$

1.6 another inmate  
65.6 an officer  
3.5 a counselor or teacher  
19.7 the Inmate Advisory Council  
0.0 the Warden  
6.6 other (specified)

3.3 DON'T KNOW

39. Under the present procedure, what happens after the Inmate Advisory Council meets to discuss the inmate's complaint? (check all that are correct)  $N=62$

<u>yes</u>	<u>NO</u>
<u>6.3</u>	<u>38.7</u> send recommendation to Warden
<u>33.9</u>	<u>66.1</u> notify inmate of their recommendation
<u>12.9</u>	<u>87.1</u> meet with Disciplinary Hearings Officer
<u>3.7</u>	<u>96.8</u> send recommendation to Commissioner
<u>9.7</u>	<u>90.3</u> send recommendation to Ombudsman
<u>27.9</u>	<u>72.1</u> don't know

40. As things now operate, about how often are complaints by inmates handled in the following ways:

	<u>OK</u>	<u>Frequently</u>	<u>Seldom</u>	<u>Never</u>	
a. inmate with complaint does nothing and lets it drop	<u>0.0</u>	<u>21.7</u>	<u>63.0</u>	<u>15.2</u>	$N=46$
b. inmate with complaint talks to another inmate who straightens it out with an officer	<u>0.0</u>	<u>34.8</u>	<u>52.2</u>	<u>13.0</u>	$N=46$
c. inmate with complaint talks directly to an officer	<u>0.0</u>	<u>73.9</u>	<u>26.1</u>	<u>0.0</u>	$N=46$
d. inmates writes to Warden or Commissioner	<u>2.2</u>	<u>73.3</u>	<u>20.0</u>	<u>4.4</u>	$N=45$
	<u>2.6</u>	<u>56.4</u>	<u>35.9</u>	<u>5.1</u>	$N=39$
e. inmate files formal complaint with Inmate Advisory Council	<u>2.4</u>	<u>34.8</u>	<u>40.5</u>	<u>2.4</u>	$N=42$
f. inmate files formal complaint with Ombudsman	<u>2.7</u>	<u>16.7</u>	<u>72.2</u>	<u>8.3</u>	$N=36$

41. How do you think most of the correctional officers personally feel about inmates who make complaints to the Warden? (check one)  $N=60$

40.0 they don't care  
3.3 they give the inmates a hard time about it  
15.0 they encourage inmates to do it  
41.7 don't know

42. How does the way inmates' complaints are handled here compare with other prisons where you have worked or heard about? (check one)  $N=61$

0.0 this one is worse  
9.8 about the same  
48.0 this one is better  
42.2 don't know

43. How do you think most inmates generally feel about other inmates who make complaints to the Inmate Advisory Council? (check one)  $N=61$

19.7 they don't care  
0.0 they give them a hard time about it  
39.3 they encourage them to do it  
41.0 don't know

44. How do you think most of the correctional officers personally feel about inmates who make complaints to the Ombudsman? (check one) *N=62*

41.9 they don't care  
0.0 they give the inmates a hard time about it  
17.7 they encourage inmates to do it *N*  
40.3 don't know

45. How do you think most inmates generally feel about other inmates who make complaints to the Ombudsman? (check one) *N=61*

27.9 they don't care  
0.0 they give them a hard time about it  
29.5 they encourage them to do it  
42.6 don't know

46. How do you think most inmates generally feel about other inmates who make complaints to the Superintendent? (check one) *N=61*

24.6 they don't care  
5.3 they give them a hard time about it  
36.1 they encourage them to do it  
34.1 don't know

47. How does the Superintendent feel about the complaints the inmates have? (check one) *N=61*

6.6 he doesn't care  
0.0 he gives them a hard time about it  
34.4 he encourages them to make complaints  
59.0 don't know

48. Generally speaking, how do other correctional officers here feel about the complaints the inmates have? (check one) *N=62*

21.0 they don't care  
3.2 they give them a hard time about it  
22.6 they encourage them to make complaints  
53.2 don't know

\* \* \* \* \*



	<u>Strongly Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly Agree</u>
49. A criminal should be punished first, then we can worry about reform. <i>N=60</i>	<u>15.0</u>	<u>20.0</u>	<u>18.3</u>	<u>23.3</u>	<u>23.3</u>
50. Most of the problems that inmates have are caused by inmates themselves. <i>N=60</i>	<u>0.0</u>	<u>13.3</u>	<u>5.0</u>	<u>50.0</u>	<u>31.7</u>
51. Militant inmates here make my job more difficult. <i>N=59</i>	<u>9.4</u>	<u>27.1</u>	<u>8.5</u>	<u>39.0</u>	<u>22.0</u>
52. If given the chance, most inmates are capable of taking care of themselves on the outside. <i>N=60</i>	<u>3.3</u>	<u>30.0</u>	<u>30.0</u>	<u>33.3</u>	<u>3.3</u>
53. I have developed a friendship with a few inmates. <i>N=60</i>	<u>10.0</u>	<u>26.6</u>	<u>5.0</u>	<u>51.7</u>	<u>6.7</u>
54. Most inmates really can't be rehabilitated. <i>N=60</i>	<u>11.7</u>	<u>36.7</u>	<u>11.7</u>	<u>28.3</u>	<u>11.7</u>
55. Most inmates respect me as a correctional employee. <i>N=59</i>	<u>6.8</u>	<u>1.7</u>	<u>11.9</u>	<u>57.6</u>	<u>22.0</u>
56. A correctional employee must always enforce the rules to the letter, even if it angers inmate leaders. <i>N=60</i>	<u>8.3</u>	<u>46.7</u>	<u>6.7</u>	<u>16.7</u>	<u>21.7</u>
57. Inmates here have too many legal rights. <i>N=60</i>	<u>8.3</u>	<u>25.0</u>	<u>28.3</u>	<u>18.3</u>	<u>20.0</u>
58. Most criminals do not benefit from punishment. <i>N=60</i>	<u>10.0</u>	<u>26.7</u>	<u>15.0</u>	<u>38.3</u>	<u>10.0</u>
59. A criminal will go straight only when he finds that prison life is hard. <i>N=60</i>	<u>10.0</u>	<u>43.3</u>	<u>18.3</u>	<u>16.7</u>	<u>11.7</u>
60. Hard prison life will keep men from committing crime. <i>N=60</i>	<u>23.3</u>	<u>45.0</u>	<u>18.3</u>	<u>5.0</u>	<u>8.3</u>
61. If inmates come to me for help, I would try to help them. <i>N=61</i>	<u>0.0</u>	<u>0.0</u>	<u>3.3</u>	<u>57.4</u>	<u>39.3</u>
62. Inmates are easier to control by privately talking to the inmate leaders than by enforcing all the rules. <i>N=59</i>	<u>10.2</u>	<u>20.3</u>	<u>15.3</u>	<u>40.7</u>	<u>13.6</u>

	<u>Strongly Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly Agree</u>
63. New changes and reforms are weakening the authority of the correctional officers. <i>N=60</i>	<u>5.0</u>	<u>15.0</u>	<u>11.7</u>	<u>31.7</u>	<u>36.7</u>
64. Inmates are never to be trusted. <i>N=61</i>	<u>14.8</u>	<u>36.1</u>	<u>14.8</u>	<u>23.0</u>	<u>11.5</u>
65. Harsh treatment only makes the inmate more bitter. <i>N=59</i>	<u>3.4</u>	<u>11.9</u>	<u>11.9</u>	<u>45.8</u>	<u>27.1</u>

THANK YOU FOR YOUR HELP.

Figures are expressed  
in percentages except  
where otherwise specified  
N = number of respondents  
per question

-597-

Kirkland Facility  
South Carolina

SOUTH CAROLINA  
INMATE SURVEY

August 1976

Community Conflict Resolution Program  
University of Missouri-St. Louis  
St. Louis, Missouri 63121

James Laue  
John Hepburn  
Martha Becker

\* \* \* \* \*

1. How often do you get visits from friends or relatives? (check one)

<u>0.9</u>	about 4 times a week or more
<u>2.7</u>	about 2-3 times a week
<u>5.5</u>	about once a week
<u>35.9</u>	about once every two weeks
<u>17.2</u>	at least once a month
<u>20.0</u>	less than once a month
<u>17.7</u>	never

2. How often do you get letters from outside? (check one)

<u>7.7</u>	almost every day
<u>5.4</u>	about 4 or 5 times a week
<u>39.6</u>	about 2-3 times a week
<u>32.9</u>	at least once a month
<u>9.0</u>	less than once a month
<u>5.4</u>	never

3. Here is a list of some possible complaints which you might have.  
Please check all those which you feel are a problem for you.

YES	NO	
<u>60.6</u>	<u>39.3</u>	food served
<u>62.4</u>	<u>37.6</u>	clothing issued
<u>49.6</u>	<u>50.4</u>	recreational opportunities
<u>55.8</u>	<u>44.2</u>	medical services
<u>59.7</u>	<u>40.3</u>	visitation rules
<u>44.2</u>	<u>55.8</u>	legal services
<u>55.3</u>	<u>44.7</u>	personal privacy
<u>46.5</u>	<u>53.5</u>	treatment by correctional officers
<u>39.8</u>	<u>60.2</u>	treatment by administrators
<u>44.2</u>	<u>55.8</u>	job training and educational opportunities

4. If a group of inmates strongly feels that the staff is treating them unfairly, what kinds of actions do you think they have a right to take in order to change the situation? (Check any that you would do). **N = 228**

YES	NO	
<u>46.5</u>	<u>53.5</u>	Hold a meeting to talk about what's happening.
<u>35.7</u>	<u>44.3</u>	Bring it to the attention of the Inmate Advisory Council
<u>37.7</u>	<u>62.3</u>	Go talk to the Superintendent.
<u>27.6</u>	<u>72.4</u>	Write a letter to the Superintendent
<u>36.8</u>	<u>63.2</u>	Write a letter to the Commissioner in Columbia
<u>27.6</u>	<u>72.4</u>	Send a letter to the newspaper
<u>28.9</u>	<u>71.1</u>	File a law suit
<u>19.7</u>	<u>80.3</u>	Do something to call attention to your cause even though it may be against the rules
<u>37.3</u>	<u>62.7</u>	Do whatever it takes to get the job done

5. To the best of your knowledge, how often do these things happen here? (Check one for each question).

- a. fights between inmates **N = 218**

<u>8.3</u>	never
<u>34.4</u>	about once a month
<u>19.7</u>	about once a week
<u>16.5</u>	about 2 or 3 times a week
<u>6.9</u>	about 4 to 6 times a week
<u>7.8</u>	at least once a day
<u>6.0</u>	more than once a day
<u>0.5</u>	don't know

- b. fights between inmates and staff **N = 205**

<u>45.4</u>	never
<u>36.1</u>	about once a month
<u>8.3</u>	about once a week
<u>1.0</u>	about 2 or 3 times a week
<u>2.4</u>	about 4 to 6 times a week
<u>3.4</u>	at least once a day
<u>1.0</u>	more than once a day
<u>2.5</u>	don't know

- c. something in the prison damaged by an inmate **N = 206**

<u>28.1</u>	never
<u>31.6</u>	about once a month
<u>13.6</u>	about once a week
<u>11.2</u>	about 2 or 3 times a week
<u>2.9</u>	about 4 to 6 times a week
<u>5.8</u>	at least once a day
<u>5.3</u>	more than once a day
<u>1.7</u>	don't know

(cont.)

d. verbal abuse of an inmate by staff **N = 204**

<u>21.1</u>	never
<u>23.0</u>	about once a month
<u>11.8</u>	about once a week
<u>15.2</u>	about 2 or 3 times a week
<u>8.3</u>	about 4 to 6 times a week
<u>12.7</u>	at least once a day
<u>7.4</u>	more than once a day
<u>0.5</u>	don't know

e. something stolen from an inmate **N = 216**

<u>7.4</u>	never
<u>21.8</u>	about once a month
<u>16.2</u>	about once a week
<u>13.9</u>	about 2 or 3 times a week
<u>10.6</u>	about 4 to 6 times a week
<u>12.0</u>	at least once a day
<u>13.1</u>	more than once a day
<u>0.0</u>	don't know

6. Within the last two months, how often have you had a piece of clothing or other personal possession torn, broken or ruined? **N = 217**

<u>45.2</u>	never
<u>20.3</u>	once only
<u>16.1</u>	2 times
<u>8.8</u>	3 times
<u>4.6</u>	4 times
<u>1.4</u>	5 times
<u>1.4</u>	6 to 10 times
<u>2.3</u>	11 or more times
<u>0.0</u>	don't know

7. Within the last two months, how often have you had something you owned stolen from you? **N = 221**

<u>60.6</u>	never
<u>18.1</u>	once only
<u>10.9</u>	2 times
<u>6.3</u>	3 times
<u>1.4</u>	4 times
<u>1.4</u>	5 times
<u>0.0</u>	6 to ten times
<u>1.4</u>	11 or more times
<u>0.0</u>	don't know

8. Within the last two months, how often have you been in a fight with another inmate or had another inmate attack you? **N = 219**

<u>79.9</u>	never
<u>11.4</u>	once only
<u>5.5</u>	2 times
<u>1.8</u>	3 times
<u>0.0</u>	4 times
<u>0.0</u>	5 times
<u>0.5</u>	6 to 10 times
<u>0.9</u>	11 or more times
<u>0.0</u>	don't know

9. Within the last two months, how often have you been in a fight with a correctional officer? **N = 222**

95.9 never  
1.3 once only  
0.5 2 times  
1.4 3 times  
0.0 4 times  
0.0 5 times  
0.9 6 to 10 times  
0.0 11 or more times

10. How would you describe the feeling in this prison now? Would you say it is: (check one) **N = 225**

38.9 tense, uptight, everyone nervous most of the time  
30.7 somewhat tense, possibility of fights often  
34.2 relaxed, only a few problems  
6.2 very relaxed, not much nervousness

11. Have you heard from anyone before today that there is to be a new inmate grievance procedure here? **N = 224**

68.3 yes  
31.7 no

If yes, please answer (a) and (b):

- a. When did you first hear about it? (check one) **N = 224**

36.2 a few days ago  
24.6 1 or 2 weeks ago  
8.1 3 or 4 weeks ago  
4.0 more than a month ago  
22.1 not applicable

- b. How did you first hear about it? (check one) **N = 223**

52.0 from another inmate  
4.9 from a corrections officer  
4.5 from a teacher or counselor  
3.3 from the Superintendent or his staff  
0.0 from a special film or TV tape shown in the prison  
0.9 a prison newspaper or bulletin  
0.4 a city newspaper or a magazine  
0.4 from a friend or relative from outside the prison  
1.8 other (specified)  
0.9 other blank

12. The new inmate grievance procedure will do more harm than good. **N = 213**  
(circle one)

<u>27.2</u>	<u>20.7</u>	<u>33.3</u>	<u>9.9</u>	<u>8.9</u>
Strongly				Strongly
Disagree	/	Disagree	/	Agree
		Undecided	/	Agree

13. The new inmate grievance procedure will solve some of this prison's biggest problems. (circle one) **N = 209**

<u>8.6</u>	<u>8.1</u>	<u>35.4</u>	<u>24.4</u>	<u>23.4</u>
Strongly				Strongly
Disagree	/	Disagree	/	Agree
		Undecided	/	Agree

14. The new inmate grievance procedure will help the inmates and hurt the staff. (circle one) **N=210**

<u>18.1</u>	<u>33.3</u>	<u>34.3</u>	<u>12.9</u>	<u>1.4</u>
Strongly				Strongly
Disagree	/	Disagree	/	Agree
		Undecided	/	Agree

15. The new inmate grievance procedure cannot do any serious harm. **N=212**  
(circle one)

<u>4.7</u>	<u>14.6</u>	<u>27.2</u>	<u>42.0</u>	<u>16.5</u>
Strongly				Strongly
Disagree	/	Disagree	/	Agree
		Undecided	/	Agree

16. The new inmate grievance procedure is sure to be effective. (circle one) **N=212**

<u>5.7</u>	<u>11.3</u>	<u>41.5</u>	<u>29.2</u>	<u>12.3</u>
Strongly				Strongly
Disagree	/	Disagree	/	Agree
		Undecided	/	Agree

17. The new inmate grievance procedure shows common sense. (circle one) **N=210**

<u>5.2</u>	<u>4.3</u>	<u>17.6</u>	<u>46.7</u>	<u>26.2</u>
Strongly				Strongly
Disagree	/	Disagree	/	Agree
		Undecided	/	Agree

18. When the new grievance procedure begins, do you think that most inmate complaints will be worked out: (check one only) **N=212**

<u>20.3</u>	very well
<u>36.4</u>	pretty well
<u>22.2</u>	not very well
<u>18.4</u>	very poorly
<u>2.8</u>	don't know

19. How much do you think staff will care about the successful working out of inmate grievances? (check one) **N=217**

<u>8.3</u>	very much
<u>21.2</u>	somewhat
<u>35.0</u>	a little
<u>35.5</u>	not at all
<u>0.0</u>	don't know

20. Do you think the new procedures will improve relationships with other inmates here? (check one) **N=216**

<u>25.0</u>	yes, a lot
<u>28.2</u>	yes, some
<u>28.2</u>	a little
<u>16.7</u>	no, not at all
<u>1.9</u>	don't know

21. Do you think the new procedures will improve inmate/staff relationships? (check one) **N=216**

<u>13.9</u>	yes, a lot
<u>30.6</u>	yes, some
<u>25.5</u>	a little
<u>28.2</u>	no, not at all
<u>1.9</u>	don't know

22. After the new procedure begins here, do you think you will feel comfortable filing complaints or grievances? (check only one) **N = 221**

27.1 most of the time  
27.6 some of the time  
8.6 seldom  
8.1 never  
28.5 don't know

23. When the new procedure begins, how do you expect staff will feel toward inmates filing grievances? (check only one) **N = 218**

6.0 accept it totally  
28.4 accept it with some doubt  
34.9 be suspicious of it  
30.3 not want anything to do with it  
0.5 don't know

24. When it comes to filing a grievance, do you think most of the inmates will: (check only one) **N = 218**

21.1 file whenever they feel like it  
55.0 file only if really necessary  
17.4 not file if they can help it  
6.0 not file at all  
0.5 don't know

Here are some questions about the way complaints by inmates are handled now. Please answer to the best of your knowledge.

