

PREA AUDIT: AUDITOR'S SUMMARY REPORT ADULT PRISONS & JAILS

NATIONAL
PREA
RESOURCE
CENTER



BJA
Bureau of Justice Assistance
U.S. Department of Justice

Name of facility:		Humboldt Conservation Camp	
Physical address:		8105 Conservation Road Winnemucca, NV 87446	
Date report submitted:		June 30, 2014	
Auditor Information			
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Date of facility visit:		June, 22-24, 2014	
Facility Information			
Facility mailing Address: (if different from above)		1200 Prison Road Lovelock, NV 89419.	
Telephone number:			
The facility is:		<input type="checkbox"/> Military <input type="checkbox"/> County <input type="checkbox"/> Federal <input type="checkbox"/> Private for profit <input type="checkbox"/> Municipal <input checked="" type="checkbox"/> State <input type="checkbox"/> Private not for profit	
Facility type:		<input type="checkbox"/> Jail <input checked="" type="checkbox"/> Prison	
Name of PREA Compliance Manager:		Tara Carpenter, CCS III	Title: CCS III
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Agency Information			
Name of Agency:		Nevada Department of Corrections	
Governing authority or parent agency: (If applicable)			
Physical address:		5500 Snyder Ave., Bldg 17 Carson City, NV 89701	
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Agency Chief Executive Officer			
Name	Greg Cox	Title:	Director of the Corrections Department
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Agency-Wide PREA Coordinator			
Name:	Pamela Del Porto	Title:	Inspector General
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AUDIT FINDINGS

NARRATIVE: On June 22-23, 2014 Shannon McReynolds, Inspector General for the New Mexico Corrections Department and USDOJ certified PREA auditor, conducted an on-site visit as part of PREA audit of the Humboldt Conservation Camp (HCC) in Winnemucca, Nevada. The Department point of contact was Pamela Del Porto, Inspector General and PREA Coordinator for the Nevada Department of Corrections (NDOC). The point of contact for HCC was Tara Carpenter, the facility PREA Compliance Manager. The pre-audit activities included a review of Administrative Regulations, Operational Procedures, and documentation reflecting that processes were actually employed to prevent, detect, and respond to sexual victimization. Ms. Carpenter supplied the documentation provided for pre-audit reviews and activities. Both Ms. Carpenter and Ms. Del Porto subsequently provided additional documentation necessary to make conclusive findings for the audit. The on-site visit consisted of an inspection of every housing unit, all critical service areas, program areas, maintenance buildings, and administrative offices.

In addition to document reviews and facility inspection, thirteen staff members were interviewed, including senior management, case managers, medical staff, human resources staff, behavioral health staff, members of the sexual abuse incident review team, investigators, and a random number of correctional officers. Further, eleven inmates were interviewed as part of the audit, including those identified as part of the LGBTI community at the facility. The mission of the facility is as a firefighting unit working with the Nevada Department of Forestry (NDF) and has less than 150 inmates in the population. Due to the limited population and the mission, the facility did not identify any disabled inmates, limited-English-proficient (LEP) inmates, or inmates who were screened as being at high risk for sexual victimization.

Unique features of the NDOC include:

1. A centralized human resource office;
2. Investigators who are certified to conduct criminal as well as administrative investigations, and;
3. A close collaboration with the Nevada Attorney General's office for the prosecution of criminal allegations.

Unique features of HCC include:

1. It is under the administrative control of Warden LeGrand of Lovelock Correctional Center.
2. A small inmate population of 126 inmates on the day of the site visit;
3. A unique firefighting mission and contract with NDF that limits the pool of inmates who may be housed at the facility, and;
4. The absence of a disciplinary or administrative segregation unit.

DESCRIPTION OF FACILITY CHARACTERISTICS:

Humboldt Conservation camp is a facility comprised of three wings averaging twenty-five 117 square-foot (approximately) rooms each, with a total capacity of 150 beds. The control bubble has a direct line of sight down all three wings and supervises the sole secure room holding inmates whose behavior warrants transfer. The door on each inmate room has a window through which officers can monitor inmate safety. In addition, the administrative offices have windows in the doors through which officers can monitor safety. Mop rooms have had the doors removed to prevent unmonitored activity. Rooms containing hot water heaters are secured with hasps and padlocks. The physical plant also includes a food service facility, maintenance storage buildings, and administrative offices. The gym facility also houses the education room, library, and storage space, (also secured by hasps and padlocks). Supervision is supplemented by cameras monitoring all entrances and exits into and out of the wings, exercise yard, kitchen, and the education room. The cameras monitoring the gym are not active at this time.

HCC has an average daily population of 109 minimum custody inmates. Approximately two thirds of the inmate population is assigned to 12-man fire crews. Assignment to the fire crews requires extensive fire fighter training delivered by the Nevada Department of Forestry (NDF). The contractual agreement between HCC and NDF requires NDF employees to complete PREA training and pass a background check. HCC also has education programs.

SUMMARY OF AUDIT FINDINGS:

Inmates who were interviewed all cooperated with the interview process and none made any allegations of sexual abuse at HCC. All inmates who were formally interviewed, as well as those who were interviewed during the facility tour, indicated that they had received training on PREA by watching a DVD presentation, which was confirmed by signed and dated acknowledgment forms. All inmates who were formally interviewed, as well as those who were interviewed during the facility tour, indicated that they had been through the PREA screening process, which was confirmed by a random review of case notes in NOTIS and by reviewing a random sample of completed screening forms. All inmates who were formally interviewed, as well as those who were interviewed during the facility tour, indicated that they knew the various mechanisms for reporting sexual abuse, the services available to victims of sexual abuse, and had been advised of prevention strategies.