25. If you have a complaint about something here, who would you go to first? (check one) **N = 215**

19.5 another inmate who might be able to help me  
17.2 an officer I can talk to  
7.4 a counselor or teacher  
34.4 the Inmate Advisory Council  
9.8 the Superintendent  
0.9 the Ombudsman  
2.3 other specified  
8.7 other blank

26. How do you think most of the correctional officers generally feel about inmates who make complaints to the Superintendent? (check one) **N = 217**

22.1 they don't care  
48.3 they give us a hard time about it  
6.9 they encourage us to do it  
27.6 don't know

27. How do most of the correctional officers feel about inmates who make complaints to the Inmate Advisory Council? (check one) **N = 218**

30.3 they don't care  
32.6 they give us a hard time about it  
6.9 they encourage us to do it  
30.3 don't know



**CONTINUED**

**7 OF 8**

28. How do most of the inmates generally feel about those inmates who make complaints to the Inmate Advisory Council? (check one) **N = 215**

34.0 they don't care  
4.2 they give them a hard time about it  
27.4 they encourage them to do it  
34.4 don't know

29. How do most of the inmates feel about those inmates who make complaints to the Superintendent? (check one) **N = 217**

26.7 they don't care  
20.3 they give them a hard time about it  
25.8 they encourage them to do it  
27.2 don't know

30. How does the way complaints are handled at this institution compare with other prisons you have been in or heard about? (check one) **N = 217**

32.3 this one is worse  
21.7 about the same  
19.4 this one is better  
26.7 don't know

31. Generally speaking, how does the correctional staff here feel about the complaints the inmates have? (check one) **N = 217**

44.1 they don't care  
22.6 they give us a hard time about it  
7.8 they encourage us to make complaints  
24.9 don't know

32. How does the Superintendent feel about the complaints the inmates have? (check one)

35.8 he doesn't care  
14.0 he gives us a hard time about it  
10.7 he encourages us to make complaints  
39.5 don't know

33. How do most of the inmates generally feel about those inmates who make complaints to the Ombudsman? (check one) **N = 212**

21.2 they don't care  
8.5 they give them a hard time about it  
17.0 they encourage them to do it  
53.3 don't know

34. How do most correctional officers feel about inmates who make complaints to the Ombudsman? (check one) **N = 215**

21.4 they don't care  
18.1 they give us a hard time about it  
4.7 they encourage us to do it  
55.8 don't know

35. Is there a particular person on the staff or a committee which is supposed to handle inmates' complaints? (check one) **N=215**

47.0 yes  
15.8 no  
37.2 don't know

36. Do you know anyone who has complained to this person or committee? (check one) **N=209**

27.8 yes  
72.2 no

37. In general, are complaints handled quickly? (check one) **N=213**

1.4 always  
10.8 most of the time  
17.4 some of the time  
33.8 seldom  
17.4 never  
19.2 don't know

38. In general, are complaints handled fairly? (check one) **N=216**

1.4 always  
9.3 most of the time  
22.2 some of the time  
32.4 seldom  
15.3 never  
19.4 don't know

39. In general, is there a written reply to complaints? (check one) **N=213**

7.0 always  
11.3 most of the time  
16.9 some of the time  
18.8 seldom  
17.4 never  
28.6 don't know

\* \* \* \* \*

Now we want to get some idea of how you personally feel about things. We are not interested in how you think others feel; we want your personal opinions. For each statement we read, please indicate whehter you agree or disagree with that statement.

Strongly Disagree / Disagree / Undecided / Agree / Strongly Agree

	<u>Strongly Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly Agree</u>
40. None of us have any influence on how we are treated here. $n=216$	<u>12.0</u>	<u>19.4</u>	<u>11.1</u>	<u>25.0</u>	<u>32.4</u>
41. The kind of guys I hang around with here are really a lot like most of the people I knew on the street. $n=216$	<u>25.9</u>	<u>24.1</u>	<u>7.4</u>	<u>30.6</u>	<u>12.0</u>
42. The government has no right to put poor people in prison when all they have done is try to survive in an unjust system. $n=218$	<u>11.5</u>	<u>17.4</u>	<u>6.4</u>	<u>26.1</u>	<u>38.5</u>
43. There is really not much I can do about what happens to me here. $n=218$	<u>13.3</u>	<u>25.7</u>	<u>6.9</u>	<u>27.5</u>	<u>26.6</u>
44. Who you know is more important that what you know. $n=212$	<u>7.1</u>	<u>10.4</u>	<u>14.6</u>	<u>33.0</u>	<u>34.9</u>
45. I feel more and more helpless when I see what's going on around here. $n=217$	<u>9.2</u>	<u>17.1</u>	<u>13.4</u>	<u>34.1</u>	<u>26.3</u>
46. When you do the kind of work I do on the street you just have to expect to pull a few years in prison once in a while. $n=216$	<u>45.4</u>	<u>22.2</u>	<u>3.7</u>	<u>15.3</u>	<u>13.4</u>
47. You have to take care of yourself because nobody else is going to take care of you. $n=219$	<u>5.0</u>	<u>3.2</u>	<u>3.7</u>	<u>25.6</u>	<u>62.6</u>
48. If you know the right people, you can get just about anything you want around here. $n=217$	<u>4.1</u>	<u>8.8</u>	<u>6.9</u>	<u>20.7</u>	<u>59.4</u>
49. Inmates can improve their own conditions here by cooperating with the staff. $n=217$	<u>27.2</u>	<u>23.0</u>	<u>15.2</u>	<u>21.2</u>	<u>13.4</u>
50. All officers belong in one class and should be treated about the same way. $n=220$	<u>18.6</u>	<u>25.9</u>	<u>7.3</u>	<u>29.5</u>	<u>18.6</u>
51. Americans prisons are just like concentration camps for the poor people, black people and other oppressed minorities. $n=222$	<u>13.5</u>	<u>16.2</u>	<u>9.9</u>	<u>28.8</u>	<u>31.5</u>

	<u>Strongly Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly Agree</u>
52. If you stop and think about it, most of the rules they have here make pretty good sense. $n=220$	<u>44.1</u>	<u>28.2</u>	<u>7.7</u>	<u>14.1</u>	<u>5.9</u>
53. We are totally powerless to control what happens to us in this institution. $n=217$	<u>14.7</u>	<u>21.7</u>	<u>6.0</u>	<u>28.1</u>	<u>29.5</u>
54. I feel more like a political prisoner than like a criminal. $n=222$	<u>10.8</u>	<u>17.6</u>	<u>17.1</u>	<u>23.0</u>	<u>31.5</u>
55. You really can't expect people to think much of you if you are willing to back away from trouble. $n=221$	<u>16.3</u>	<u>30.3</u>	<u>7.7</u>	<u>29.0</u>	<u>16.7</u>
56. The staff here would rather do things for a few inmates who will inform on others or who do just what they are told than do anything about the problems the rest of us have. $n=220$	<u>2.3</u>	<u>4.5</u>	<u>1.8</u>	<u>20.5</u>	<u>70.9</u>
57. As inmates, we all share the same problems and have the same interests. $n=220$	<u>22.3</u>	<u>39.5</u>	<u>9.1</u>	<u>15.0</u>	<u>14.1</u>
58. The biggest criminals can fix anything and rarely go to prison. $n=221$	<u>5.0</u>	<u>6.8</u>	<u>5.4</u>	<u>29.0</u>	<u>53.8</u>
59. You have to be hard to make it here. $n=223$	<u>6.7</u>	<u>23.8</u>	<u>8.1</u>	<u>29.6</u>	<u>31.8</u>
60. You have to do what you can to help other inmates even when it might get you in trouble with the officers. $n=220$	<u>11.4</u>	<u>30.0</u>	<u>14.5</u>	<u>29.1</u>	<u>15.0</u>
61. Since everyone thinks I'm a criminal, I might as well go ahead and be one when I leave here. $n=221$	<u>56.1</u>	<u>25.8</u>	<u>5.0</u>	<u>3.2</u>	<u>10.0</u>
62. The solution to the problem of crime is to tear down the prisons and rebuild the whole society that forces people into crime. $n=218$	<u>14.2</u>	<u>19.7</u>	<u>15.1</u>	<u>19.7</u>	<u>31.2</u>

		<u>Strongly</u> <u>Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly</u> <u>Agree</u>
63.	I was right in doing what I did and I'd do it again even if I knew I'd get arrested again. <i>n=215</i>	<u>54.0</u>	<u>19.1</u>	<u>7.0</u>	<u>8.3</u>	<u>16.7</u>
64.	I don't have much in common with people who never break the law. <i>n=222</i>	<u>29.3</u>	<u>34.7</u>	<u>14.4</u>	<u>9.9</u>	<u>11.7</u>
65.	Most inmates are nothing more than victims of an unjust society. <i>n=222</i>	<u>13.1</u>	<u>19.8</u>	<u>10.8</u>	<u>23.4</u>	<u>32.9</u>
66.	It is O.K. to hang around with people who break the law as long as you stay clean yourself. <i>n=222</i>	<u>22.5</u>	<u>26.1</u>	<u>11.3</u>	<u>26.1</u>	<u>14.0</u>
67.	When inmates stick together it's a lot easier to do time. <i>n=224</i>	<u>5.4</u>	<u>5.4</u>	<u>8.5</u>	<u>31.3</u>	<u>49.6</u>
68.	When I get out of here I want to do what I can for others who may still be in prison. <i>n=223</i>	<u>4.0</u>	<u>9.4</u>	<u>15.2</u>	<u>34.5</u>	<u>36.8</u>
69.	Most of the people on the staff are willing to go out of their way to help an inmate. <i>n=223</i>	<u>70.0</u>	<u>19.3</u>	<u>4.5</u>	<u>4.9</u>	<u>1.3</u>
70.	I have developed a friendship with a few of the officers. <i>n=223</i>	<u>22.4</u>	<u>24.7</u>	<u>11.2</u>	<u>32.7</u>	<u>9.0</u>
71.	It would be pretty hard for anyone to ever make me mad enough that I'd fight them. <i>n=222</i>	<u>23.9</u>	<u>23.0</u>	<u>14.9</u>	<u>26.6</u>	<u>11.7</u>
72.	I depend on my friends here for advice and help in dealing with the staff. <i>n=222</i>	<u>14.9</u>	<u>30.2</u>	<u>14.0</u>	<u>32.4</u>	<u>8.6</u>
73.	The other inmates are right when they say "don't do anything more than you have to." <i>n=221</i>	<u>12.7</u>	<u>28.1</u>	<u>14.0</u>	<u>30.3</u>	<u>14.9</u>
74.	The real power in this place, as it affects my life here, is controlled by inmate leaders, not staff. <i>n=218</i>	<u>28.9</u>	<u>31.2</u>	<u>10.1</u>	<u>17.9</u>	<u>11.9</u>

		<u>Strongly Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly Agree</u>
75.	An officer is never to be trusted. $n=223$	<u>9.0</u>	<u>17.9</u>	<u>13.5</u>	<u>19.7</u>	<u>39.9</u>
76.	We are allowed to make a lot of decisions for ourselves here. $n=208$	<u>36.5</u>	<u>33.7</u>	<u>6.7</u>	<u>15.4</u>	<u>7.7</u>
77.	Even though I broke the law, I was right to do it by my moral standards. $n=209$	<u>24.4</u>	<u>30.1</u>	<u>9.6</u>	<u>17.7</u>	<u>18.2</u>
78.	If you ever do have to fight, you're smart to do a good enough job on the other guy that he'll never come back for more. $n=221$	<u>8.1</u>	<u>6.3</u>	<u>5.0</u>	<u>28.5</u>	<u>52.0</u>
79.	The reason I'm in here is because I did what everyone else does, only I got caught. $n=219$	<u>27.4</u>	<u>29.2</u>	<u>6.4</u>	<u>18.7</u>	<u>18.3</u>
80.	This place is run in such a way that makes it easy for the staff but without showing much consideration for the needs and desires of inmates. $n=218$	<u>2.8</u>	<u>8.7</u>	<u>7.3</u>	<u>24.8</u>	<u>56.4</u>
81.	I shouldn't be in prison for doing something that I had to do to survive. $n=213$	<u>13.1</u>	<u>21.1</u>	<u>9.9</u>	<u>18.8</u>	<u>37.1</u>

Now we would like some general information about you.

82. Race or Ethnicity (check one) *N = 205*

43.9 Black  
52.2 White  
1.5 Spanish speaking, Latin  
2.0 American Indian  
0.5 Other

83. Religion *N = 197*

32.5 Protestant  
3.6 Roman Catholic  
1.5 Jewish  
5.1 Black Muslim (Elijah Muhammad)  
1.5 Sunni Muslim  
37.1 Other  
18.8 None

84. Marital Status (check one) *N = 198*

31.3 married now  
8.6 divorced since coming to prison  
12.1 divorced before coming to prison  
6.6 separated before coming to prison  
4.0 widowed before coming to prison  
0.5 widowed since coming to prison  
36.9 single - never married

85. Education (check one) *N = 206*

11.2 less than 7th grade  
21.8 7th - 9th grade  
24.3 10th - 11th grade  
15.0 high school graduate  
18.9 some college  
7.3 some vocational or trade school after high school  
1.5 completed college  
0.0 none

*average # of years of  
education 10<sup>th</sup> to 11<sup>th</sup> grade*

*Average*

86. How old are you? *N = 196*

28.4

87. How many times have you been in prison? *N = 197*

1.0

88. What is the total number of years you have spent in prison? *N = 188*

3.8 yrs.

89. How old were you when first arrested by the police? *N = 192*

19.0 yrs.

90. How long have you been at this prison? *N = 190*

6 to 11 months  
yrs./mos.

91. How long before you will be released from prison? *N = 180*

2 to 4 yrs.  
yrs./mos.

92. How many years and months have you already served on this sentence? *N = 185*

12 to 23 months  
yrs./mos.

Thank you for your help



Figures are expressed  
in percentages except  
where otherwise specified  
N = Number of respondents  
per question

-611-

Kirkland Facility  
South Carolina

September, 1977

STAFF SURVEY

Community Conflict Resolution Program  
University of Missouri-St. Louis  
St. Louis, Missouri 63121

James Laue  
John Hepburn  
Martha Becker

\* \* \* \* \*

The Community Conflict Resolution Program of St. Louis has been asked to monitor the new Inmate Grievance Procedure at the Kirkland facility in South Carolina. As part of our task we are seeking information from inmates, correctional officers and the Warden and his staff. This questionnaire is an attempt to find out how you and other correctional officers feel about a number of things. We will be asking correctional officers to answer these questions. We are not asked to identify yourself, so please do not put your name on this questionnaire. Your answers will be completely confidential.

We conducted a survey here in August 1976 asking the staff questions quite similar to these. Please indicate whether you completed the first questionnaire. N = 43

69.8 Yes

30.2 No

0 Don't know

Now some general information about you:

1. How long have you been a correctional employee? (check one only)

N = 51

7.9 Under 6 months  
23.5 7-18 months  
23.5 19 to 2 years  
32.3 3-5 years  
9.8 6-8 years  
2.0 9-11 years  
0 12-14 years  
0 15 or more years

2. How long have you been a correctional employee here? (check one only)

N = 51

11.6 Under 6 months  
27.5 7-18 months  
27.5 19 to 2 years  
29.4 3-5 years  
3.9 6-8 years  
0 9-11 years  
0 12-14 years  
0 15 or more years

3. Are you planning to make corrections a career? (check one only)

*N = 52*

50.0 Yes

13.5 No

9.6 Don't know yet -- probably not

26.9 Don't know yet -- probably yes

4. Is your job here becoming more or less satisfying work? (check one only)

*N = 51*

33.3 More satisfying

21.6 Less satisfying

45.1 About the same

5. Based on your own experience, do you feel the inmates here are harder to deal with than they were a year ago? (check one only)

*N = 48*

31.3 More difficult

10.4 Less difficult

58.3 About the same

6. Based on your experience, would you recommend corrections as a career to someone just starting out? (check one only)

*N = 51*

39.2 Yes

33.3 No

27.5 Don't know

7. To the best of your knowledge how often do these things happen here? (check one for each question)

- a. fights between inmates *N = 50*

3.0 never

22.0 about once a month

16.0 about once every two weeks

12.0 about once a week

22.0 about 2 or 3 times a week

8.0 about 4 to 6 times a week

16.0 at least once a day

2.0 more than once a day

- b. fights between inmates and staff *N = 47*

48.9 never

38.3 about once a month

4.3 about once every two weeks

4.3 about once a week

2.1 about 2 or 3 times a week

0 about 4 to 6 times a week

0 at least once a day

2.1 more than once a day

c. something in the prison damaged by an inmate  $N=49$

2.0 never  
24.5 about once a month  
22.4 about once every two weeks  
10.2 about once a week  
12.2 about 2 or 3 times a week  
4.1 about 4 to 6 times a week  
14.3 at least once a day  
10.2 more than once a day

d. inmate abuse of a staff member  $N=49$

30.6 never  
16.3 about once a month  
8.2 about once every two weeks  
6.1 about once a week  
16.3 about 2 or 3 times a week  
2.0 about 4 to 6 times a week  
16.3 at least once a day  
4.1 more than once a day

e. something stolen from an inmate  $N=49$

2.0 never  
8.2 about once a month  
10.2 about once every two weeks  
28.6 about once a week  
18.4 about 2 or 3 times a week  
6.1 about 4 to 6 times a week  
14.3 at least once a day  
12.2 more than once a day

8. Within the last two months, how often have you had a piece of clothing or other personal possession torn, broken or ruined? (check one only)

$N=51$

76.5 never  
19.6 once only  
2.0 2 times  
2.0 3 times  
0.4 4 times  
0.5 5 times  
0.6 6 to 10 times  
0.1 11 or more times

9. Within the last two months, how often have you had something you owned stolen from you? (check one only)  $N=52$

76.9 never  
15.4 once only  
5.8 2 times  
1.9 3 times  
0.4 4 times  
0.5 5 times  
0.6 6 to 10 times  
0.1 11 or more times

10. Within the last two months, how often have you been attacked by an inmate? (check one only)  $N=52$

88.5 never  
5.8 once only  
1.9 2 times  
0 3 times  
1.9 4 times  
0 5 times  
1.9 6 to 10 times  
0 11 or more

11. How would you describe the feeling in this prison now? Would you say it is: (check one only)  $N=52$

5.8 tense, uptight, everyone nervous most of the time  
46.2 somewhat tense, possibility of fights often  
44.2 relaxed, only a few fights  
3.8 very relaxed, not much nervousness.

12. If a group of inmates strongly feels that the staff is treating them unfairly, what kinds of actions do you think they have a right to take in order to change the situation? (check all that you feel are appropriate)

Yes  
 Checked-No, Not Checked

<u>38.5</u>	<u>61.5</u> a. Hold a meeting to talk about what's happening.
<u>61.5</u>	<u>38.5</u> b. Bring it to the attention of the Inmate Advisory Council.
<u>25.0</u>	<u>75.0</u> c. Go talk to the Warden.
<u>26.9</u>	<u>73.1</u> d. Write a letter to the Warden.
<u>1.9</u>	<u>98.1</u> e. Send a letter to the newspaper.
<u>9.6</u>	<u>90.4</u> f. Write a letter to the Commissioner in Columbia.
<u>59.6</u>	<u>40.4</u> g. File a grievance with the clerk of the Inmate Grievance Committee.
<u>3.8</u>	<u>96.2</u> h. File a law suit.
<u>0</u>	<u>100.0</u> i. Do something to call attention to their cause even though it may be against the rules.
<u>3.8</u>	<u>96.2</u> j. Do whatever it takes to get the job done.

13. Are the complaints by the inmates here about the same as they were a year ago?  $N=48$

79.2 Yes  
18.8 No  
2.1 don't know

14. Are the complaints by the staff here about the same as they were a year ago?  $N=49$

83.7 Yes  
14.3 No  
2.0 don't know

15. When an inmate has a complaint about something here, who is that inmate supposed to go to first about the problem? (check one only)

N = 52

- 3.8 a. another inmate who might be able to help  
52.8 b. an officer  
1.9 c. a counselor or teacher  
11.3 d. the Inmate Advisory Council  
2.7 e. Clerk of the Inmate Grievance Committee  
15.4 f. an Inmate grievance representative in dormitory  
0 g. the Inmate Grievance Committee  
0 h. the Warden  
0 i. the Ombudsman  
0 j. other

16. As things now operate, about how often are complaints by inmates handled in the following ways:

	<u>Frequently</u>	<u>Seldom</u>	<u>Never</u>
a. Inmate with complaint does nothing and lets it drop. <u>N = 42</u>	a. <u>38.1</u>	<u>54.8</u>	<u>7.1</u>
b. Inmate with complaint talks to another inmate who straightens it out with an officer. <u>N = 43</u>	b. <u>41.9</u>	<u>48.8</u>	<u>9.3</u>
c. Inmate with complaint talks directly to an officer. <u>N = 45</u>	c. <u>68.9</u>	<u>28.9</u>	<u>2.2</u>
d. Inmate writes to Warden. <u>N = 38</u>	d. <u>44.7</u>	<u>55.3</u>	<u>0</u>
e. Inmate writes to Commissioner. <u>N = 40</u>	e. <u>40.0</u>	<u>57.5</u>	<u>2.5</u>
f. Inmate files formal complaint. <u>N = 43</u>	f. <u>62.8</u>	<u>37.2</u>	<u>0</u>
g. Inmate files formal complaint with Ombudsman. <u>N = 39</u>	g. <u>39.5</u>	<u>57.9</u>	<u>2.6</u>
h. Inmate files formal complaint with the Inmate Grievance Committee. <u>N = 45</u>	h. <u>82.2</u>	<u>17.8</u>	<u>0</u>

17. In general, are complaints by inmates handled fairly? (check one only)

N = 51

- 25.5 always  
58.8 most of the time  
2.0 some of the time  
0 seldom  
0 never  
13.7 don't know

18. In general, are inmate complaints handled quickly? (check one only)

N = 52

- 17.3 always  
59.6 most of the time  
7.7 some of the time  
1.9 seldom  
0 never  
13.5 don't know

19. In general, is there a written reply to inmate complaints?  
(check one only)  $N = 49$

24.5 always  
24.5 most of the time  
20.4 some of the time  
4.1 seldom  
2.0 never  
24.5 don't know

20. How does the way inmates' complaints are handled here compare with other prisons where you have worked or heard about? (check one only)

$N = 47$

10.6 this one is worse  
27.7 about the same  
27.7 this one is better  
34.0 don't know

21. Generally speaking, do other correctional employees here care about the complaints the inmates have? (check one only)  $N = 47$

19.1 they don't care  
0 they give them a hard time  
27.7 they encourage inmates to make complaints  
53.2 don't know

\* \* \* \* \*

Now we would like to ask some questions about the new Inmate Grievance Procedure.

22. Are you familiar with the Inmate Grievance Procedure here? (check one only)  $N = 50$

34.0 very familiar with it  
42.0 somewhat familiar with it  
20.0 not very familiar with it  
4.0 do not know about it

23. Has the Inmate Grievance Procedure been written out and given to or posted for the staff? (check one only)

$N = 48$

64.6 Yes  
12.5 No  
22.9 Don't know

24. How adequate has your orientation been to the Inmate Grievance Procedure? (check one only)  $N = 47$

21.3 excellent orientation  
31.9 adequate orientation  
21.3 less than adequate orientation  
25.5 no orientation at all

25. What opportunity has been given staff to discuss and review the grievance procedure since its implementation? (check one only)

N = 50

24.0 none  
34.0 very little  
24.0 some  
18.0 much

26. Has the new Inmate Grievance Procedure helped to clarify or improve existing policy? (check one only)

N = 51

49.0 yes  
21.6 no  
29.4 don't know

27. Have there been changes in policy governing inmate behavior in any of the following areas since the introduction of the grievance procedure? (please indicate change by checking each item)

	Change for the better	Change for the worse	No change
a. food served. N = 46	a. <u>45.7</u>	<u>4.3</u>	<u>50.0</u>
b. clothing issued. N = 46	b. <u>50.0</u>	<u>4.3</u>	<u>45.7</u>
c. recreational opportunities. N = 48	c. <u>70.8</u>	<u>4.2</u>	<u>25.0</u>
d. medical services. N = 46	d. <u>63.0</u>	<u>6.5</u>	<u>30.4</u>
e. visitation rules. N = 45	e. <u>75.6</u>	<u>0</u>	<u>24.4</u>
f. legal services. N = 46	f. <u>52.2</u>	<u>4.3</u>	<u>43.5</u>
g. personal privacy. N = 43	g. <u>23.3</u>	<u>14.0</u>	<u>62.8</u>
h. treatment by correctional officers. N = 47	h. <u>57.4</u>	<u>6.4</u>	<u>36.2</u>
i. treatment by administrators. N = 41	i. <u>48.8</u>	<u>4.9</u>	<u>46.3</u>
j. job training and educational opportunities. N = 43	j. <u>58.1</u>	<u>9.3</u>	<u>32.6</u>
k. other. N = 24	k. <u>20.8</u>	<u>16.7</u>	<u>62.5</u>

28. Do you think a formal means of registering complaints, such as the Inmate Grievance Procedure, was necessary here? (check one only)

N = 51

27.5 definitely yes  
37.3 yes, somewhat  
9.8 yes, a little  
19.6 no, not at all  
5.9 don't know

29. In general, how would you rate the reaction of most inmates to the new Inmate Grievance Procedure? (check one only)

N = 50

44.0 enthusiastic  
30.0 neutral  
8.0 negative  
18.0 don't know

30. The new Inmate Grievance Procedure is doing more harm than good.  
(circle one)  $N=52$
- |          |      |          |      |           |
|----------|------|----------|------|-----------|
| 17.3     | 30.8 | 32.1     | 13.5 | 5.8       |
| Strongly |      |          |      | Strongly  |
| Disagree | /    | Disagree | /    | Undecided |
|          |      |          | /    | Agree     |
|          |      |          | /    | Agree     |
31. The new Inmate Grievance Procedure is solving some of this prison's biggest problems. (circle one)  $N=51$
- |          |      |          |      |           |
|----------|------|----------|------|-----------|
| 3.9      | 25.5 | 33.3     | 29.4 | 7.8       |
| Strongly |      |          |      | Strongly  |
| Disagree | /    | Disagree | /    | Undecided |
|          |      |          | /    | Agree     |
|          |      |          | /    | Agree     |
32. The new Inmate Grievance Procedure is helping the inmates and hurting the staff. (circle one)  $N=51$
- |          |      |          |      |           |
|----------|------|----------|------|-----------|
| 9.8      | 33.3 | 19.6     | 21.6 | 15.7      |
| Strongly |      |          |      | Strongly  |
| Disagree | /    | Disagree | /    | Undecided |
|          |      |          | /    | Agree     |
|          |      |          | /    | Agree     |
33. The new Inmate Grievance Procedure is not doing any serious harm. (circle one)  $N=52$
- |          |      |          |      |           |
|----------|------|----------|------|-----------|
| 5.8      | 11.5 | 32.1     | 40.4 | 9.6       |
| Strongly |      |          |      | Strongly  |
| Disagree | /    | Disagree | /    | Undecided |
|          |      |          | /    | Agree     |
|          |      |          | /    | Agree     |
34. The new Inmate Grievance Procedure is effective. (circle one)  $N=51$
- |          |      |          |      |           |
|----------|------|----------|------|-----------|
| 2.0      | 11.8 | 27.5     | 49.0 | 9.8       |
| Strongly |      |          |      | Strongly  |
| Disagree | /    | Disagree | /    | Undecided |
|          |      |          | /    | Agree     |
|          |      |          | /    | Agree     |
35. The new Inmate Grievance Procedure shows common sense. (circle one)  $N=50$
- |          |      |          |      |           |
|----------|------|----------|------|-----------|
| 2.0      | 14.0 | 16.0     | 62.0 | 6.0       |
| Strongly |      |          |      | Strongly  |
| Disagree | /    | Disagree | /    | Undecided |
|          |      |          | /    | Agree     |
|          |      |          | /    | Agree     |
36. The new Inmate Grievance Procedure handles inmate grievances fairly. (circle one)  $N=50$
- |          |     |          |      |           |
|----------|-----|----------|------|-----------|
| 2.0      | 6.0 | 22.0     | 58.0 | 12.0      |
| Strongly |     |          |      | Strongly  |
| Disagree | /   | Disagree | /    | Undecided |
|          |     |          | /    | Agree     |
|          |     |          | /    | Agree     |
37. The new Inmate Grievance Procedure is providing written replies to inmates about their grievances. (circle one)  $N=49$
- |          |     |          |      |           |
|----------|-----|----------|------|-----------|
| 0        | 8.2 | 22.4     | 57.1 | 12.2      |
| Strongly |     |          |      | Strongly  |
| Disagree | /   | Disagree | /    | Undecided |
|          |     |          | /    | Agree     |
|          |     |          | /    | Agree     |
38. The new Inmate Grievance Procedure handles inmate grievances quickly. (circle one)  $N=49$
- |          |     |          |      |           |
|----------|-----|----------|------|-----------|
| 0        | 4.1 | 28.6     | 61.2 | 6.1       |
| Strongly |     |          |      | Strongly  |
| Disagree | /   | Disagree | /    | Undecided |
|          |     |          | /    | Agree     |
|          |     |          | /    | Agree     |



49. Do you think the new Inmate Grievance Procedure is improving the relationships between inmates here? (check one only)

*N=51*

7.8 yes, a lot  
47.1 yes, some  
25.5 a little  
19.6 no, not at all

40. Do you think the new Inmate Grievance Procedure is improving the relationship between inmates and staff? (check one only)

*N=49*

14.3 yes, a lot  
22.9 yes, some  
20.4 a little  
32.7 no, not at all

41. When it comes to filing a grievance, do you think most of the inmates: *N=50*

62.0 file whenever they feel like it  
28.0 file only if really necessary  
8.0 do not file if they can help it  
2.0 do not file at all

42. Under the new Inmate Grievance Procedure, how do you think most officers feel toward inmates filing grievances? (check one only)

*N=49*

22.4 accept it totally  
49.0 accept it with some doubt  
18.4 are suspicious of it  
10.2 not want anything to do with it

43. Under the new Inmate Grievance Procedure here, how do you think the inmates feel about filing grievances? (check one only)

*N=50*

78.0 very comfortable, willing to file  
16.0 hesitant, reluctant to file  
6.0 very uncomfortable, very unwilling to file

44. Do you think the new grievance system changed the inmate complaints about: (check one for each question)

- a. major institutional rules and procedures *N=51*

49.0 yes, complaints have increased  
11.8 yes, complaints have decreased  
21.6 no change  
17.6 don't know

44. continued

b. correctional employees  $N=50$

38.0 yes, complaints have increased

32.0 yes, complaints have decreased

24.0 no change

16.0 don't know

c. trivial matters that are only a waste of time  $N=51$

45.1 yes, complaints have increased

19.6 yes, complaints have decreased

21.6 no change

13.7 don't know

45. Using the Inmate Grievance Procedure, do you think most inmates would feel comfortable filing: (check one only)

$N=51$

51.0 most type of grievances

41.2 some types of grievances

7.8 few types of grievances

0 no grievances

46. As far as you can tell, has the new Inmate Grievance Procedure increased or decreased the number of written rules here?

45.1 increased

19.6 decreased

17.1 no change

17.6 don't know

47. As far as you can tell, since the new Inmate Grievance Procedure began, do you think that most inmate complaints have been worked out? (check one only)  $N=50$

34.0 very well

56.0 pretty well

2.0 not very well

8.0 very poorly

48. How much do you think most correctional employees care about the successful working out of inmate grievances? (check one only)

$N=50$

42.0 very much

36.0 somewhat

14.0 a little

8.0 not at all

49. About how much of your time in any given week is involved with the Inmate Grievance Procedure? (check one only)

N=51

52.9 none  
31.6 1 hour or less  
13.7 2 to 3 hours  
2.0 4 to 5 hours  
2.0 6 to 7 hours  
0 8 or more hours  
7.8 don't know

50. Staff members may be involved with inmate grievances in a number of ways. Here is a list of some of the ways. HOW MANY TIMES have you been involved in each of these ways? (mark EACH ITEM with a NUMBER)

# of times

See  
next  
page  
for  
report.