HCC staff cooperated with the interviews and all expressed support for the goals of PREA. All staff indicated that they had received a four-hour block of training on PREA, which was corroborated by training certificates, acknowledgement forms, and training logs. HCC relies on medical and behavioral health staff from Lovelock Correctional Center to provide medical and behavioral health services. All medical and behavioral health staff from LCC received specialized training related to their duties under PREA, confirmed by training certificates, acknowledgement forms, and training logs. HCC relies on Lieutenants Carey and Ward from

the Lovelock Correctional Center to monitor staff and inmates to ensure that they do not experience retaliation for making reports of sexual victimization

Agency Regulations and Operational Procedures in general reflected the requirements of PREA, though some Agency Regulations need corrective action to more expressly reflect the requirements of PREA. Additionally, the annual report did not contain all the elements required by the standards. The Agency has since taken the corrective action necessary to meet compliance with the PREA standards.

Number of standards exceeded: 0

Number of standards met: 43

Number of standards not met: 0

Standard**Number here: 115.11**, Zero Tolerance of sexual abuse and sexual harassment; Prison Rape Elimination Act (PREA) coordinator

- Exceeds Standard (substantially exceed requirement of standards)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.11 has three elements that the facility must meet for a finding of "meets standard".

The first element requires a written policy mandating zero tolerance towards all forms of sexual abuse and harassment and an outline of the agency's approach to preventing, detecting, and responding to such conduct. Humboldt Conservation Camp (HCC) Operational Procedure 421, page 1 establishes the zero tolerance policy for all forms of sexual abuse and harassment. OP-421 pages 2-9 outlined the facility's approach to preventing, detecting, and responding to such conduct by mandating training for staff (including first-responder training) and inmates, screening staff and inmates, and providing a multi-route reporting mechanism. Further, the agency publishes a reporting hotline on its website and has attempted to establish written MOUs with a state-wide advocacy group.

The second element requires that the agency employ an upper-level agency-wide PREA coordinator with sufficient time and authority to oversee agency efforts to comply with PREA standards in all of its facilities. NDOC has produced a written memorandum assigning Inspector General Pamela Del Porto as the agency's PREA coordinator, who reports directly to Director of Corrections Greg Cox. Ms. Del Porto reported in her interview that she has sufficient time to develop, implement, and oversee efforts to comply with PREA.

The third element requires that where an agency operates more than one facility, each facility shall have a PREA compliance manager with sufficient time and authority to coordinate facility efforts to comply with the PREA standards. The facility has produced written documentation showing Lieutenant Tara Carpenter has been assigned as the facility PREA compliance manager. Ms. Carpenter reports directly to Warden LeGrand, and in her interview, Ms. Carpenter reports that she has been dedicated exclusively to the facility's PREA efforts and has sufficient time and authority to coordinate the facility's efforts to comply with the PREA standards.

RECOMMENDATION: None

Standard**Number here: 115.12** Contracting with other entities for the confinement of inmates.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.12 has two elements that a facility must meet for a finding of "meets standard".

The first element requires that contracts with private agencies or other entities include the entities obligation to adopt and comply with the PREA standards. Information provided in interviews with the Inspector General and a review of the agency website indicate that NDOC does not contract with any

private facilities or other entities to house inmates, so the audit tool shows "N/A". Thus the facility is compliant with this element.

The second element requires that new contracts or contract renewals provide for agency contract monitoring to ensure the contractor is complying with the PREA standards. As previously noted, the interview with the Inspector General and a review of the NDOC website indicate NDOC does not contract with any private facilities or other entities to house inmates, so the audit tool, shows "N/A". Thus the facility is compliant with this element.

RECOMMENDATION: None

Standard

Number here: 115.13 Supervision and monitoring

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.13 has four elements that a facility must meet for a finding of "meets standard".

The first element requires that the facility develop, document, and make best efforts to comply on a regular basis with a staff plan that provides for adequate staffing and video monitoring, and take into consideration 11 conditions. The facility produced a staffing plan that specifically addressed each of the 11 conditions consistent with the facility's mission and population size. The tour of the facility confirmed that assigned staff and supervisors were actually at their assigned post. Finally, a review of PREA investigation reports showed that no PREA reports were made by inmates at HCC, thus there were no substantiated allegations. Based on these auditor activities, the facility met the requirements of this element.

The second element requires that where the staffing plan is not complied with, the facility documents and justifies the deviation. Interviews with senior staff consistently indicated that deviations from the staffing plan were virtually non-existent within the past 12 months and that any staffing shortages were covered by the use of overtime. The audit tool indicates that if the facility has no deviations from the staffing plan, the audit tool instructs that this element is to be marked "N/A". Thus the facility meets this element.

The third element requires that at least once each year, the agency, in consultation with the PREA Coordinator, assess, determine, and document where adjustments are needed to the staffing plan, technology assets, and resources to ensure adherence to the staffing plan. The agency has taken corrective action and performed the required assessment for HCC.

The fourth element requires that the facility implements a policy and practice of having intermediate or higher level supervisors conduct unannounced rounds in the units during day and night shifts and that the policy prohibits staff from alerting other staff that these unannounced rounds are occurring. OP-400 requires unannounced rounds by the Lieutenants on each shift and prohibits staff from alerting other staff when these rounds are occurring. A review of the offender unit report and interviews with supervisory staff demonstrated that the rounds actually occurred. Thus, the facility meets this element.

RECOMMENDATION: None

Standard**Number here: 115.14** Youthful inmates

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.14 has three elements that a facility must meet for a finding of "meets standard".

The first element requires that youthful inmates will not be placed in a housing unit where they will have sight, sound, or physical contact with adult offenders through the use of shared day rooms, shower areas, or sleeping quarters. A review of the inmate DOB roster did not identify any offenders 17 or younger. Interviews with inmates did not identify any offenders 17 or younger. The audit tool indicates that when a facility has no youthful offenders, it is to be marked as N/A. Thus the facility meets this element.

The second element requires that outside of the housing unit sight and sound separation is maintained for your offenders or that there is direct supervision when youthful inmates have contact with adult offenders. The audit tool indicates that when a facility has no youthful offenders, it is to be marked as N/A. Thus the facility meets this element.

The third element requires that agencies make *best efforts* to avoid placing youthful inmates in isolation to comply with this standard and that they are not denied large muscle exercise or access to special education services, and that they have access to other programs and work opportunities. The audit tool indicates that when a facility has no youthful offenders, it is to be marked as N/A. Thus the facility meets this element.

RECOMMENDATION: None.

Standard**Number here: 115.15** Limits to cross-gender viewing and searches.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.15 has six elements that a facility must meet for a finding of "meets standard".

The first element requires that the facility shall not conduct cross-gender strip searches or cross gender body cavity searches except in exigent circumstances or when performed by medical practitioners. OP-422 prohibits such searches except in exigent circumstances or when performed by medical practitioners. Humboldt Conservation Camp is a male inmate facility, and a review of the facility security roster indicates that all the security staff are male. Body cavity searches, if necessary are done at Lovelock Correctional Center (LCC) only by a medical practitioner. Thus the facility meets this element.

The second element in the standard has a date parameter starting August 20, 2015 and it requires a finding of N/A prior to that date. Thus the facility meets this element.

The third element in the standards requires that the facility document all cross-gender strip searches and cross-gender visual body cavity searches. A review of search documentation indicates that because there

are no female officers at HCC, no female officers performed strip searches or visual body cavity searches on male inmates at HCC. Thus the facility meets this element.

The fourth element requires that the facility have policies and procedures that enable inmates to shower, perform bodily functions and change clothes without non-medical staff of the opposite gender viewing them except in exigent circumstances, and that opposite gender staff announce themselves when entering the housing unit. OP-422 requires that inmates be allowed to engage in the above activities without being viewed by opposite gender staff. A tour of the shower and toilet areas in the housing units indicates that there are adequate visual barriers to prevent opposite gender viewing. The tour of the facility also evidenced that when the female Classification Officer enters the unit, the control officer in the control bubble announces her entrance into the building. Thus the facility meets this element.

The fifth element in the standard requires that the facility shall not perform strip-searches or physically examine a transgender or intersex inmate for the sole purpose of determining the inmate's genital status. OP-422 prohibits such searches. The interviews with the intake staff indicate that they do not perform such searches. Humboldt Conservation Camp reports that they have no transgender or intersex inmates at this time. The auditor tour of the facility did not identify any inmates who were transgender or intersex, and interviews of the inmate population did not identify any transgender or intersex inmates.

The sixth element requires that security staff receive training in conducting cross-gender pat down searches and searches of transgender and intersex inmates in the least intrusive manner possible, consistent with security needs. The lesson plan on searches includes training on cross gender searches and searches of transgender and intersex inmates. Interviews of staff establish that staff have received this training. Thus the facility meets this element.

RECOMMENDATION: None.

Standard

Number here: 115.16 Inmates with disabilities and inmates who are limited English proficient.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.13 has three elements that a facility must meet for a finding of "meets standard".

The first element requires that the agency shall take *appropriate* steps to ensure inmates with disabilities have equal opportunity to participate in or benefit from efforts to prevent, detect, and respond to sexual abuse, including the use of written materials, interpreters, etc. The mission of the camp as a firefighting unit precludes the assignment of disabled inmates, including those with intellectual or psychiatric disabilities. However, the facility produced a DVD for sight impaired inmates and written material for hearing impaired inmates.

The second element of the standard requires that the agency shall take *appropriate* steps to ensure meaningful access to the facility's efforts for inmates who are limited English proficient, including the use of interpreters. The facility produced written Spanish language PREA materials for LEP inmates and a Spanish language PREA DVD. A tour of the facility revealed PREA posters in Spanish. The facility also employs a Spanish-speaking staff member who can provide interpreter services. The facility indicates that no LEP inmates are currently housed at HCC, and interviews of inmates did not identify any LEP inmates.

The third element of the standard requires that the facility shall not rely on inmate interpreters except in limited circumstances. The employment of an employee who serves as an interpreter meets this element. Thus the facility meets this element.

RECOMMENDATIONS: None.

Standard

Number here: 115.17 Hiring and promotion decisions.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.17 has eight elements that a facility must meet for a finding of "meets standard".

The first element of the standard requires that the agency shall not hire or promote anyone who may have contact with inmates and shall not enlist the services of any contractor who may have contact with inmates, who have engaged in certain prohibited behaviors. A review of AR-212, AR-300, and AR-308 revealed policy language prohibiting the hiring or promotion of those who have engaged in those prohibited behaviors. A review of personnel files shows that the facility runs a background check on new applicants. A review of the applicant packet for NDOC indicates that NDOC acquires applicant authorization to contact previous employers and ask questions regarding past conduct. Thus the facility meets this element.

The second element requires that the agency consider incidents of sexual harassment in determining whether to hire or promote anyone who may have contact with inmates. AR-300 requires considering incidents of sexual harassment in the hiring or promotion of anyone who may have contact with inmates. Thus the facility meets this element.

The third element requires that the agency conduct a criminal background check on new employees and make best efforts to contact prior institutional employers for information of substantiated allegations of sexual abuse or any resignation during a pending investigation of an allegation. AR-300 requires such reviews, and a review of personnel files indicated that criminal background checks are being conducted on new employees, and demonstrated that prospective employees signed authorizations allowing the Department to contact former employers, as well as making best efforts to contact all prior institutional employers. Thus the facility meets this element.

The fourth element requires that criminal background checks are conducted on contractors. Humboldt Conservation Camp indicates that they do not employ contractors who may have contact with inmates to provide services in the facility, such as food service or medical services. Thus the facility meets this element. However, HCC does have a contract to provide inmate labor to NDF for the purpose of fighting forest fires. The contract requires that NDF employees who supervise inmate fire crews complete PREA training and pass a criminal background check.

The fifth element requires that the facility conduct criminal background checks on employees at least every five years, or have some other system of capturing such information. AR-212 and AR-300 requires a periodic criminal background check, and a system is in place for capturing such information. A review of personnel files and OIG records shows that current NCIC documentation is in the file. Thus the facility meets the intent of this element.

The sixth element requires that the agency ask all applicants and employees about misconduct in written applications or interviews or self-evaluations, and that employees have an affirmative duty to disclose

misconduct. AR-300 requires this inquiry for applicants and disclosure during self-evaluations as part of the performance evaluation process.

The seventh element requires that material omissions or false information are grounds for termination. AR-300 provides that material omissions or false information are grounds for termination. Thus the facility meets this element.