- a. A grievance filed against me or something I did.  
 b. I was called as a witness at a hearing of the Inmate Grievance Committee.  
 c. I provided information for committee members related to a grievance.  
 d. I have served on the Inmate Grievance Committee.  
 e. I have served as rotating Chairman for the Inmate Grievance Committee.  
 f. I took duty for another officer while he was involved with the Inmate Grievance Committee.  
 g. Other ( )

51. Based on your experience with the grievance procedure, how would you evaluate its usefulness? (check one only) N=48

33.3 generally a useful system to resolve grievances  
43.8 a fairly good system that needs some improvement  
6.3 a poor system that needs lots of improvement  
4.2 a bad system that should be dropped or replaced by something else  
12.5 don't know

52. As far as you can tell, under the new Inmate Grievance Procedure, about what percent of the grievances filed so far are in each of the following categories? (Numbers should add to 100%) N=49

average of responses given by category

27.0 % deal with important issues.  
14.4 % deal with issues that aren't very important, but have merit.  
12.9 % deal with issues that are marginal and have very little merit.  
15.8 % deal with frivolous issues which are a waste of time.  
30.9 % don't know  
 100%

53. How does the way inmates' complaints are handled now compare with the way they were handled before the new grievance system started? (check one only)

N=49

46.9 better now  
30.6 about the same  
2.0 worse now  
20.4 don't know

50. - Q. How many times have you been involved with the Inmate Grievance Procedure in each of the following ways?

50. - A. Table: Staff respondents data concerning the number of times they were involved with I.G.R.C. BY forms of involvement.  
N = 466.

<u>Forms of Involved</u>	<u>Number of Times Involved</u>		
	<u>None</u>	<u>One or Two Times</u>	<u>Three or More times</u>
a. Grievance filed against me or something I did.	<u>54.3</u>	<u>39.1</u>	<u>6.5</u>
b. Called as Witness by I.G.R.C.	<u>80.4</u>	<u>13.0</u>	<u>6.5</u>
c. Provided information for committee.	<u>71.7</u>	<u>19.6</u>	<u>8.7</u>
d. Served as member of I.G.R.C.	<u>78.3</u>	<u>8.7</u>	<u>13.0</u>
e. Served as Chairman of I.G.R.C.	<u>93.5</u>	<u>6.5</u>	<u>0</u>
f. Took duty for another officer involved with I.G.R.C.	<u>56.5</u>	<u>39.1</u>	<u>4.3</u>
g. Other form of involvement.	<u>89.1</u>	<u>6.5</u>	<u>4.3</u>

	Strongly Disagree	Disagree	Undecided	Agree	Strongly Agree
54. Hard prison life will keep men from committing crime. <i>N=51</i>	<u>19.6</u>	<u>35.3</u>	<u>13.7</u>	<u>13.7</u>	<u>17.6</u>
55. A criminal should be punished first, then we can worry about reform. <i>N=51</i>	<u>9.8</u>	<u>31.4</u>	<u>11.8</u>	<u>29.4</u>	<u>17.6</u>
56. Most of the problems that inmates have are caused by inmates themselves. <i>N=51</i>	<u>5.9</u>	<u>5.9</u>	<u>5.9</u>	<u>49.0</u>	<u>33.3</u>
57. Militant inmates here make my job more difficult. <i>N=50</i>	<u>6.0</u>	<u>14.0</u>	<u>8.0</u>	<u>42.0</u>	<u>30.0</u>
58. If given the chance, most inmates are capable of taking care of themselves on the outside <i>N=51</i>	<u>11.8</u>	<u>35.3</u>	<u>17.6</u>	<u>29.4</u>	<u>5.9</u>
59. I have developed a friendship with a few inmates. <i>N=50</i>	<u>4.0</u>	<u>28.0</u>	<u>10.0</u>	<u>54.0</u>	<u>4.0</u>
60. Most inmates really can't be rehabilitated. <i>N=51</i>	<u>13.7</u>	<u>37.3</u>	<u>13.7</u>	<u>19.6</u>	<u>15.7</u>
61. Most inmates respect me as a correctional employee. <i>N=50</i>	<u>8.0</u>	<u>6.0</u>	<u>2.0</u>	<u>64.0</u>	<u>20.0</u>
62. A correctional employee must always enforce the rules to the letter, even if it angers inmate leaders. <i>N=51</i>	<u>7.8</u>	<u>43.1</u>	<u>2.0</u>	<u>29.4</u>	<u>17.6</u>
63. Inmates here have too many legal rights. <i>N=50</i>	<u>2.0</u>	<u>20.0</u>	<u>30.0</u>	<u>22.0</u>	<u>26.0</u>
64. Most criminals do not benefit from punishment. <i>N=51</i>	<u>7.8</u>	<u>39.2</u>	<u>5.9</u>	<u>37.0</u>	<u>9.8</u>
65. A criminal will go straight only when he finds that prison life is hard. <i>N=49</i>	<u>10.2</u>	<u>40.8</u>	<u>18.4</u>	<u>20.4</u>	<u>10.2</u>
66. If inmates come to me for help, I would try to help them <i>N=51</i>	<u>0</u>	<u>5.9</u>	<u>0</u>	<u>64.7</u>	<u>29.4</u>
67. Inmates are easier to control by privately talking to the inmate leaders than by enforcing all the rules. <i>N=50</i>	<u>16.0</u>	<u>32.0</u>	<u>6.0</u>	<u>34.0</u>	<u>12.0</u>

	<u>Strongly Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly Agree</u>
68. New changes and reforms are weakening the authority of the correctional officers <i>N=50</i>	<u>6.0</u>	<u>14.0</u>	<u>10.0</u>	<u>32.0</u>	<u>38.0</u>
69. Inmates are never to be trusted. <i>N=51</i>	<u>11.8</u>	<u>49.0</u>	<u>5.9</u>	<u>19.6</u>	<u>13.7</u>
70. Harsh treatment only makes the inmate more bitter. <i>N=51</i>	<u>3.9</u>	<u>13.7</u>	<u>11.8</u>	<u>58.8</u>	<u>11.8</u>

Finally, we would like some general information about you that would be useful in our analysis of correctional staff data.

71. What is your age? Average Age of Respondants (N=51) = 31.6 years

72. Number of years of formal education: (circle the appropriate number)

Average # of years of education (N=50) = 13.1 years

Elementary								Secondary				College			
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16

73. Race or ethnicity (check one)

26.9 Black

1.9 American Indian

67.3 White

1.9 Other

1.9 Spanish surname

74. What is your annual salary? (check one)

0 below 7,000

0 12,000 - 13,000

6.0 7,001 - 8,000

0 13,001 - 14,000

66.0 8,001 - 9,000

2.0 above 14,000

18.0 9,001 - 10,000

6.0 10,001 - 11,000

2.0 11,001 - 12,000

Thank You For Your Cooperation

FIGURES ARE EXPRESSED  
IN PERCENTAGES EXCEPT  
WHERE OTHERWISE SPECIFIED

-627-

INMATE SURVEY

September, 1977

KIRKHAM FACILITY  
SOUTH CAROLINA

N = NUMBER OF  
RESPONDANTS  
PER QUESTIONS

Community Conflict Resolution Program  
University of Missouri-St. Louis  
St. Louis, Missouri 63121

James Laue  
John Hepburn  
Martha Becker

\* \* \* \* \*

Here are some questions about the way complaints by inmates are handled here. Please answer to the best of your knowledge.

We conducted a survey here in September 1976 asking inmates questions quite similar to these. Please indicate whether you completed the first questionnaire. N=177

22.0 Yes    74.0 No    4.0 Don't know

1. If you have a complaint about something here, who would you go to first? (check one only) N=180

13.3 another inmate who might be able to help me  
11.7 an officer I can talk to  
3.9 a counselor or teacher  
11.1 the Inmate Advisory Council  
8.9 Clerk of the Inmate Grievance Committee  
17.2 Inmate grievance representative in my dormitory  
7.8 the Inmate Grievance Committee  
15.0 the Warden  
0 the Ombudsman  
11.1 other

2. Here is a list of some possible complaints which you might have. Please indicate how much of a problem each of these is for you by checking each item.

	Very Much	Somewhat	No Problem	
a. food served . . . . .	a. <u>55.0</u>	<u>27.2</u>	<u>17.8</u>	N=169
b. clothing issued . . . . .	b. <u>37.9</u>	<u>35.3</u>	<u>26.8</u>	N=153
c. recreational opportunities. . . . .	c. <u>38.5</u>	<u>28.4</u>	<u>33.1</u>	N=148
d. medical services. . . . .	d. <u>43.4</u>	<u>28.9</u>	<u>27.6</u>	N=152
e. visitation rules. . . . .	e. <u>40.7</u>	<u>24.8</u>	<u>34.5</u>	N=145
f. legal services. . . . .	f. <u>46.0</u>	<u>25.9</u>	<u>28.1</u>	N=139
g. personal privacy. . . . .	g. <u>58.0</u>	<u>20.0</u>	<u>22.0</u>	N=150
h. treatment by correctional officers. h. <u>27.0</u>	<u>46.9</u>	<u>36.2</u>	N=141	
i. treatment by administrators . . . . i. <u>27.5</u>	<u>34.1</u>	<u>38.4</u>	N=138	
j. job training and educational opportunities . . . . . j. <u>37.0</u>	<u>19.7</u>	<u>43.3</u>	N=127	
k. other(_____) specify k. <u>44.4</u>	<u>13.9</u>	<u>42.2</u>	N=45	

3. How does the way complaints are handled at this institution compare with other prisons you have been in or heard about? (check one only) N=169

16.0 this one is worse    17.8 this one is better  
16.0 about the same    50.3 don't know



4. To the best of your knowledge, how often do these things happen here?  
(Check one for each question).

a. fights between inmates  $N=187$

8.0 never  
33.2 about once a month  
27.3 about once a week  
16.6 about 2 or 3 times a week  
4.3 about 4 to 6 times a week  
5.9 at least once a day  
4.8 more than once a day

b. fights between inmates and staff  $N=173$

57.2 never  
28.9 about once a month  
5.2 about once a week  
2.3 about 2 or 3 times a week  
1.7 about 4 to 6 times a week  
2.3 at least once a day  
1.7 more than once a day  
0.6 don't know

c. something in the prison damaged by an inmate  $N=176$

32.4 never  
36.9 about once a month  
11.4 about once a week  
5.7 about 2 or 3 times a week  
2.8 about 4 to 6 times a week  
5.1 at least once a day  
5.1 more than once a day  
0.6 don't know

d. staff abuse of an inmate  $N=174$

29.3 never  
23.6 about once a month  
10.3 about once a week  
6.3 about 2 or 3 times a week  
5.7 about 4 to 6 times a week  
10.9 at least once a day  
13.8 more than once a day

e. something stolen from an inmate  $N=177$

14.1 never  
20.9 about once a month  
19.8 about once a week  
13.0 about 2 or 3 times a week  
6.2 about 4 to 6 times a week  
10.2 at least once a day  
16.8 more than once a day

5. Within the last two months, how often have you had a piece of clothing or other personal possession torn, broken or ruined? (Check one only)  $N=190$

52.1 never  
17.4 once only  
12.6 2 times  
6.3 3 times  
4.7 4 times  
2.1 5 times  
0.5 6 to 10 times  
4.2 11 or more times

6. Within the last two months, how often have you had something you owned stolen from you? (Check one only)  $N=188$

60.6 never  
21.3 once only  
6.9 2 times  
3.7 3 times  
2.1 4 times  
3.2 5 times  
1.1 6 to 10 times  
1.1 11 or more times

7. Within the last two months, how often have you been in a fight with another inmate or had another inmate attack you? (Check one only)  $N=186$

80.1 never  
10.8 once only  
4.3 2 times  
1.1 3 times  
0.0 4 times  
1.1 5 times  
0.5 6 to 10 times  
2.2 11 or more times

8. Within the last two months, how often have you been in a fight with a correctional officer: (Check one only)  $N=184$

91.3 never  
1.6 once only  
2.2 2 times  
1.6 3 times  
0.5 4 times  
0 5 times  
1.6 6 to 10 times  
1.1 11 or more times

9. How would you describe the feeling in this prison now? Would you say it is: (Check one only) *N=187*

28.0 tense, uptight, everyone nervous most of the time  
30.2 somewhat tense, possibility of fights often  
32.5 relaxed, only a few problems  
9.5 very relaxed, not much nervousness

10. Does the Warden care about the complaints the inmates have? (Check one only) *N=189*

29.1 he doesn't care  
7.4 he gives us a hard time about it  
16.4 he encourages us to make complaints  
47.1 don't know

11. In general, are complaints by inmates handled quickly? (check one only) *N=186*

4.3 always  
16.7 most of the time  
22.0 some of the time  
25.8 seldom  
11.3 never  
19.9 don't know

12. In general, are inmate complaints handled fairly? (check one only) *N=186*

4.8 always  
17.7 most of the time  
18.8 some of the time  
23.1 seldom  
11.3 never  
24.2 don't know

13. In general, is there a written reply to inmate complaints? (check one only) *N=187*

10.7 always  
13.4 most of the time  
23.5 some of the time  
14.4 seldom  
7.0 never  
31.0 don't know

14. Generally speaking, does the correctional staff here care about the complaints the inmates have? (Check one only)

30.8 they don't care  
17.8 they give us a hard time about it  
18.7 they encourage us to make complaints  
31.9 don't know  
0.5 they care

15. If a group of inmates strongly feels that the staff is treating them unfairly, what kinds of actions do you think they have a right to take in order to change the situation? (Check any that you would do) *N=193*

<u>YES</u>	<u>NO, NOT</u>	
<u>CHECKED</u>	<u>CHECKED</u>	
<u>30.1</u>	<u>69.9</u>	a. Hold a meeting to talk about what's happening
<u>34.2</u>	<u>65.8</u>	b. Bring it to the attention of the Inmate Advisory Council
<u>22.5</u>	<u>77.5</u>	c. Go talk to the Warden
<u>16.6</u>	<u>83.4</u>	d. Write a letter to the Warden
<u>22.8</u>	<u>77.2</u>	e. Write a letter to the Commissioner in Columbia
<u>36.8</u>	<u>63.2</u>	f. File a grievance with the clerk of the Inmate Grievance Committee
<u>17.6</u>	<u>82.4</u>	g. File a law suit
<u>10.4</u>	<u>89.6</u>	h. Do something to call attention to your cause even though it may be against the rules
<u>20.2</u>	<u>79.8</u>	i. Do whatever it takes to get the job done
<u>14.5</u>	<u>85.5</u>	j. Send a letter to the newspaper
<u>10.4</u>	<u>89.6</u>	k. Contact the Ombudsman

\* \* \* \* \*

Now we would like to ask some questions about the new Inmate Grievance Procedure.

16. In general how familiar are you with the Inmate Grievance Procedure here? (Check one only) *N=188*

15.4 very familiar with it  
23.4 somewhat familiar with it  
37.8 not very familiar with it  
23.4 do not know about it

17. Do you think a formal means of registering complaints, such as the Inmate Grievance Procedure, was necessary here? (Check one only) *N=187*

46.0 definitely yes  
13.9 yes, somewhat  
10.2 yes, a little  
9.1 no, not at all  
20.9 don't know

18. Has the new Inmate Grievance Procedure helped to clarify or improve existing policy? (Check one only) *N=187*

42.8 Yes  
20.3 No  
36.9 Don't know

19. Have there been changes in policy governing inmate behavior in any of the following areas since the introduction of the grievance procedure? (please indicate change by checking each item)

		Change for the better	Change for the worse	No change
a. food served	N = 171	a. <u>25.1</u>	<u>12.9</u>	<u>62.0</u>
b. clothing issued.	N = 159	b. <u>37.1</u>	<u>7.5</u>	<u>55.3</u>
c. recreational opportunities.	N = 154	c. <u>33.1</u>	<u>7.8</u>	<u>59.1</u>
d. medical services.	N = 156	d. <u>25.6</u>	<u>17.3</u>	<u>57.1</u>
e. visitation rules.	N = 152	e. <u>32.2</u>	<u>7.2</u>	<u>60.3</u>
f. legal services.	N = 144	f. <u>18.1</u>	<u>9.0</u>	<u>72.9</u>
g. personal privacy.	N = 152	g. <u>19.1</u>	<u>15.1</u>	<u>65.8</u>
h. treatment by correctional officers.	N = 148	h. <u>30.4</u>	<u>10.8</u>	<u>58.8</u>
i. treatment by administrators.	N = 145	i. <u>29.0</u>	<u>13.1</u>	<u>57.9</u>
j. job training and educational opportunities.	N = 145	j. <u>40.7</u>	<u>6.9</u>	<u>52.4</u>
k. other	N = 74	k. <u>23.0</u>	<u>9.5</u>	<u>67.4</u>

20. Based on what you know about the grievance procedure, how useful do you think it is? (Check one only) N = 174

27.0 generally a useful system to resolve grievances  
44.8 a fairly good system that needs some improvement  
18.4 a poor system that needs lots of improvement  
9.8 a bad system that should be dropped or replaced by something else

21. In general, how would you rate the reaction of most inmates to the new Inmate Grievance Procedure? (Check one only) N = 184

13.0 enthusiastic      7.1 negative  
32.1 neutral      47.8 don't know

22. Since the new Inmate Grievance Procedure began, do you think that most inmate complaints have been worked out: (Check one only) N = 180