The eighth element requires that unless prohibited by law, the agency shall provide information on substantiated allegations involving former employees upon receiving a request from an institutional employer for whom the employee has applied to work. Statute NAC 284.718 prohibits such disclosures, and the audit tool indicates that in such a case, the finding is N/A. Thus the facility meets this element of the standard.

RECOMMENDATION: None.

Standard

Number here: 115.18 Upgrades to facilities and technologies.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.18 has two elements that a facility must meet for a finding of "meets standard".

The first element requires that when designing or acquiring any new facility, and in planning any substantial expansion or modification of existing facilities, the agency shall consider the effect on the agency's ability to protect inmates. The audit tool has a finding of N/A if the agency has not acquired a new facility or made a substantial expansion since August 20, 2012. Humboldt Conservation Camp has not had a substantial expansion or modification since August 20, 2012. Thus, the facility meets this element.

The second element requires that when installing or updating a video monitoring system or other monitoring technology, the agency must consider how it will enhance the agency's ability to protect inmates from sexual abuse. The audit tool has a finding of N/A if the agency has not updated or installed monitoring technology since August 20, 2012. Humboldt Conservation Camp has not had a substantial expansion or modification since 8/20/2012. Thus, the facility meets this element.

RECOMMENDATION: None

Standard

Number here: 115.21 Evidence protocol and forensic medical exams.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.21 has eight elements that a facility must meet for a finding of "meets standard".

The first element requires the facility follow a uniform evidence protocol. AR-457 contains the facility's uniform evidence protocol. Interviews with Department investigators indicated that they are versed in the evidence protocol. Thus the facility meets this element.

The second element requires that the protocol be based on or adapted from the *National Protocol for Sexual Assault Medical Forensic examinations, Adults/Adolescents*. The Inspector General produced documentation establishing that the evidence protocol referenced the National Protocol. Thus the facility meets this element.

The third element requires that the agency shall offer all victims access to forensic medical exams without cost where medically or evidentially appropriate performed by a SANE or SAFE and that the facility shall document efforts to provide SANEs or SAFEs. OP-458 requires that victims be transported to the local medical clinic for the SANE exams, and reviews of Department investigation records show that victims are being transported when medically or evidentially appropriate.

The fourth element requires that the facility attempt to make available to the victim a victim advocate from a rape crisis center and if unavailable, the facility shall document its attempts to make one available. The Inspector General produced emails documenting the attempt to enter into an MOU with a Rape Crisis Center providing state-wide service from Las Vegas, NV. HCC relies on LCC for a designated staff member from the behavioral health department to provide advocacy services. Thus the facility meets this element.

The fifth element requires that, as requested by the victim, the victim advocate shall accompany and support the victim through the exam process and the investigatory process and provide emotional support, crisis intervention, information and referrals. OP-458 requires the facility to allow the victim advocate to support the victim throughout the exam and investigation. However, the facility reports no sexual assaults in the past 12 months. In view of the policy requirement in OP-458 and the designation of a facility victim advocate, the facility is meeting the intent of this element.

The sixth element requires the agency request that outside investigating agencies follow the requirements enumerated thus far. AR-457 requires the facility to do this. However, because there have been no allegations of sexual abuse to investigate in the past 12 months, there is no documentation showing that this has actually happened. In view of the policy requirement in AR-457, the facility is meeting the intent of this element.

The seventh element requires that outside state agencies or DOJ component that conduct investigations comply with all the elements of this standard. However, guidance from the PRC indicates that this element is to be counted as N/A.

The eighth element requires that those persons providing advocacy services be screened for appropriateness and received education concerning sexual assault and forensic exams. However, guidance from the PRC indicates that this element is to be counted as N/A.

RECOMMENDATIONS: None.

Standard

Number here: 115.22 Policies to ensure referrals for investigations.

- Exceeds Standard (substantially exceed requirement of standards)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.22 has five elements that a facility must meet for a finding of "meets standard".

The first element requires that an administrative or criminal investigation be completed for all allegations. The facility produced a log of 29 allegations made by inmates throughout the state. A review of investigation files shows that investigations were being completed in a timely manner. Thus the facility meets this element.

The second element requires that the agency shall have a policy that all allegations rising to the level of criminal violations are referred for investigation by an agency with legal authority to conduct criminal investigations and that the referral is documented, and that policy is on the website. AR-457 addresses referrals for criminal investigations and is available on the NDOC website. Thus the facility meets this element.

The third element requires that if a separate entity is responsible for criminal investigations, that the policy describes the responsibilities of the agency and the investigating entity. The audit tool states that this element is N/A if the agency is responsible for its own criminal investigations. Because the investigators in the IG's office are state-certified investigators and can refer cases for prosecution, the facility meets this element.

The fourth element requires that any state entity responsible for investigations in a prison or jail shall have a policy governing the conduct of investigations. The audit tool designates this element as N/A.

The fifth element requires that any DOJ component responsible for conducting criminal investigations or administrative investigations have in place a policy governing the conduct of such investigations. The audit tool designates this element as N/A.

RECOMMENDATIONS: None

Standard

Number here: 115.31 Employee Training

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.31 has four elements that a facility must meet for a finding of "meets standard".

The first element requires that the agency train all employees on 10 different topics related to PREA. A review of the lesson plan determined that the topics are covered. A review of training logs determined that staff are receiving the training. Interviews with staff confirm that they and received and understand the training.

The second element requires that training is tailored to the gender of the inmates at the employee's facility and that if an employee is re-assigned to a facility that houses a different gender then they will receive additional training. Humboldt Conservation Camp is a male facility and a review of the lesson plan shows that it is consistent for the population. Management reports that no new staff have been transferred from a female facility in the past 12 months so no additional training has been required. Thus the facility meets this element.

The third element requires that all current employees who have not received training shall be trained within one year of the effective date of PREA and shall receive refresher training every two years, and the facility provides refresher information in years when refresher training is not given. An interview with the PREA Compliance Manager and with random facility staff indicates that all staff have received the training and are scheduled for refresher training. Additionally refresher information on sexual abuse and sexual harassment policies is available for staff.

The fourth element requires that the agency document through employee signature or electronic verification that employees understand the training they have received. A review of personnel files provided documentation that employees signed documents acknowledging that they understood the training they received. Thus the facility meets this element.

RECOMMENDATION: None.

Standard

Number here: 115.32 Volunteer and contractor training.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.32 has three elements that a facility must meet for a finding of "meets standard". The first element requires that all volunteers and contractors receive training on their responsibility under the agency's PREA policy. Humboldt Conservation Camp has a contractual relationship with the Nevada Division of Forestry (NDF) that includes a requirement that NDF employees receive PREA training and pass a criminal background check. A review of the lesson plan shows that the agency's PREA policy is explained and a review of training records show that volunteers are receiving the training. Thus the facility meets this element.

The second element requires that the level and type of training received by volunteers and contractors is based on the level of contact they have with inmates and includes the agency's zero-tolerance policy and how to report sexual abuse. A review of the lesson plan finds that it includes the zero-tolerance statement and information on reporting sexual abuse. Thus the facility meets this element.

The third element requires that the facility maintain documentation confirming that volunteers understand the training they have received. The Inspector General produced documentation in which volunteers acknowledged understanding the training. Thus the facility meets this element.

RECOMMENDATION: None.

Standard

Number here: 115.33 Inmate Education

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.33 has six elements that a facility must meet for a finding of "meets standard". The first element requires that inmates are informed at intake of the agency's zero tolerance policy and how to report. AR-421 requires that inmates receive this information at intake. Interviews with inmates confirmed that they are aware of the zero-tolerance policy and that they know how to report. The facility also reported that since the inception of PREA training, 205 inmates have received PREA training. The second element requires that inmates receive comprehensive information about their right to be free from sexual abuse and to be free from retaliation for reporting, and the agency's procedure for

responding to such incidents. In interviews, inmates confirmed that they received this training. The facility produced documents signed by inmates acknowledging that they have received comprehensive training on the about topics.

The third element requires that current inmates who have not received the training receive it within one year of the effective date of the standards and upon transfer to a new facility. The facility produced a roster showing the names of the inmate population and the date when they received the training, consistent with the documentation of the inmates' participation in the training. Interviews with a sample of inmates confirmed that they had received the training.

The fourth element requires that the agency provide training in formats accessible to all inmates who are LEP, deaf, visually impaired, and inmates with limited reading skills. The facility produced documentation of written PREA materials in English for deaf inmates and in Spanish for LEP inmates, as well as a DVD in English and Spanish for sight impaired inmates and inmates with limited reading skills. HCC also employs a staff member who can perform translation services.

The fifth element of the standard requires the facility to maintain documentation of inmate participation in these education sessions. The facility produced documents signed by inmates showing that they received the training. This was further substantiated by inmate interviews in which they unanimously indicated that they had signed documents acknowledging that they had received training.

The sixth element requires that the facility shall ensure that key information is continuously available to inmates through posters, inmate handbooks, and other written formats. A tour of the facility confirmed that posters are posted in the units, and inmates stated that they had received PREA pamphlets the facility has provided to them.

RECOMMENDATION: None.

Standard

Number here: 115.34 Specialized training: investigations.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.34 has four elements that the facility must meet for a finding of "meets standard".

The first element requires that investigators received training in conducting sexual abuse investigations in confinement settings. The facility produced a lesson plan, sign-in rosters, and training certificates for investigators who participated in the training. Additionally, interviews with investigators confirmed that they received the training. Thus the facility meets this element.

The second element requires that the training include techniques for interviewing, Miranda/Garrity warnings, evidence collection and the criteria and evidence required to substantiate a case. A review of the investigation manual includes instructions on the use of Miranda/Garrity warnings.

The third element requires that the facility maintain documentation that the investigators have completed the training. The Inspector General produced copies of signed training rosters and training certificates. Thus the facility meets this element.

The fourth element requires that any state entity that investigates sexual abuse in confinement settings provides training to it agents and investigators. The facility was unable to produce documents showing that state agents had received training. However, under interpretive guidelines promulgated by the PRC, the facility cannot be held accountable for agents not under its direct control. Thus the facility meets this element.

RECOMMENDATIONS: None.

Standard

Number here: 115.35 Specialized training: medical and mental health care

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.35 has four elements that the facility must meet for a finding of "meets standard".

The first element requires that medical and mental health staff received training in detecting and assessing signs of sexual abuse, preserving evidence, responding to victims, and how to report allegations or suspicions of sexual abuse. As a remotely managed satellite facility of the Lovelock Correctional Center with medical services provided by LCC, the facility produced training certificates showing medical and mental health staff at LCC received the training. Additionally, interviews with medical and mental health staff at LCC confirmed that they had received this training. Thus the facility meets this element.

The second element requires that *if* medical staff conduct forensic exams, that they shall receive the training referenced in this standard. Medical staff at LCC do not perform forensic exams, which are performed at the closest hospital equipped to perform medical forensic examinations.

The third element requires that the agency maintain documentation that medical and mental health staff received the training. LCC produced training certificates showing medical and mental health staff received the training. Additionally, interviews with medical and mental health staff at LCC indicate that they have received the training. Thus the facility meets this element.

The fourth element requires that medical and mental health staff also receive the training mandated for employees. The facility produced documentation showing that they had received this training, and interviews with staff confirmed that they had received it. Thus the facility meets this element.

RECOMMENDATIONS: None.

Standard

Number here: 115.41 Screening for risk of victimization and abusiveness.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.41 has nine elements that a facility must meet for a finding of "meets standard".

The first element requires that all inmates are screened during the intake process. The facility produced documents showing that inmates were screened. A review of random inmate case notes in NOTIS confirmed that inmates were being assessed during the intake process. In interviews, inmates all affirmed that they participated in the screening process. Thus the facility meets this element.

The second element requires that the screening take place within 72 hours of arrival. The facility produced an inmate roster showing dates-of-arrival. This was compared with the dates on the screening forms, confirming that the screening was taking place within 72 hours of arrival.

The third element requires that the assessments shall be conducted using an objective screening instrument. A review of the screening instrument confirms that it uses objective criteria for screening inmates. Thus the facility meets this element.