11.7 Very well      25.0 Not very well  
42.2 Pretty well      18.9 Very poorly

23. How could the new Inmate Grievance Procedure be improved? (Check all that apply) N = 192

YES CHECKED	NO CHECKED	
<u>31.8</u>	<u>68.2</u>	a. Greater speed
<u>52.1</u>	<u>47.9</u>	b. More "outside" control
<u>39.6</u>	<u>60.4</u>	c. Include disciplinary action, classification, parole, etc.
<u>16.1</u>	<u>83.9</u>	d. Have different inmate clerk that we have now
<u>16.7</u>	<u>83.3</u>	e. Have different committee than we have now
<u>23.4</u>	<u>76.6</u>	f. Have more written replies
<u>35.4</u>	<u>64.6</u>	g. Have better explanation of decisions
<u>10.9</u>	<u>89.1</u>	h. OK as it is
<u>10.4</u>	<u>89.6</u>	i. Other ( _____ )

specify

24. The new Inmate Grievance Procedure is doing more harm than good.  
(circle one)  $N=179$
- |          |      |           |      |          |
|----------|------|-----------|------|----------|
| 13.4     |      |           |      | 4.5      |
| Strongly | 34.1 | 34.6      | 13.4 | Strongly |
| Disagree | /    | Disagree  | /    | Agree    |
|          |      | Undecided | /    | Agree    |
- 
25. The new Inmate Grievance Procedure is solving some of this prison's biggest problems. (circle one)  $N=180$
- |          |      |           |      |          |
|----------|------|-----------|------|----------|
| 7.8      |      |           |      | 2.2      |
| Strongly | 26.1 | 32.8      | 31.1 | Strongly |
| Disagree | /    | Disagree  | /    | Agree    |
|          |      | Undecided | /    | Agree    |
- 
26. The new Inmate Grievance Procedure is not doing any serious harm.  
(circle one)  $N=177$
- |          |     |           |      |          |
|----------|-----|-----------|------|----------|
| 2.3      |     |           |      | 7.9      |
| Strongly | 9.0 | 28.8      | 52.0 | Strongly |
| Disagree | /   | Disagree  | /    | Agree    |
|          |     | Undecided | /    | Agree    |
- 
27. The new Inmate Grievance Procedure is effective.  
(circle one)  $N=175$
- |          |      |           |      |          |
|----------|------|-----------|------|----------|
| 2.3      |      |           |      | 6.3      |
| Strongly | 13.7 | 34.3      | 43.4 | Strongly |
| Disagree | /    | Disagree  | /    | Agree    |
|          |      | Undecided | /    | Agree    |
- 
28. The new Inmate Grievance Procedure shows common sense.  
(circle one)  $N=177$
- |          |      |           |      |          |
|----------|------|-----------|------|----------|
| 1.1      |      |           |      | 9.6      |
| Strongly | 13.6 | 18.6      | 57.1 | Strongly |
| Disagree | /    | Disagree  | /    | Agree    |
|          |      | Undecided | /    | Agree    |
- 
29. The new Inmate Grievance Procedure handles inmate grievances fairly.  
(circle one)  $N=180$
- |          |      |           |      |          |
|----------|------|-----------|------|----------|
| 3.9      |      |           |      | 3.9      |
| Strongly | 11.7 | 33.3      | 47.2 | Strongly |
| Disagree | /    | Disagree  | /    | Agree    |
|          |      | Undecided | /    | Agree    |
- 
30. The new Inmate Grievance Procedure is providing written replies to inmates about their grievances.  $N=171$   
(circle one)
- |          |      |           |      |          |
|----------|------|-----------|------|----------|
| 1.2      |      |           |      | 1.8      |
| Strongly | 19.3 | 35.1      | 42.7 | Strongly |
| Disagree | /    | Disagree  | /    | Agree    |
|          |      | Undecided | /    | Agree    |
- 
31. The new Inmate Grievance Procedure handles inmate grievances quickly.  
(circle one)  $N=175$
- |          |      |           |      |          |
|----------|------|-----------|------|----------|
| 6.3      |      |           |      | 2.9      |
| Strongly | 29.1 | 38.9      | 22.9 | Strongly |
| Disagree | /    | Disagree  | /    | Agree    |
|          |      | Undecided | /    | Agree    |
-

32. How much do you think staff cares about the successful working out of the inmate grievances? (check one only) *N=186*

14.0 very much  
22.6 somewhat  
34.4 a little  
28.5 not at all  
0.5 don't know

33. Do you think the new Inmate Grievance Procedure is improving relationships between inmates here? (check one only) *N=181*

11.6 yes, a lot  
29.8 yes, some  
33.1 a little  
25.4 no, not at all

34. Do you think the new Inmate Grievance Procedure is improving the relationships between inmates and staff? (check one only) *N=180*

9.4 yes, a lot  
27.2 yes, some  
28.9 a little  
34.4 no, not at all

35. Since the new Inmate Grievance Procedure began here, do you feel comfortable filing complaints or grievances? (check one only) *N=182*

14.3 most of the time  
21.4 some of the time  
16.5 seldom  
20.9 never  
26.9 don't know

36. Under the new Inmate Grievance Procedure, how do you think staff feels toward inmates filing grievances? (check one only) *N=177*

8.5 accept it totally  
31.6 accept it with some doubt  
30.5 be suspicious of it  
28.8 not want anything to do with it  
0.6 don't know

37. When it comes to filing a grievance, do you think most of the inmates: (check one only)

9.4 file whenever they feel like it  
116.4 file only if really necessary  
23.8 do not file if they can help it  
14.9 do not file at all  
0.6 don't know

38. Have you used the new Inmate Grievance Procedure? (check one only) *N=184*

*16.8* yes  
*83.2* no

IF YES, continue with question #39.

IF NO, skip to question #48 on page eleven.

39. How often have you filed a grievance? (check one only) *N=30*

*10.0* never  
*53.3* one time  
*16.7* 2 times  
*10.0* 3 times  
*3.3* 4 times  
*0* 5 times  
*0* 6 times  
*6.7* 7 times *or more*

40. Total number of grievance(s) you have filed *53/28 respondents*

Of all the grievances you have filed, how many have been settled in your favor? (place numbers in spaces below)

*N of cases = 37*  
*54.1* number settled entirely in my favor  
*27.0* number settled in my favor, but with some compromise  
*18.9* number settled not in my favor

41. How often has your grievance been solved without a formal hearing with the Inmate Grievance Committee? (check one only) *N=28*

*53.6* never  
*21.4* one time  
*14.3* 2 times  
*3.6* 3 times  
*3.6* 4 times  
*0* 5 times  
*0* 6 times  
*3.6* 7 times *or more*

42. Total number of grievances resolved without a formal hearing \_\_\_\_\_:

Of all your grievances that were resolved informally, indicate the number you think were handled in each of the following way(s):  
(place numbers in spaces below)

*N of cases = 25*  
*0* number resolved by talking to IGC Dormitory representative  
*68.0* number resolved by talking to Inmate Grievance Clerk  
*32.0* number resolved by talking to members of Grievance Committee  
*0* number resolved by talking to the Warden



43. How often has your grievance gone before the Inmate Grievance Committee? (check one only)  $N=28$

64.3 never  
14.3 one time  
10.7 2 times  
3.6 3 times  
0 4 times  
0 5 times  
3.6 6 times  
3.6 7 times or more

44. Of those grievances that went to the Inmate Grievance Committee for a formal hearing, how many went on to the Warden 16: (number) <sup>23</sup> respondents

45. Total number of grievances settled 18: (number) <sup>22</sup> respondents

Of all your grievances that were settled, indicate the number you think have been resolved in the following way(s):

$N$  of cases = 26  
38.5 number resolved entirely satisfactorily  
34.6 number resolved somewhat satisfactorily  
26.9 number resolved not at all satisfactorily

46. Have you received written notice of the results of each hearing or review? (check one only)  $N=25$

24.0 yes  
7.2 no  
4.0 don't know

- 47A. Were you generally satisfied with the way the Inmate Grievance Committee handled your complaint(s)? (check one only)  $N=26$

57.7 yes  
42.3 no

- 47B. Are you generally satisfied with the way the Grievance Clerk has handled your complaint(s)? (check one only)  $N=28$

60.7 yes  
39.3 no

Since you have used the Inmate Grievance Procedure, skip next question only and continue with question #48

48. Why don't you use the Inmate Grievance Procedure? (check all that apply)  $N = 162$  *yes = checked as a reason*  
*no = not checked*

<p><i>yes</i></p> <p><u>23.5</u></p> <p><u>11.1</u></p> <p><u>18.5</u></p> <p><u>7.4</u></p> <p><u>18.5</u></p> <p><u>37.7</u></p>	<p><i>no</i></p> <p><u>76.5</u></p> <p><u>88.9</u></p> <p><u>81.5</u></p> <p><u>92.6</u></p> <p><u>81.5</u></p> <p><u>62.3</u></p>	<p>a. prefer to work it out another way</p> <p>b. fear of staff reaction</p> <p>c. don't want to make waves</p> <p>d. the grievance procedure doesn't work</p> <p>e. the grievance procedure is a hoax. I don't believe it is really going to be for our complaints</p> <p>f. I have no complaints</p>
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49. How often have you talked to someone with the grievance procedure about a grievance you have? (check one only)  $N = 167$

<p><u>56.9</u></p> <p><u>13.8</u></p> <p><u>9.6</u></p> <p><u>4.2</u></p> <p><u>3.0</u></p> <p><u>1.8</u></p> <p><u>1.8</u></p> <p><u>9.0</u></p>	<p>never</p> <p>one time</p> <p>2 times</p> <p>3 times</p> <p>4 times</p> <p>5 times</p> <p>6 times</p> <p>7 times</p>	<p><i>or more</i></p>
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50. If an inmate filed a grievance today, do you think it would eventually be worked out or settled fairly? (check one only)

<p><u>11.0</u></p> <p><u>17.4</u></p> <p><u>26.2</u></p> <p><u>9.9</u></p> <p><u>36.5</u></p>	<p>yes, always</p> <p>most of the time</p> <p>some of the time</p> <p>never</p> <p>don't know</p>
---	---

51. Please indicate whether you would feel comfortable or uncomfortable filing EACH of the following types of grievances with the new Inmate Grievance Procedure. (check one for each item)

<u>Comfortable</u>	<u>Uncomfortable</u>	
$N=151$ <u>55.6</u>	<u>44.6</u>	a. Against policy or procedure (like visitation rules).
$N=140$ <u>42.1</u>	<u>57.9</u>	b. Against staff (like an officer talking down to you).
$N=143$ <u>57.3</u>	<u>42.7</u>	c. Against equipment (like inadequate medical supplies or equipment).
$N=145$ <u>47.6</u>	<u>52.4</u>	d. Against other inmates (like using the canteen for their own profit).
$N=144$ <u>51.4</u>	<u>48.6</u>	e. Against the way policy or procedures are carried out (like not receiving a visitor arrival call).

		<u>Strongly</u> <u>Disagree</u>	<u>Disagree</u>	<u>Undecided</u>	<u>Agree</u>	<u>Strongly</u> <u>Agree</u>
52.	None of us have any influence on how we are treated here. <i>N=155</i>	<u>17.4</u>	<u>20.0</u>	<u>11.6</u>	<u>25.8</u>	<u>25.2</u>
53.	The kind of guys I hang around with here are really a lot like most of the people I knew on the street. <i>N=155</i>	<u>16.8</u>	<u>32.3</u>	<u>6.5</u>	<u>21.3</u>	<u>23.2</u>
54.	The government has no right to put poor people in prison when all they have done is try to survive in an unjust system. <i>N=157</i>	<u>15.9</u>	<u>18.5</u>	<u>9.6</u>	<u>29.3</u>	<u>26.8</u>
55.	There is really not much I can do about what happens to me here. <i>N=156</i>	<u>17.3</u>	<u>21.2</u>	<u>7.1</u>	<u>24.4</u>	<u>30.1</u>
56.	Who you know is more important that what you know. <i>N=158</i>	<u>10.1</u>	<u>13.3</u>	<u>5.1</u>	<u>24.7</u>	<u>46.8</u>
57.	I feel more and more helpless when I see what's going on around here. <i>N=158</i>	<u>11.4</u>	<u>19.0</u>	<u>12.0</u>	<u>34.2</u>	<u>23.4</u>
58.	When you do the kind of work I do on the street you just have to expect to pull a few years in prison once in a while. <i>N=159</i>	<u>34.6</u>	<u>27.7</u>	<u>6.9</u>	<u>13.8</u>	<u>17.0</u>
59.	You have to take care of yourself because nobody else is going to take care of you. <i>N=158</i>	<u>6.3</u>	<u>4.4</u>	<u>2.5</u>	<u>29.7</u>	<u>57.0</u>
60.	If you know the right people, you can get just about anything you want around here. <i>N=160</i>	<u>4.4</u>	<u>6.9</u>	<u>3.8</u>	<u>26.3</u>	<u>58.8</u>
61.	Inmates can improve their own conditions here by cooperating with the staff. <i>N=161</i>	<u>17.4</u>	<u>23.0</u>	<u>18.0</u>	<u>24.8</u>	<u>16.8</u>
62.	All officers belong in one class and should be treated about the same way. <i>N=159</i>	<u>17.6</u>	<u>34.0</u>	<u>15.1</u>	<u>19.5</u>	<u>13.8</u>
63.	Americans prisons are just like concentration camps for the poor people, black people and other oppressed minorities. <i>N=158</i>	<u>13.3</u>	<u>19.0</u>	<u>10.1</u>	<u>22.2</u>	<u>35.4</u>

	Strongly Disagree	Disagree	Undecided	Agree	Strongly Agree
64. If you stop and think about it, most of the rules they have here make pretty good sense. <i>N=158</i>	<u>24.1</u>	<u>30.4</u>	<u>12.0</u>	<u>27.2</u>	<u>6.3</u>
65. We are totally powerless to control what happens to us in this institution. <i>N=160</i>	<u>13.8</u>	<u>23.8</u>	<u>8.1</u>	<u>33.8</u>	<u>20.6</u>
66. I feel more like a political prisoner than like a criminal. <i>N=162</i>	<u>11.7</u>	<u>22.2</u>	<u>11.7</u>	<u>27.8</u>	<u>26.5</u>
67. You really can't expect people to think much of you if you are willing to back away from trouble. <i>N=160</i>	<u>15.6</u>	<u>26.9</u>	<u>7.5</u>	<u>32.5</u>	<u>17.5</u>
68. The staff here would rather do things for a few inmates who will inform on others or who do just what they are told than do anything about the problems the rest of us have. <i>N=158</i>	<u>4.4</u>	<u>7.0</u>	<u>4.4</u>	<u>31.6</u>	<u>52.5</u>
69. As inmates, we all share the same problems and have the same interests. <i>N=158</i>	<u>19.0</u>	<u>38.6</u>	<u>6.3</u>	<u>21.5</u>	<u>14.6</u>
70. The biggest criminals can fix anything and rarely go to prison. <i>N=158</i>	<u>7.0</u>	<u>10.1</u>	<u>11.4</u>	<u>27.8</u>	<u>43.7</u>
71. You have to be hard to make it here. <i>N=160</i>	<u>8.8</u>	<u>28.8</u>	<u>7.5</u>	<u>31.3</u>	<u>23.8</u>
72. You have to do what you can to help other inmates even when it might get you in trouble with the officers. <i>N=158</i>	<u>17.7</u>	<u>37.3</u>	<u>11.4</u>	<u>18.4</u>	<u>15.2</u>
73. Since everyone thinks I'm a criminal, I might as well go ahead and be one when I leave here. <i>N=158</i>	<u>47.5</u>	<u>38.0</u>	<u>7.0</u>	<u>4.4</u>	<u>3.2</u>
74. The solution to the problem of crime is to tear down the prisons and rebuild the whole society that forces people into crime. <i>N=160</i>	<u>10.6</u>	<u>25.6</u>	<u>12.5</u>	<u>21.3</u>	<u>30.0</u>

	Strongly Disagree	Disagree	Undecided	Agree	Strongly Agree
75. I was right in doing what I did and I'd do it again even if I knew I'd get arrested again. <i>N=157</i>	<u>51.0</u>	<u>23.6</u>	<u>7.6</u>	<u>3.8</u>	<u>14.0</u>
76. I don't have much in common with people who never break the law. <i>N=157</i>	<u>35.0</u>	<u>39.5</u>	<u>12.1</u>	<u>10.2</u>	<u>3.2</u>
77. Most inmates are nothing more than victims of an unjust society. <i>N=157</i>	<u>10.2</u>	<u>26.1</u>	<u>17.2</u>	<u>20.4</u>	<u>26.1</u>
78. It is O.K. to hang around with people who break the law as long as you stay clean yourself. <i>N=159</i>	<u>19.5</u>	<u>27.7</u>	<u>12.6</u>	<u>24.5</u>	<u>15.7</u>
79. When inmates stick together it's a lot easier to do time. <i>N=161</i>	<u>6.8</u>	<u>9.3</u>	<u>9.9</u>	<u>41.0</u>	<u>32.9</u>
80. When I get out of here I want to do what I can for others who may still be in prison. <i>N=162</i>	<u>4.3</u>	<u>3.1</u>	<u>16.0</u>	<u>45.7</u>	<u>30.9</u>
81. Most of the people on the staff are willing to go out of their way to help an inmate. <i>N=161</i>	<u>46.0</u>	<u>32.3</u>	<u>9.3</u>	<u>9.9</u>	<u>2.5</u>
82. I have developed a friendship with a few of the officers. <i>N=159</i>	<u>13.8</u>	<u>25.8</u>	<u>13.8</u>	<u>39.0</u>	<u>7.5</u>
83. It would be pretty hard for anyone to ever make me mad enough that I'd fight them. <i>N=160</i>	<u>13.1</u>	<u>29.4</u>	<u>22.5</u>	<u>20.6</u>	<u>14.4</u>
84. I depend on my friends here for advice and help in dealing with the staff. <i>N=157</i>	<u>10.2</u>	<u>28.0</u>	<u>19.7</u>	<u>33.8</u>	<u>8.3</u>
85. The other inmates are right when they say "don't do anything more than you have to." <i>N=159</i>	<u>13.2</u>	<u>29.6</u>	<u>16.4</u>	<u>32.1</u>	<u>8.8</u>
86. The real power in this place, as it affects my life here, is controlled by inmate leaders, not staff. <i>N=161</i>	<u>29.8</u>	<u>31.1</u>	<u>12.4</u>	<u>18.6</u>	<u>8.1</u>