The fourth element requires that the screening consider 10 criteria for the risk of sexual victimization. A review of the screening instrument shows that it uses the 10 criteria. Thus the facility meets this element.

The fifth element requires that the screening consider three criteria to measure an inmate's the risk of sexual abusiveness. A review of the screening instrument shows that it uses four criteria. Thus the facility meets this element.

The sixth element requires that inmates are rescreened within 30 days. A review of a random sample of inmate file documentation showed that inmates were being rescreened within 30 days of the initial screening. Thus the facility meets this element.

The seventh element requires that an inmate's risk level will be re-assessed when warranted, requested, or additional information is received. A review of investigation filed identified inmates who had need of re-assessment and a review of inmate files confirmed that those inmates had been re-screened. Thus the facility meets this element.

The eighth element mandates that inmates may not be disciplined for refusal to answer questions or disclose information during screening. AR-573 prohibits disciplining inmates for refusing to disclose or answer questions. No evidence was produced that inmates had been disciplined for refusing to answer or disclose, and no inmates indicated in their interviews that they had received such disciplinary action. Thus the facility meets this element.

The ninth element requires that the agency implement controls on the dissemination within the facility to ensure sensitive information is not exploited to the inmate's detriment. OP-421 requires that the screening tool and information is kept confidential in the I-files. Thus the facility meets this element.

RECOMMENDATIONS: None.

Standard

Number here 115.42: Use of screening information.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.42 has seven elements that the facility must meet for a finding of "meets standard".

The first element requires that the agency shall use screening information to inform housing and program decisions with regard to inmates' safety. Warden LeGrand and PREA Compliance Manager Tara Carpenter explained how this was accomplished during their interviews and that inmates who scored high for risk of sexual victimization were not housed in the same room with an inmate who scored high for risk of being sexually abusive. Thus the facility meets this element.

The second element requires that the agency makes individualized determinations to ensure the safety of each inmate. A review of the classification tool and needs assessment performed on inmates demonstrates that decisions are made on an individualized basis. Thus the facility meets this element.

The third element requires that decisions are made on a case-by-case basis regarding the placement of transgendered inmates in male or female facilities. The screening tool and classification tool are specific to individual inmates, thus the facility meets this element.

The fourth element requires that placement and programming assignments for transgendered or intersex inmates are reassessed at least twice each year. HCC reported that no inmates identified as transgender or intersex were assigned to HCC. No transgendered or intersex inmates were identified during the facility tour. Additionally, inmate interviews did not identify any transgendered or intersex inmates. However, agency policy requires that all inmates have their placement and programming reassessed at least twice each year. Thus the facility meets this element.

The fifth element requires that a transgender or intersex inmate's views are given consideration. OP-504 requires that inmates received due process in the classification and programming process, receiving the opportunity to hear the justification for placement decisions and the opportunity to rebut the reasons. Thus the facility meets this element.

The sixth element requires that transgender and intersex inmates can shower separately from other inmates. No transgendered or intersex inmates were identified at HCC, though the shower facilities have single stall showers that can only be used by one inmate at a time, providing the ability for transgender and intersex inmates to shower separately from the rest of the inmate population. Thus the facility meets this element.

The seventh element requires that the agency does not place LGTBI inmates in dedicated facilities, wings, or units based solely on such identification or status. The warden indicated in his interview that no such units exist in the facility. A review of the cell roster shows that inmates identified as LGTBI are not confined to one unit, and LGTBI inmates indicated in their interviews that they are not housed in segregated units designated for them. Thus the facility meets this element.

RECOMMENDATION: None

Standard

Number here: 115.43 Protective custody

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.43 has five elements that a facility must meet for a finding of "meets standard".

The first element requires that at risk inmates shall not be placed in involuntary segregation unless an assessment of all alternative placements has been made. Humboldt Conservation Camp does not have a segregation unit, and inmates requiring placement in segregation are transferred out of the facility. Thus the facility meets this element.

The second element requires that inmates placed in segregation based solely on their risk level have access to privileges and programs and if access is limited, the limited opportunities and reasons for those limitations are documented. As discussed in the previous element, no inmates matching the criteria were identified at Humboldt Conservation Camp. Thus the facility meets this element.

The third element requires that inmates are only placed in segregation until alternative placements can be identified and that the assignment shall not exceed 30 days. As discussed in the previous element, no inmates matching the criteria were identified. Thus the facility meets this element.

The fourth element requires that if an inmate is placed in segregation the facility shall document the basis for the facility's concern for his safety and why no alternatives are available. As discussed in the previous element, no inmates matching the criteria were identified. Thus the facility meets this element. The fifth element requires that inmates who are placed in segregation have their placement reviewed every 30 days to determine if there is a continuing need for placement. Humboldt Conservation Camp does not have a segregation unit, and inmates requiring placement in segregation are transferred out of the facility. Thus the facility meets this element.

RECOMMENDATION: None

Standard

Number here: 115.51 Inmate reporting

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.51 has four elements that a facility must meet for a finding of "meets standard".

The first element requires that the agency provide multiple ways for inmates to privately report sexual abuse and harassment, retaliation, or staff neglect. Inmates at Humboldt Conservation Camp have five independent ways to report sexual victimization, including writing directly to the State Attorney General or the Office of the Inspector General. Thus the facility meets this element.

The second element requires that the facility provide at least one way for inmates to report to a private entity or office that is not part of the agency and that is able to immediately forward reports to agency officials, allowing the inmate to remain anonymous. The Office of the State Attorney General is designated as the outside agency to which inmates may report sexual victimization.

The third element requires that staff shall accept reports made verbally, in writing, anonymously, and from third parties and shall promptly document any verbal reports. AR-322 requires staff to accept verbal, written, and anonymous reports, document verbal reports in NOTIS, and the agency webpage lists a phone number where third party reports can be made. Thus the facility meets this element.

The fourth element requires that the agency provide a method for staff to privately report sexual abuse and harassment of inmates. Interviews with facility staff indicate that they have several options for reporting incidents of sexual misconduct in a confidential manner that do not require following the chain of command, and include reporting directly to the Office of the Inspector General or the State Attorney General. Thus the facility meets this element.