	Strongly Disagree	Disagree	Undecided	Agree	Strongly Agree
87. An officer is never to be trusted. <i>N=162</i>	<u>11.1</u>	<u>24.7</u>	<u>14.2</u>	<u>24.7</u>	<u>25.3</u>
88. We are allowed to make a lot of decisions for ourselves here. <i>N=162</i>	<u>31.5</u>	<u>33.3</u>	<u>10.5</u>	<u>20.4</u>	<u>4.3</u>
89. Even though I broke the law, I was right to do it by my moral standards. <i>N=158</i>	<u>32.9</u>	<u>21.5</u>	<u>15.2</u>	<u>13.9</u>	<u>16.5</u>
90. If you ever do have to fight, you're smart to do a good enough job on the other guy that he'll never come back for more. <i>N=162</i>	<u>6.2</u>	<u>6.2</u>	<u>10.5</u>	<u>29.6</u>	<u>47.5</u>
91. The reason I'm in here is because I did what everyone else does, only I got caught. <i>N=160</i>	<u>24.4</u>	<u>31.3</u>	<u>10.0</u>	<u>19.4</u>	<u>15.0</u>
92. This place is run in such a way that makes it easy for the staff but without showing much consideration for the needs and desires of inmates. <i>N=159</i>	<u>5.0</u>	<u>8.8</u>	<u>16.4</u>	<u>37.7</u>	<u>32.1</u>
93. I shouldn't be in prison for doing something that I had to do to survive. <i>N=156</i>	<u>18.6</u>	<u>21.2</u>	<u>12.8</u>	<u>19.2</u>	<u>28.2</u>

Finally, we would like some general information about you.

94. Race or Ethnicity (check one only)  $N=167$

<u>58.1</u> Black	<u>0</u> Spanish speaking, Latin
<u>39.5</u> White	<u>1.8</u> American Indian
	<u>0.6</u> other

95. Religion (check one only)  $N=160$

<u>34.4</u> Protestant	<u>5.0</u> Black Muslim (Elijah Muhammad)
<u>6.3</u> Roman Catholic	<u>1.3</u> Sunni Muslim
<u>0.6</u> Jewish	<u>38.1</u> other
	<u>14.4</u> none

96. Marital Status (check one only)  $N=165$

32.7 married now  
6.1 divorced since coming to prison  
9.1 divorced before coming to prison  
9.1 separated before coming to prison  
3.6 widowed before coming to prison  
3.6 widowed since coming to prison  
35.8 single - never married

97. Education (check one only)  $N=168$

8.9 less than 7th grade  
14.3 7th - 9th grade  
22.6 10th - 11th grade  
20.2 high school graduate  
20.8 some college  
8.9 some vocational or trade school after high school  
4.2 completed college  
0 none

98. How old are you? (check one only)  $N=166$

25.3 23 years old or younger  
26.5 24-26 years old  
14.5 27-29 years old  
16.3 30-34 years old  
17.5 35 years old or older

99. How many times have you been in prison? (check one only)  $N=162$

58.0 once only (this time)  
29.0 twice (2 times)  
13.0 three or more times

100. What is the total number of years you have spent in prison?  
(check one only)  $N=157$

27.4 1 year or less  
37.6 2 to 3 years  
21.7 4-7 years  
7.0 8 or more years  
6.4 don't know

101. How old were you when first arrested by the police?  
(check one only)  $N=160$

20.0 15 years of age or younger  
11.9 16-17 years of age  
30.6 18-21 years of age  
37.5 22 years of age or older

102. How long have you been at this prison?  
(check one only)  $N=162$

10.5 less than 3 months  
16.7 3-5 months  
21.0 6-11 months  
24.1 12-23 months  
25.3 2-4 years  
0.6 5 or more years  
1.9 don't know

103. How long before you will be released from prison?  
(check one only)  $N=160$

11.3 less than 6 months  
14.4 6-11 months  
10.0 12-23 months  
24.4 2-4 years  
28.1 5 or more years  
11.9 don't know

104. How many years of months have you already served on this sentence?  
(check one only)  $N=158$

12.7 less than 6 months  
17.1 6-11 months  
33.5 12-23 months  
31.6 2-4 years  
5.1 5 or more years  
0 don't know

Thank You For Your Cooperation



APPENDIX D. Institutional Data Forms

GRIEVANCE FORM

DATE \_\_\_\_\_

NAME \_\_\_\_\_ NO. \_\_\_\_\_ HOUSING UNIT \_\_\_\_\_

THIS FORM MUST BE FILED WITHIN 72 HOURS OF GRIEVANCE INCIDENT

DESCRIPTION OF PROBLEM: \_\_\_\_\_

(Please make as short as possible)

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SIGNED: \_\_\_\_\_ DATE: \_\_\_\_\_

GRIEVANCE CLERK: \_\_\_\_\_

ADVISOR REQUESTED ☐ Yes ☐ No WHO: \_\_\_\_\_

ACTION REQUESTED BY INMATE: \_\_\_\_\_

---

---

This Grievance has been informally resolved as follows:

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---

---

This Informal Resolution is accepted:

(To be completed only if resolved prior to hearing)

GRIEVANT SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

If unresolved, you are entitled to a hearing by the Inmate Grievance Resolution Committee (IGRC).

GRIEVANCE FORM  
PAGE TWO

-648-

NEW YORK

RESPONSE OF IGRC: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

DATE RETURNED TO INMATE: \_\_\_\_\_ IGRC MEMBERS: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

RETURN WITHIN 24 HOURS AND CHECK ONE:

I disagree with the IGRC recommendation and want  
to appeal to the Office of the Superintendent.

☐ YES

☐ NO

SIGNED: \_\_\_\_\_  
GRIEVANT

\_\_\_\_\_  
DATE

\_\_\_\_\_  
GRIEVANCE CLERK'S RECEIPT

\_\_\_\_\_  
DATE

Grievance		I.G.R.C. Hearing	Superintendent	C.O.R.C.		Commission/ Arbitration		Date Commissioner's Decision Returned
	Date Filed	Date of Hearing	No Appeal	Date Submitted	Date Returned	Date Submitted	Date Returned	
	Solved Informally	Appeal	Date Returned	Appeal				

STATE OF NEW YORK-DEPARTMENT OF CORRECTIONAL SERVICES  
DAILY JOURNAL-BY DEPUTY SUPERINTENDENTDATE NOVEMBER 21, 1975AUBURN CORRECTIONAL FACILITY  
CORRECTIONAL FACILITY

A DAILY REPORT OF EVERY INFRACTION OF THE RULES AND REGULATIONS OF THE FACILITY BY THE OFFICERS OR INMATES AND THE ACTION TAKEN ON EACH CASE AND MEMORANDUMS OF ANY COMPLAINT BY INMATES OF BAD OR INSUFFICIENT FOOD, WANT OF CLOTHING OR CRUEL OR UNJUST TREATMENT BY AN OFFICER.

NO	NAME	OFFICERS OR INMATES	OFFENSE OR COMPLAINT	ACTION OR PENALTY IMPOSED	DAYS LOST	COMPENSATION NOT EARNED FOR MONTH
			Talking to a civilian in the yard after being told it was not allowed. 4.7	Release but KL 14 days-SS for 12 days balance-30 days prob. to Adj.Comm.	None	3245
			Contraband in locker - 1 shiv. 3.10.04	KL 14 days - Release 12/5/75.	None	3246
			INF. Laundry hanging on bars. 11.06	30 days probation- Not locked in.	None	3247
			Left seat in Mess Hall and when told to return, argued. 3.30.13	Time served 2 days- Counsel-Release.	None	3248
			a. Insolence to officer. 4.1	Previous KL at time - Release 11/26/75.	None	3249
			Contraband in desk drawer in School - solid steel bar with taped handle. 1.32	Time served 2 days- Counsel-Release.	None	3250
			Not obeying an order; not doing his work properly; warned before. 1.90-8.16	Time served 2 days- Counsel-Release.	None	3251
			Not obeying an order; not doing his work properly; warned before. 1.90-8.16	Time served 2 days- Release from KL-30 days prop. to Adj.Comm.	None	3252
			Investigation: Unauthorized use of shop materials and possible making of a gun. 2.10 - 3.30.19	KL with X until assignment change. Time served 7 days.	None	3253
			A \$10 bill, 2 vacants and botting slips. 1.35 - 3.30.07	30 days SS	30 days SS.	3254
			Numerous botting slips found in cell. 3.30.07	See above.		
			A large quantity of botting slips 3.30.07	30 days SS		

INSTRUCTIONS: Complete this form for each case filed with the Inmate Grievance Committee during the period February 1 through December 31, 1977.

1. Case Number: 1           9
2. Inmate Name (Last Name, followed by first initial): 10                 25
3. Inmate SCDC Number: 26      30
4. Dormitory Number: 31  34 34
5. Date Filed (Enter 01 for January, 02 for February, etc.): month       year
6. Grievance Committee Number: 36

7. SUBJECT MATTER OF GRIEVANCE (Circle appropriate answer(s), not more than 3)			37
(1) Individual Problem	(4) Departmental Policy	(7) Equipment	38
(2) Dorm Policy	(5) Staff Action	(8) Other (specify)	39
(3) Institutional Policy	(6) Peer Problem		
8. ISSUES RAISED BY GRIEVANCE (Circle appropriate answer(s), not more than 3)			40
(1) Access to court/ legal service	(8) Furlough	(16) Treatment Program	41
(2) Canteen	(9) Medical	(17) Use of Force	42
(3) Classification	(10) Money	(18) Visitation	43
(4) Contraband	(11) Parole	(19) Work Release	
(5) Correspondence	(12) Property	(20) Other (specify)	44
(6) Discipline	(13) Racial		45
(7) Food	(14) Religion		
	(15) Transfer		
9. RACE OF GRIEVANT (Circle One)			46
(1) White	(3) American Indian	(5) Group Grievance	
(2) Black	(4) Oriental	(6) Other	
10. LEVEL OF FINAL REVIEW (Circle One)			47
(1) Informal	(5) Outside Arbitrator	(7) Not processed because Grievant not eligible	
(2) Grievance Committee	(6) Withdrawn without a hearing	(8) Other (specify)	
(3) Warden			
(4) Commissioner			
11. DISPOSITION OF GRIEVANCE AT FINAL LEVEL OF REVIEW (Circle One)			48
(1) Upheld	(3) Denied	(5) No resolution reached	
(2) Compromise	(4) Unknown	reached	
		(6) Other (specify)	
12. TIME TAKEN FOR WRITTEN RESPONSES AT EACH LEVEL OF REVIEW (Enter the number of working days at each applicable level; if not applicable, enter N/A)			49
Informal Review	_____ working days		50
Grievance Committee	_____ working days		51
Warden	_____ working days		52
Commissioner	_____ working days		53
Outside Arbitrator	_____ working days		54
			55
			56
			57
			58
13. NUMBER OF WORKING DAYS BETWEEN FILING AND CLOSING OF CASE _____			59
14. DID WRITTEN RESOLUTION CONTAIN TIME LIMITS FOR IMPLEMENTATION AT: (Check appropriate space at each level) YES NO N/A			60
Informal Review	_____	_____	61
Grievance Committee	_____	_____	62
Warden	_____	_____	63
Commissioner	_____	_____	64
Outside Arbitrator	_____	_____	65
			66
15. IF GRIEVANCE WAS DENIED AT ANY LEVEL OF REVIEW - ARE REASONS GIVEN? (Check appropriate space for each level) YES NO N/A			67
(1) Informal Review	_____	_____	68
(2) Grievance Committee	_____	_____	69
(3) Warden	_____	_____	70
(4) Commissioner	_____	_____	

INSTRUCTIONS: Complete this form for each case handled by the Division of Inmate Relations during the period February 1 through December 31, 1977.

- |  |                            |                      |                                 |
|--|----------------------------|----------------------|---------------------------------|
| 8. SUBJECT MATTER OF CASE (Circle appropriate answer(s), not more than 3)  |                            |                      | P & R Use Only                  |
| (1) Individual Problem   | (4) Departmental Policy    | (7) Equipment        | 49 <input type="checkbox"/>     |
| (2) Dorm Policy  | (5) Staff Action           | (8) Other (specify)  | 50 <input type="checkbox"/>     |
| (3) Institutional Policy   | (6) Peer Problem           |                      | 51 <input type="checkbox"/>     |
| 9. ISSUES RAISED (Circle appropriate answer(s), not more than 3)   |                            |                      |                                 |
| (1) Access to court/<br>legal service  | (7) Food                   | (14) Religion        | 52 <input type="checkbox"/>     |
| (2) Canteen  | (8) Furlough               | (15) Transfer        | 54 <input type="checkbox"/>     |
| (3) Classification   | (9) Medical                | (16) Treatment Prog. |                                 |
| (4) Contraband   | (10) Money                 | (17) Use of Force    |                                 |
| (5) Correspondence   | (11) Parole                | (18) Visitation      |                                 |
| (6) Disciplinary   | (12) Property              | (19) Work Release    |                                 |
|  | (13) Racial                | (20) Other           |                                 |
| 10. RACE OF INMATE FILING CASE (Circle One)  |                            |                      |                                 |
| (1) White  | (3) American Indian        | (5) Group Grievance  | 57 <input type="checkbox"/>     |
| (2) Black  | (4) Oriental               | (6) Other            |                                 |
| 11. TIME SPENT ON CASE BY DIVISION OF INMATE RELATIONS STAFF (in hours)  |                            |                      |                                 |
| (1) Inmate Liaison Officer   | <input type="text"/> hours |                      | 58 <input type="checkbox"/>     |
| (2) Inmate Representative  | <input type="text"/> hours |                      | 62 <input type="checkbox"/>     |
| (3) Secretary, Div. of Inmate Rel.   | <input type="text"/> hours |                      | 66 <input type="checkbox"/>     |
| (4) Director, Div. of Inmate Rel.  | <input type="text"/> hours |                      | 70 <input type="checkbox"/>     |
|  |                            |                      | 74 <input type="checkbox"/>     |
| 12. ESTIMATED TIME SPENT BY OTHER SCDC PERSONNEL INVOLVED IN CASE (Enter number of hours at applicable space; check NONE if no other SCDC personnel is involved) |                            |                      | card 2 <input type="checkbox"/> |
| (1) Correctional Officer   | <input type="text"/> hours |                      | 2 <input type="checkbox"/>      |
| (2) Correctional Officer Supervisor  | <input type="text"/> hours |                      | 6 <input type="checkbox"/>      |
| (3) Warden/Superintendent  | <input type="text"/> hours |                      | 10 <input type="checkbox"/>     |
| (4) Division Director  | <input type="text"/> hours |                      | 14 <input type="checkbox"/>     |
| (5) Deputy Commissioner  | <input type="text"/> hours |                      | 18 <input type="checkbox"/>     |
| (6) Commissioner   | <input type="text"/> hours |                      | 22 <input type="checkbox"/>     |
| (7) Legal Advisor  | <input type="text"/> hours |                      | 26 <input type="checkbox"/>     |
| (8) Professional/program staff   | <input type="text"/> hours |                      | 30 <input type="checkbox"/>     |
| (9) Other (specify)  | <input type="text"/> hours |                      | 34 <input type="checkbox"/>     |
| (10) NONE  | <input type="text"/> hours |                      | 38 <input type="checkbox"/>     |
| 13. DISPOSITION OF CASE (Circle One)   |                            |                      |                                 |
| (1) Problem resolved   | (2) No resolution reached  | (3) Other (specify)  | 42 <input type="checkbox"/>     |
| 14. TIME SPAN BETWEEN FILING AND CLOSING OF CASE:  |                            |                      |                                 |
|  | working days               |                      | 43 <input type="checkbox"/>     |

S/ Individual Filing in Form

NAME:  
INSTITUTION:  
LIVING UNIT:

BRIEF STATEMENT OF THE PROBLEM:

DATE:

ACTION REQUESTED:

GRIEVANT'S SIGNATURE

RESIDENT COUNCIL MEMBER

UNIT COUNCIL

FINDINGS AND RECOMMENDATIONS:

DATE OF HEARING:

COUNCIL MEMBERS

- ☐ I AM SATISFIED WITH THE RESOLUTION OF THE UNIT COUNCIL.
- ☐ I WISH TO APPEAL THIS DECISION TO THE SUPERINTENDENT.  
-YOU HAVE TWO (2) WORKING DAYS TO FORWARD THIS FORM  
TO THE SUPERINTENDENT.-

GRIEVANT'S SIGNATURE



UNIT: \_\_\_\_\_

WEEK OF: \_\_\_\_\_

TIME OF MEETING: \_\_\_\_\_

HEARING SCHEDULE

	<u>NAME</u>	<u>WITNESS REQUESTED</u>		<u>DISPOSITION</u>
		yes or no	who	
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				
14				
15				
16				
17				

UNIT COUNCIL CHAIRMAN

DATE: \_\_\_\_\_

DISPOSITION LOG

- A. Resolved to grievant's satisfaction
- B. Not resolved to grievant's satisfaction
- C. Recommendation to Superintendent
- D. Grievant did not appear for hearing
- E. Dismissal
- F. Request for time extension

REVIEW AND DECISION:

DATE OF DECISION:

- ☐ I AM SATISFIED WITH THE SUPERINTENDENT'S DECISION.
- ☐ I WISH TO APPEAL THIS DECISION TO THE COMMISSIONER.  
-YOU HAVE TWO (2) WORKING DAYS TO FORWARD THIS FORM  
TO THE COMMISSIONER.-

\_\_\_\_\_  
GRIEVANT'S SIGNATURE

\_\_\_\_\_  
SUPERINTENDENT'S SIGNATURE

COMMISSIONER'S REVIEW

REVIEW AND DECISION:

DATE OF DECISION:

- ☐ I AM SATISFIED WITH THE COMMISSIONER'S DECISION.
- ☐ I WISH TO APPEAL THIS DECISION TO THE GRIEVANCE REVIEW COMMITTEE.  
-YOU HAVE THREE (3) WORKING DAYS TO FORWARD THIS FORM TO THE  
OMBUDSMAN.-

\_\_\_\_\_  
GRIEVANT'S SIGNATURE

\_\_\_\_\_  
COMMISSIONER'S SIGNATURE

[illegible]

GRIEVANCE  
REVIEW  
COMMITTEE

DATE RETURNED

HEARING DATE

DATE SUBMITTED

**NO APPEAL.**

**APPEAL.**

DATE RETURNED \_\_\_\_\_

DATE SUBMITTED

**NO APPEAL.**

## APPENDIX

DATE RETURNED

DATE SUBMITTED

**NO APPEAL**

**APPEAL.**

DATE OF HEARING

**SOLVED INFORMALLY**

DATE FILLED

NO.	CODE
-----	------

**TITLE OF GRIEVANCE**

GRIEVANT'S NAME AND NUMBER

GRIEVANCE  
NUMBER

GRIEVANT'S NUMBER:UNIT:DATE FILED:GRIEVANCE NUMBER:

## 1. Issue raised by grievance (circle one):

1. Individual problem
2. Dorm policy
3. Institutional policy
4. Departmental policy

## 2. Subject matter of grievance (circle one):

1. Bureau regulations
2. Canteen
3. Computation of time
4. Conflict with staff
5. Disciplinary procedures
6. Food
7. Furloughs
8. Grievance mechanism
9. Institutional physical conditions
10. Institutional regulations
11. Job assignments
12. Legal services
13. Mail
14. Medical/Dental services
15. Meritorious good time
16. Missing personal property
17. Permission to marry
18. Recreation
19. Religious services
20. Telephone calls
21. Transfers
22. Treatment program assignments
23. Trips off the facility
24. Visiting

## 3. Level of final review (circle one):

- |                         |                                  |
|-------------------------|----------------------------------|
| 1. Unit Council meeting | 4. Grievance Review Committee    |
| 2. Superintendent       | 5. Commissioner's final decision |
| 3. Commissioner         | 6. Withdrawn by grievant         |

## 4. Disposition at final level of review (circle one):

1. Granted in full
2. Denied
3. Compromise reached

## 5. Total number of days to resolve grievance: \_\_\_\_\_

## 6. Was grievance submitted as an emergency: yes \_\_\_\_\_ no \_\_\_\_\_

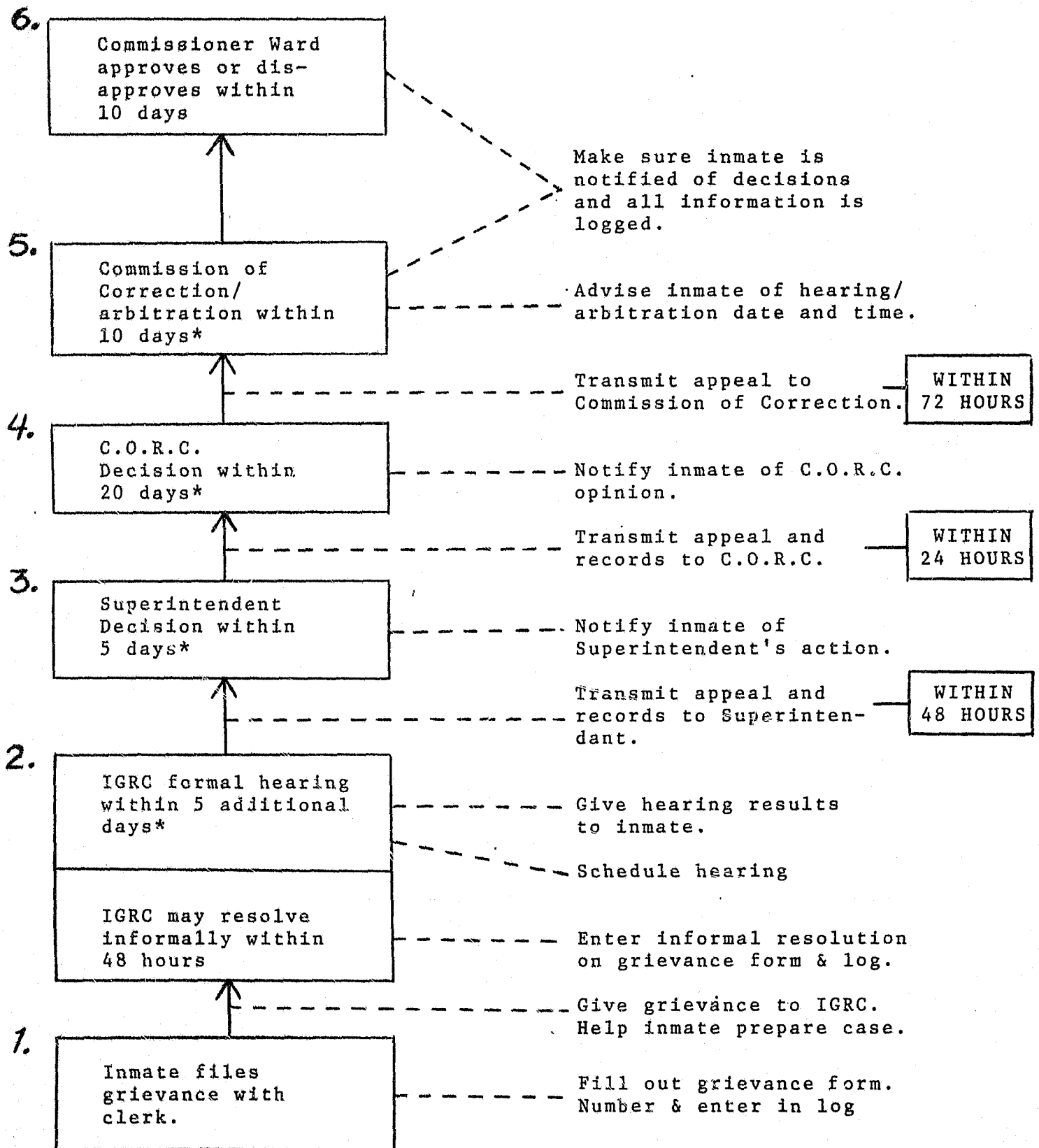
APPENDIX E. Inmate Grievance Flow Chart

# STEPS IN GRIEVANCE

## PROCEDURE

# DUTIES OF

## GRIEVANCE CLERK



\*Automatically forward grievance to next level if time limit is not observed.

APPENDIX F. Summary of Survey Instruments in Fifteen  
New York Facilities



## INMATE AND CORRECTIONAL OFFICER ATTITUDES ABOUT THE INMATE GRIEVANCE PROCEDURE

A survey of inmates and correctional officers from 15 correctional facilities was administered in February 1977 to assess the reaction to the Inmate Grievance Procedure after its first full year of operation. The St. Louis evaluation team visited Attica, Auburn, and Bedford Hills correctional facilities to distribute the survey to all correctional officers during roll calls and to administer the survey to a sample of inmates designed to represent the inmate population of each facility. In addition, 100 inmate and 50 correctional officer surveys were sent to the Superintendent of the following correctional facilities: Albion, Bayview, Clinton, Coxsackie, Eastern, Elmira, Fishkill, Great Meadow, Ossining, Taconic, Wallkill, Woodbourne. The survey was administered by facility staff and returned to us for analysis. The findings and conclusions found herein, therefore, are based on the information from these 15 facilities.

### Familiarity with Inmate Grievance Procedure

Three items have been selected from the survey of inmates to indicate their degree of familiarity with the Inmate Grievance Procedure. As illustrated by the information in Table 1, more than half of the inmates responding to the survey indicated that they were "somewhat" or "very" familiar with the procedure. Although one may desire a higher degree of familiarity among inmates, it is usually the case that

inmates are not familiar with a given program until such a situation arises that it is to their benefit to seek out more information about that program. The finding that 53.1% of the inmates are familiar with the procedure is therefore consistent with the finding that 42.3% of the inmates responding to the survey indicate that they have used the Inmate Grievance Procedure. Furthermore, nearly a third of the inmates indicate they feel comfortable filing grievances. While we are unable to determine the reasons for any discomfort (e. g. , ignorance of the procedure, fear of staff or fellow inmate reaction), it is encouraging that a substantial proportion of the inmates feel at ease with the procedure.

The information in Table 1 (and in other tables) is presented in such a manner that variation among facilities is observable. This variation may be of information value to representatives of those facilities, but should not be used to make hard comparisons. In the absence of such information as the representativeness of the inmates or officers surveyed, the size and composition of the inmate population, and the conditions within the facility dictated by physical structure, it is impossible to make meaningful comparisons between facilities.

Table 2 presents information indicating the existence of a high degree of familiarity with the Inmate Grievance Procedure among correctional officers. Slightly more than two-thirds of the officers

TABLE 1

## INMATE FAMILIARITY WITH INMATE GRIEVANCE PROCEDURE, BY FACILITY

	FACILITY															Total
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	
% indicating they are "somewhat" or "very" familiar with IGP	50.5 (101)	54.9 (111)	47.5 (97)	57.2 (276)	50.8 (65)	62.8 (102)	45.8 (105)	51.9 (104)	60.5 (38)	71.9 (89)	61.0 (100)	58.5 (77)	40.0 (70)	38.7 (106)	41.4 (99)	53.1 (1540)
% indicating they feel comfortable filing grievances "most" or "some" of time	35.5 (102)	22.9 (109)	42.4 (92)	31.1 (267)	47.6 (63)	46.1 (102)	25.4 (102)	41.4 (104)	27.0 (37)	44.2 (86)	29.7 (101)	32.0 (75)	22.0 (68)	18.1 (105)	18.5 (97)	31.3 (1510)
% indicating they have used IGP	41.2 (102)	36.4 (110)	32.6 (92)	45.7 (267)	53.2 (62)	61.5 (104)	40.0 (105)	39.4 (104)	41.0 (39)	65.5 (87)	44.0 (100)	28.9 (76)	35.8 (67)	32.4 (105)	32.0 (97)	42.3 (1517)

NOTE: The numbers in parentheses indicate the number of persons who responded to that particular item in the survey.

TABLE 2

## CORRECTIONAL OFFICER FAMILIARITY WITH INMATE GRIEVANCE PROCEDURE, BY FACILITY

	FACILITY															Total
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	
% indicating they are "somewhat" or "very" familiar with IGP	80.8 (47)	58.0 (50)	50.0 (28)	65.0 (117)	66.0 (50)	68.0 (50)	74.4 (78)	66.7 (51)	82.5 (40)	67.6 (34)	64.0 (61)	67.8 (62)	35.3 (17)	73.5 (49)	69.4 (49)	67.5 (783)
% indicating IGP has been distributed or posted for staff	59.6 (47)	56.0 (50)	60.7 (28)	67.8 (118)	53.1 (49)	86.0 (50)	67.9 (78)	81.6 (49)	87.5 (40)	67.6 (34)	65.6 (61)	68.9 (61)	58.8 (17)	81.6 (49)	82.0 (50)	69.4 (781)
% indicating orientation to IGP has been "adequate" or "excellent"	58.7 (46)	46.0 (50)	35.7 (28)	55.5 (117)	56.0 (50)	76.0 (50)	60.3 (78)	58.9 (51)	70.0 (40)	52.9 (34)	34.4 (61)	42.6 (61)	47.1 (17)	55.1 (49)	65.3 (49)	54.8 (781)
% indicating "no" or "very little" opportunity to discuss and review	71.1 (45)	54.0 (50)	75.0 (28)	71.7 (113)	67.3 (49)	63.3 (49)	74.3 (74)	74.6 (51)	65.8 (38)	78.1 (32)	67.2 (61)	77.4 (62)	82.3 (17)	62.2 (45)	48.0 (50)	68.5 (764)
% indicating they are involved in IGP more than one hour per week	6.4 (47)	10.0 (50)	0.0 (27)	3.4 (118)	6.1 (49)	4.1 (49)	14.2 (78)	5.9 (51)	17.0 (40)	0.0 (33)	4.9 (61)	6.8 (58)	0.0 (17)	8.0 (50)	8.1 (49)	6.8 (777)

NOTE: The numbers in parentheses indicate the number of persons who responded to that particular item in the survey.

responding to the survey indicated that they were familiar with the procedure and that the procedure had been distributed or posted for them. Although few officers (31.5%) indicated that they had an opportunity to discuss and review the Inmate Grievance Procedure, more than half (54.8%) felt their orientation to the procedure had been satisfactory. Finally, it is noteworthy that less than 7% of the officers report a weekly involvement in the procedure of more than one hour of their time. It appears that their familiarity with the procedure is due to their orientation within the facility rather than their direct contact with the grievance machinery.

#### Attitudes Toward the Inmate Grievance Procedure

The inmate surveys contained a number of questions designed to ascertain attitudes about the operation of the Inmate Grievance Procedure. The first conclusion apparent after an examination of Table 3 is that the inmates view the introduction of the grievance procedure as beneficial and the operation and continued existence of the grievance procedure as legitimate. For instance, 53.3% of all inmates surveyed indicate the Inmate Grievance Procedure was definitely necessary, 58.9% feel its a good system to resolve grievances, and 33.4% feel that inmate grievances had been worked out "pretty" or "very" well.

A second conclusion is that the grievance procedure is an acceptable mechanism for resolving inmate grievances. Although only 20%

TABLE 3

## SELECTED INMATE RESPONSES TO THE INMATE GRIEVANCE PROCEDURE, BY FACILITY

	FACILITY															Total
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	
% indicating they would go to IGP with complaint first	15.8 (101)	13.5 (111)	26.2 (82)	21.2 (259)	40.3 (62)	16.7 (102)	11.3 (97)	32.7 (104)	17.5 (40)	37.0 (54)	24.0 (96)	13.2 (76)	16.9 (65)	14.1 (99)	13.4 (97)	20.3 (1445)
% indicating IGP was definitely necessary	60.4 (101)	59.5 (111)	53.1 (96)	65.6 (273)	62.9 (62)	65.7 (102)	74.0 (104)	67.3 (104)	55.6 (36)	85.0 (87)	61.6 (99)	71.4 (77)	65.7 (70)	68.6 (102)	61.5 (96)	63.3 (1520)
% indicating IGP helped clarify or improve policy	27.5 (102)	26.6 (109)	33.7 (95)	40.6 (271)	33.3 (66)	54.4 (103)	19.2 (104)	54.4 (103)	35.0 (40)	40.4 (89)	47.0 (100)	24.4 (78)	15.5 (71)	9.3 (107)	17.2 (99)	33.6* (1537)
% indicating IGP is a good system to resolve grievances	68.6 (102)	61.8 (110)	67.7 (90)	50.4 (268)	75.0 (64)	76.5 (102)	40.4 (99)	78.7 (103)	64.1 (39)	53.9 (89)	60.6 (99)	62.4 (77)	55.9 (68)	49.5 (102)	40.2 (97)	58.9 (1510)
% indicating inmate complaints have been worked out "pretty" or "very" well	32.7 (98)	41.3 (109)	46.2 (93)	26.9 (267)	34.4 (64)	54.0 (100)	11.1 (99)	61.8 (102)	39.5 (38)	32.2 (90)	38.0 (100)	32.4 (74)	28.9 (69)	18.8 (101)	14.5 (96)	33.4 (1537)
% indicating needed IGP improvements:																
a. greater speed	26.5 (102)	29.7 (111)	28.6 (98)	38.8 (278)	25.8 (66)	34.3 (105)	18.1 (105)	30.8 (104)	30.0 (40)	34.4 (90)	24.8 (101)	37.2 (78)	23.9 (71)	23.0 (107)	24.8 (101)	30.1 (1557)
b. more outside control	59.8 (102)	39.6 (111)	41.8 (98)	52.5 (278)	37.9 (66)	58.1 (105)	65.7 (105)	45.2 (104)	65.0 (40)	83.3 (90)	52.5 (101)	53.8 (78)	49.3 (71)	54.2 (107)	46.5 (101)	53.3 (1557)
c. inclusion of classification and disciplinary	24.5 (102)	24.3 (111)	13.3 (98)	26.3 (278)	40.9 (66)	30.5 (105)	15.2 (105)	40.4 (104)	32.5 (40)	27.8 (90)	28.7 (101)	32.1 (78)	16.9 (71)	22.4 (107)	28.7 (101)	26.5 (1557)
d. better explanations of decisions	32.4 (102)	36.9 (111)	29.6 (98)	33.8 (278)	28.8 (66)	33.3 (105)	20.0 (105)	34.6 (104)	37.5 (40)	31.1 (90)	32.7 (101)	43.6 (78)	16.9 (71)	38.3 (107)	30.7 (101)	32.2 (1557)
% agree IGP is solving big problems	15.7 (102)	20.4 (108)	36.3 (91)	16.8 (268)	27.7 (65)	30.7 (101)	11.9 (101)	36.5 (104)	15.4 (39)	25.5 (90)	20.4 (98)	20.0 (75)	14.9 (67)	6.8 (103)	7.3 (96)	20.0 (1508)

TABLE 3 - cont.