RECOMMENDATION: None

Standard

Number here: 115.52 Exhaustion of administrative remedies.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.52 has six elements that a facility must meet for a finding of "meets standard". A review of AR-740 for all six elements shows all the elements present.

RECOMMENDATION: None.

Standard

Number here: 115.53 Inmate access to outside confidential support services.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.53 has three elements that a facility must meet for a finding of "meets standard".

The first element requires that the facility shall give inmates access to outside victim advocates by providing mailing addresses and telephone numbers of local, state, or national advocacy programs and that the facility shall enable reasonable communication in as confidential manner as possible. The printed material given to inmates lists the phone number and mailing address to a state-wide rape crisis center and provides unmonitored phone access to the rape crisis center. Thus the facility meets this element.

The second element requires that facility inform the inmates the extent to which their communication will be monitored and the extent to which the report will be forwarded to authorities in accordance with mandatory reporting laws. The printed material distributed to inmates provides this information. Additionally, inmates indicated that they received this information, thus the facility meets this element.

The third element requires that the facility enter into or attempt to enter into MOUs with community service providers who can provide inmates with confidential emotional support services. The Inspector General produced documentation of their attempt to enter into a MOU with a state-wide service provider. Thus the facility meets this element.

RECOMMENDATION: None.

Standard

Number here: 115.54 Third-party reporting.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard.

Standard 115.54 has one element that a facility must meet for a finding of "meets standard".

The standard requires that the facility shall establish a method to receive third-party reports of sexual abuse and harassment and publicly distribute information on how to report on behalf of an inmate. The agency website has instructions on how to make a third party report. During interviews, inmates also indicated that they were informed about third-party reports. Thus the facility meets this standard.

RECOMMENDATION: None.

Standard**Number here: 115.61** Staff and agency reporting duties

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.61 has five elements that a facility must meet for a finding of "meets standard".

The first element requires that staff are required to immediately report knowledge, suspicion, or information regarding an incident of sexual abuse or harassment, retaliation, or staff neglect of duties. AR-322 has this requirement. Interviews with staff, including medical and mental health staff from LCC, also confirm that this is practice at the facility. Thus the facility meets this element.

The second element requires that staff shall not reveal information to anyone other than make treatment, investigation, and other security/management decisions. AR-322 establishes this requirement. Interviews with staff, including medical and mental health staff from LCC, also confirms that this is practice at the facility. Thus the facility meets this element.

The third element requires that medical and mental health practitioners are required to report sexual abuse pursuant to this standard and that they are required to inform the inmate of this duty. Interviews with medical and mental health staff from LCC also confirm that this is practice at the facility. Thus the facility meets this element.

The fourth element requires that if a victim is under the age of 18 or is considered a vulnerable person under statute, the agency shall report the allegation to the designated state or local services agency. Interviews with staff, including medical and mental health staff from LCC, also confirm that they are required to make these reports. Thus the facility meets this element.

The fifth element requires that all third-party reports are reported to the designated investigators. Policy AR-421 contains this requirement and interviews with investigators confirm that this is the practice at the facility. Thus the facility meets this standard.

RECOMMENDATION: None

Standard**Number here: 115.62** Agency protection duties

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.62 has one element that a facility needs to meet for a finding of "meets standard".

The standard requires that when an agency learns that an inmate is subject to a substantial risk of imminent sexual abuse, it takes immediate action to protect the inmate. Both AR-740 and OP-121 have this requirement. Interviews with facility staff indicate that this is the established practice at Humboldt Conservation Camp, and a review of investigation files confirms that when the allegation is made, a referral for investigation is immediately made and that the inmate is separated from the potential threat. Thus the facility meets this standard.

RECOMMENDATION: None

Standard

Number here: 115.63 Reporting to other confinement facilities.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.63 has four elements that a facility must meet for a finding of "meets standard".

The first element requires that upon receiving an allegation that an inmate was sexually abused at another facility, the head of the facility shall notify the head of the facility or the appropriate office of the agency where the alleged abuse occurred. OP-121 contains this requirement thus the facility meets this element.

The second element requires that such notification is provided as soon as possible but no later than 72 hours after receiving the allegation. OP-121 contains this requirement, thus the facility meets this element.

The third element requires that the agency shall document that it has provided such notification. OP-121 requires that notifications are entered into NOTIS, and the facility produced documents showing that this in fact has occurred. Thus the facility meets this element.

The fourth element requires that the facility head or agency office that receives such notification shall ensure that the allegation is investigated in accordance with these standards. OP-121 contains this requirement. Thus the facility meets this element.

RECOMMENDATION: None.

Standard

Number here: 115.64 Staff first responder duties.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.64 has two elements that a facility must meet for a finding of "meets standard".

The first element requires that upon learning that an inmate was sexually abused the victim and the abuser are separated, the crime scene is preserved, and that the victim is requested to take no actions that could destroy evidence. A review of AR-458 and the staff training lesson plan confirms that staff are trained to do this. A review of printed materials for inmate show that these instructions are included. Interviews with inmates and staff show that this is the practice at the facility. Thus the facility meets this element.

The second element requires that if the first staff responder is not a security staff member, the responder is required to request that the victim not take any action that could destroy evidence and then notify security staff. A review of AR-458 and the lesson plan given to staff shows that staff are informed of this

requirement. Interviews with non-custody employees confirm that this is the practice at this facility. Thus the facility meets this element.

RECOMMENDATIONS: None

Standard

Number here: 115.65 Coordinated response.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.65 has one element that a facility must meet for a finding of "meets standard". This standard requires that the facility shall develop a written institutional plan to coordinate actions taken in response to an incident of sexual abuse, among staff first responders, medical and mental health practitioners, investigators, and facility leadership. OP-458, Form "B", and the PREA flow chart documents such a plan and interviews with facility staff confirms that they are familiar with this plan. Thus the facility meets this standard.

RECOMMENDATION: None.