	FACILITY															Total
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	
% agree IGP is effective	32.7 (101)	27.3 (106)	50.6 (91)	30.3 (267)	34.4 (64)	49.5 (99)	8.3 (96)	54.8 (104)	30.0 (40)	34.1 (82)	40.4 (99)	32.0 (75)	24.2 (66)	23.1 (104)	14.7 (95)	32.4 (1489)
% agree IGP shows common sense	48.0 (102)	43.7 (110)	71.4 (91)	48.5 (268)	55.4 (65)	64.4 (101)	36.0 (100)	69.0 (103)	57.5 (40)	41.9 (86)	47.5 (99)	56.8 (74)	40.0 (65)	39.5 (104)	32.3 (96)	49.6 (1504)
% agree IGP handles grievances fairly	26.5 (102)	24.0 (108)	55.0 (91)	33.8 (266)	47.7 (65)	60.6 (99)	22.4 (98)	57.2 (103)	40.0 (40)	32.1 (87)	33.7 (98)	41.4 (75)	27.3 (66)	27.0 (104)	17.7 (96)	35.8 (1498)
% agree IGP will settle grievances fairly "some" "most" or "all" of time	57.9 (102)	69.2 (104)	72.2 (90)	60.7 (234)	65.6 (61)	76.3 (97)	59.4 (96)	75.0 (104)	68.4 (38)	65.0 (77)	78.4 (98)	79.4 (73)	38.1 (63)	36.0 (100)	44.5 (92)	62.2 (1439)
% agree they would feel comfortable filing grievance against:																
a. policy or procedure	53.5 (101)	54.8 (93)	56.9 (72)	61.5 (213)	59.8 (53)	55.4 (92)	42.9 (84)	70.2 (104)	75.8 (33)	69.2 (65)	43.4 (99)	70.7 (58)	42.6 (47)	65.1 (86)	43.0 (75)	57.7 (1279)
b. staff	48.5 (99)	45.1 (91)	41.9 (74)	42.1 (216)	45.5 (55)	38.9 (90)	23.5 (85)	56.3 (103)	48.6 (35)	50.7 (71)	34.3 (99)	42.4 (59)	18.5 (54)	37.8 (90)	28.0 (82)	40.5 (1303)
c. equipment	63.3 (98)	62.5 (88)	56.0 (75)	60.6 (216)	55.6 (54)	65.9 (88)	42.2 (83)	69.2 (104)	64.7 (34)	64.8 (71)	42.4 (99)	52.5 (61)	50.0 (44)	62.1 (87)	52.6 (76)	58.1 (1278)
d. other inmates	46.0 (100)	39.5 (86)	32.4 (71)	37.8 (193)	29.6 (51)	37.0 (81)	39.5 (81)	30.0 (100)	52.9 (34)	54.0 (63)	36.8 (95)	38.2 (55)	30.4 (46)	34.6 (81)	48.6 (72)	33.7 (1209)
e. execution of policy or procedure	55.0 (100)	55.9 (93)	52.1 (73)	60.6 (213)	56.6 (53)	63.2 (87)	34.1 (82)	69.2 (104)	64.7 (34)	68.1 (69)	44.4 (99)	55.9 (59)	46.7 (45)	65.1 (86)	44.0 (75)	56.2 (1272)
Of those who have not used IGP, % indicating they don't use it because:																
a. prefer to work it out another way	25.0 (60)	23.9 (71)	18.8 (69)	21.2 (156)	15.2 (33)	14.6 (41)	17.5 (63)	18.8 (64)	20.8 (24)	18.2 (33)	24.6 (57)	19.6 (56)	12.8 (47)	15.1 (73)	15.9 (69)	19.2 (916)

TABLE 3 - cont.

	FACILITY															Total
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	
b. fear of staff reaction	21.7 (60)	1.4 (71)	5.8 (69)	7.7 (156)	27.3 (33)	17.1 (41)	27.0 (63)	12.5 (64)	16.7 (24)	9.1 (33)	17.5 (57)	3.6 (56)	17.0 (47)	9.6 (73)	18.8 (69)	12.9 (916)
c. don't want to make waves	23.3 (60)	14.1 (71)	5.8 (69)	8.3 (156)	6.1 (33)	12.2 (41)	12.7 (63)	12.5 (64)	8.3 (24)	6.1 (33)	7.0 (57)	8.9 (56)	12.8 (47)	8.2 (73)	10.1 (69)	10.5 (916)
d. IGP doesn't work	23.3 (60)	8.1 (71)	8.7 (69)	12.8 (156)	9.1 (33)	4.9 (41)	15.9 (63)	3.1 (64)	4.2 (24)	3.0 (33)	10.5 (57)	8.9 (56)	6.4 (47)	11.0 (73)	13.0 (69)	10.5 (916)
e. IGP is a hoax	25.0 (60)	11.3 (71)	7.2 (69)	25.0 (156)	3.0 (33)	19.5 (41)	28.6 (63)	12.5 (64)	8.3 (24)	12.1 (33)	17.5 (57)	10.7 (56)	17.0 (47)	20.5 (73)	29.0 (69)	18.2 (916)
f. no complaints exist	18.3 (60)	16.9 (71)	23.2 (69)	13.5 (156)	15.2 (33)	14.6 (41)	11.1 (63)	48.4 (64)	29.2 (24)	24.2 (33)	22.8 (57)	21.4 (56)	17.0 (47)	19.2 (73)	20.3 (69)	20.2 (916)

NOTE: The numbers in parentheses indicate the number of persons who responded to that particular item in the survey.

\*In many cases a large percentage chose to indicate "don't know" rather than a "yes" or "no" or an "agree" or "disagree". Consequently, some of these numbers may be misleading unless one examines the percent unknown. In this instance, for example, 33.5% indicated they did not know whether policy had been clarified or improved.



of the inmates indicate the procedure is solving some of the prison's biggest problems, nearly half (49.6%) of the inmates feel the procedure shows common sense and nearly one-third (32.4%) agree that the inmate grievance procedure is effective. Indeed, 52.2% of the inmates indicate that the procedure will settle grievances fairly "some", "most" or "all of the time". Inmate acceptance of the inmate grievance procedure is further demonstrated by the finding that over half of the inmates surveyed indicate they would feel comfortable filing grievances against policy or procedure (57.7%), equipment (58.1%), and execution of policy or procedure (56.2%). As might be expected, approximately three-fifths of the inmates indicated discomfort at filing grievances directed against staff or other inmates.

The third conclusion to be reached from an analysis of Table 3 is that the Inmate Grievance Procedure appears to have gained inmate approval in its present state and under the guidelines of its present design. When asked to indicate whether or not the procedure needed certain improvements, less than one-third of the inmates felt the need for greater speed, better explanation of decisions or the inclusion of classification and disciplinary action. The inmates did indicate, however, a desire for more outside control, but this appears to be an unrealistic expectation. It is surprising, in fact, that so few inmates indicated a desire to include classification and disciplinary action within the grievance machinery.

In summary, the inmate responses indicate that the Inmate Grievance Procedure is viewed as a legitimate and credible vehicle for resolving inmate grievances. Among those inmates who had not used the procedure at the time of the survey, only 12.9% indicated a fear of staff reaction and less than a fifth felt that the procedure was a hoax.

The information presented in Table 4 suggests that the grievance procedure has not only been accepted by the correctional officers but that they support the procedure as a means of resolving grievances within the facility. While only about one-fifth of the officers responding to the survey feel the grievance procedure was definitely necessary or that it is solving some of the biggest problems in the facilities, there is evidence that the officers accept the procedure as a viable and fair means of resolving grievances. For example, two-thirds of the officers feel the inmate has a right to file a grievance, nearly half (48.7%) of the officers feel the system is good, over half (55.2%) feel the system is fair, and over a third (37.6%) agree that complaints by inmates are handled better now than in the past.

The inmate grievance procedure also appears to have had an impact on the working conditions for the officers. Nearly one-fourth (23.3%) of the officers agree that the inmate grievance procedure is improving the relationship between inmates and officers, and a third of the officers indicate that policy and procedure have been clarified or improved since the inauguration of the Inmate Grievance Procedure.

TABLE 4

## SELECTED CORRECTIONAL OFFICER RESPONSES TO THE INMATE GRIEVANCE PROCEDURE, BY FACILITY

	FACILITY															Total
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	
% agree, inmate has right to file grievance	70.2 (47)	40.0 (50)	67.9 (28)	66.1 (118)	58.0 (50)	74.0 (50)	61.0 (77)	70.6 (51)	82.5 (40)	91.2 (34)	67.2 (61)	71.0 (62)	64.7 (17)	66.0 (50)	62.0 (50)	65.6 (785)
% indicating IGP was definitely necessary	15.2 (46)	16.0 (50)	14.3 (28)	22.0 (118)	16.0 (50)	32.0 (50)	13.0 (77)	19.6 (51)	20.5 (39)	54.5 (33)	16.4 (61)	22.6 (62)	17.6 (17)	12.0 (50)	22.0 (50)	20.3 (782)
% agree IGP is solving some big problems	17.8 (45)	8.0 (50)	32.1 (28)	24.8 (117)	26.0 (50)	42.0 (50)	10.4 (77)	40.0 (50)	17.5 (40)	39.4 (33)	16.2 (61)	32.8 (61)	29.4 (17)	12.0 (50)	26.0 (50)	23.8 (779)
% agree IGP is effective	43.5 (46)	42.8 (49)	48.1 (27)	38.5 (117)	26.5 (49)	44.0 (50)	18.4 (76)	54.0 (50)	43.6 (39)	72.7 (33)	39.3 (61)	32.1 (56)	31.3 (16)	26.0 (50)	46.0 (50)	38.9 (769)
% agree IGP shows common sense	52.2 (46)	32.7 (49)	44.0 (27)	41.1 (117)	44.0 (50)	56.0 (50)	27.3 (77)	56.0 (50)	57.9 (38)	66.6 (33)	36.1 (61)	46.4 (56)	47.1 (17)	26.5 (49)	52.0 (50)	43.9 (770)
% agree IGP handles grievances fairly	50.0 (46)	44.0 (50)	57.1 (28)	59.0 (117)	52.0 (50)	52.0 (50)	44.2 (77)	64.0 (50)	66.7 (39)	81.2 (33)	57.4 (61)	51.8 (54)	58.8 (17)	38.8 (49)	65.3 (49)	55.2 (770)
% agree, IGP is improving inmate-staff relationships "some" or "a lot"	10.6 (47)	20.0 (50)	25.0 (28)	21.5 (116)	20.0 (50)	26.5 (49)	10.4 (77)	34.0 (50)	28.2 (39)	33.4 (33)	24.6 (61)	23.6 (55)	43.8 (16)	10.2 (49)	36.0 (50)	23.3 (752)
% to agree, IGP is good system to resolve grievances	46.8 (47)	30.0 (50)	42.8 (28)	57.0 (114)	36.0 (50)	60.0 (50)	25.4 (75)	62.8 (51)	71.0 (38)	75.0 (32)	49.2 (61)	53.5 (56)	43.8 (16)	24.0 (50)	61.3 (49)	48.7 (769)
% agree IGP has helped clarify or improve policy	27.7 (47)	18.0 (50)	32.1 (28)	41.0 (117)	22.0 (50)	48.0 (50)	19.7 (76)	41.2 (51)	41.0 (39)	55.9 (34)	36.1 (61)	36.8 (57)	25.0 (16)	20.0 (50)	43.8 (48)	34.0 (774)
% agree complaints are handled better now	34.0 (47)	38.0 (50)	39.3 (28)	43.5 (115)	26.0 (50)	40.0 (50)	23.7 (76)	49.0 (51)	38.5 (39)	56.3 (32)	34.4 (61)	47.5 (59)	29.4 (17)	26.5 (49)	37.5 (48)	37.6 (772)

NOTE: The numbers in parentheses indicate the number of persons who responded to that particular item in the survey.

### Attitude Change Over Time

A comparison of responses to selected items in January, 1977 to those responses in January, 1976 indicates the degree of change occurring since the Inmate Grievance Procedure was inaugurated. Data in Table 5 reveal that there is no significant difference in the inmates' perception of the speed or fairness with which inmate complaints are handled.

Prior to the procedure's implementation, 8.8% of the inmates agreed that complaints were handled quickly, 8% agreed that complaints were handled fairly, and 18.4% agreed that a written reply to complaints was usually received. One year after the procedure was in operation, 9.8% of the inmates agreed that complaints were handled quickly, 8.1% agreed that complaints were handled fairly, and 23.8% agreed that they usually received a written reply to their complaints.

This consistent negative response may be due, in part, to the general tendency of inmates to respond negatively to any prison activity. A comparison of responses over time by correctional officers suggests that they perceive inmate complaints to be handled more quickly and fairly and with more written reply in 1977 than in 1976. Nonetheless, the absence of change over time among inmates suggests that inmate perception of fairness and trust in dealing with their complaints has not been improved.

It is also apparent in Table 5 that the introduction of the Inmate Grievance Procedure has had an effect upon the manner in which

TABLE 5

COMPARISON OF SELECTED ITEMS, 1976 AND 1977

	1976 <u>(14 Facilities)</u>	1977 <u>(15 Facilities)</u>
<u>INMATES:</u>		
Person to whom inmate would go first with complaint:		
a. another inmate	20.7	22.6
b. an officer	11.7	10.9
c. counselor or teacher	31.1	21.1
d. Liaison Committee	11.5	4.4
e. Superintendent	13.6	7.3
f. Inmate Grievance Procedure	N.A	20.3
g. other	11.3	13.5
% agree, complaints handled quickly "always" or "most of the time"	8.8 (1392)	9.8 (1512)
% agree, complaints handled fairly "always" or "most of the time"	8.0 (1389)	8.1 (1510)
% agree, there is a written reply to complaints "always" or "most of the time"	18.4 (1374)	23.8 (1506)
<u>CORRECTIONAL OFFICERS:</u>		
% agree, inmates are harder to deal with than a year ago	52.6 (761)	65.6 (767)
% agree, complaints handled fairly "always" or "most of the time"	65.1 (774)	81.2 (780)
% agree, complaints handled quickly "always" or "most of the time"	52.0 (775)	68.5 (783)
% agree, there is a written reply to complaints "always" or "most of the time"	30.7 (773)	47.1 (780)

the inmate deals with his grievances. Inmates are equally as likely to take their grievance to another inmate or to an officer in 1977 as they were in 1976, but less likely to take their complaints to the Superintendent, the Inmate Liaison Committee, or a counselor or teacher. The introduction of the Inmate Grievance Procedure has not affected the informal grievance resolution techniques (another inmate or officer), but has substituted for the existing administrative remedies of counselor, Inmate Liaison Committee and Superintendent.

### Conclusions

This evaluation is directed to ascertaining the impact of the inmate grievance procedure on certain objectives. One objective is the increase in the inmate perception of fairness by the Department of Correctional Services in dealing with grievances. As a result of the data presented in Table 3, it is apparent that the inmate grievance procedure has produced a mechanism which is regarded by the inmates as a fair, legitimate, and useful vehicle for addressing their grievances. However, the data presented in Table 5 suggest that the Inmate Grievance Procedure is not viewed as being any more fair or speedy than the previous system of grievance resolution. The second objective is to assess the impact of the inmate grievance procedure in providing clarity of written rules. Since one-third of the officers and inmates responding to the survey feel that the procedure has helped to clarify or improve policy and procedure, we are led to conclude that this objective is being obtained.

**END**