Standard

Number here: 115.66 Preservation of ability to protect inmates from contact with abusers.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.66 has two elements that a facility must meet for a finding of "meets standard". The first element requires that agency not enter into any collective bargaining agreement that limits the agency's ability to remove alleged staff abusers from contact with inmates pending the outcome of an investigation. NDOC does not have a collective bargaining agreement with employees that would prevent the agency from removing alleged staff abusers from contact with inmates. Thus the facility meets this element.

The audit tool marks the second element as non-applicable.

RECOMMENDATION: None.

Standard

Number here 115.67 Agency protection against retaliation.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.67 has five elements that a facility must meet for a finding of "meets standard".

The first element requires the agency to establish a policy to protect all inmates and staff who report sexual abuse or harassment or cooperate with investigations from retaliation by other inmates or staff, and designates staff members or departments with monitoring retaliation. OP-421 protects inmates and staff from retaliation and Lts. Carey and Ward are designated as the persons who monitor for retaliation. Thus the facility meets this element.

The second element requires the agency to employ multiple protection measures for inmates or staff who fear retaliation for reporting or cooperating. There is no explicit statement in OP-421 that supports this element. However, Warden Legrand outlined in his interview the multiple measures used at Humboldt Conservation Camp to protect inmates and staff who fear retaliation, including reassignment and monitoring. Interviews with staff and inmates confirms that they know what these steps are. Thus the facility meets this element.

The third element requires monitoring those staff or inmates who make reports or cooperate with investigations for retaliation for 90 days. AR-421 establishes a 90-day monitoring period to protect inmates and staff from retaliation. Interviews with staff and inmates confirms that they advised of this monitoring. Thus the facility meets this element.

The fourth element requires that monitoring includes periodic status checks. AR-421 contains language that establishes periodic status checks.

The fifth element requires that if any other individual who cooperates with an investigation expresses a fear of retaliation, the agency shall take appropriate measures to protect that individual against retaliation. AR-421 has this requirement, thus the facility meets this requirement.

RECOMMENDATIONS: None.

Standard

Number here: 115.68 Post-allegation protective custody.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.68 has one element that the facility must meet for a finding of "meets standard".

The standard requires that the use of segregation to house inmates who are alleged to have suffered sexual abuse shall be subject to the requirements of 115.43.

Standard 115.43 has five elements that a facility must meet for a finding of "meets standard".

The first element requires that at risk inmates shall not be placed in involuntary segregation unless an assessment of all alternative placements has been made. OP-501 prohibits the placement of inmates in segregation without listing the reasons why no alternatives are appropriate. Further, HCC does not have a segregation unit. Thus the facility meets this element.

The second element requires that inmates placed in segregation based solely on their risk level have access to privileges and programs and if access is limited, the limited opportunities and reasons for those limitations are documented. As discussed in the previous element, no inmates matching the criteria were identified. Thus the facility meets this element.

The third element requires that inmates are only placed in segregation until alternative placements can be identified and that the assignment shall not exceed 30 days. As discussed in the previous element, no inmates matching the criteria were identified. Thus the facility meets this element.

The fourth element requires that if an inmate is placed in segregation the facility shall document the basis for the facility's concern for his safety and why no alternatives are available. As discussed in the previous element, no inmates matching the criteria were identified. Thus the facility meets this element.

The fifth element requires that inmates who are placed in segregation have their placement reviewed every 30 days to determine if there is a continuing need for placement. OP-501 requires that inmates in segregation have their placement reviewed every thirty days and a review of inmates' files shows that inmates in segregation are being reviewed every thirty days. Thus the facility meets this element.

RECOMMENDATIONS: None

Standard

Number here: 115.71 Criminal and administrative agency investigations

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.71 has twelve elements that a facility must meet for a finding of "meets standards".

The first element requires that when an agency conducts its own investigations, it does so promptly. OP-421 requires that investigations are initiated promptly. Interviews with investigators confirm that they investigate promptly. A review of investigation files indicates that investigations happen promptly. Thus the facility meets this element.

The second element requires that the facility uses investigators that have received the specialized training required by 115.34. The finding of meets for 115.34 means that the facility meets this element also.

The third element requires that investigators collect evidence, interview those named in the investigation, and review prior complaints against the suspected perpetrator. AR-421 contains the investigative protocol with these requirements. Interviews with the investigators confirms they know this protocol, and a review of investigative case files confirms that this protocol is followed.

The fourth element requires that when the quality of evidence supports criminal prosecution, the investigators conduct interviews only after consulting with prosecutors. OP-421 has this requirement. Interviews with investigators show that they are in close contact with the Attorney General's Office in these cases, and a review of investigation files shows that it actually happens. Thus the facility meets this element.

The fifth element requires that the credibility of a person is not determined by their status as an inmate or staff member and that there is no requirement that a person submit to a truth telling device as a condition for proceeding with the investigation. The investigations manual includes this requirement.

The sixth element requires that administrative investigations shall include an effort to determine whether staff actions or failures contributed to the abuse, and that administrative investigations shall be documented with a description of the physical and testimonial evidence, the reasoning behind the credibility assessments, and the facts and findings. The investigations manual includes this requirement.

The seventh element requires that criminal investigations shall be documented in a written report with thorough descriptions of evidence. AR-421 has this requirement. Interviews with investigators show that

this is their practice, and a review of case files shows that it actually happens. Thus the facility meets this element.

The eighth element requires that substantiated allegations of conduct that appear to be criminal are referred for prosecution. AR-421 has this requirement. Interviews with investigators show that this is their practice, and a review of case files shows that it actually happens. Thus the facility meets this element.

The ninth element requires that case files are kept for as long as the abuser is incarcerated or employed plus 5 years. The audit cycle has not yet gone far enough to unequivocally say that records are kept for five years beyond the subject's exit date. Due to the absence of any evidence that this is not happening, the facility meets this element.

The tenth element requires that the departure of accused employees from employment does not provide a basis for terminating the investigation. AR-421 has this requirement. Thus the facility meets this element.

The eleventh element requires that any State component that conducts investigations shall do so pursuant to the above requirements. Pursuant to the interpretive guidelines promulgated by DOJ, The facility is not held accountable for other State investigation components.

The twelfth element requires that when outside agencies investigate, the facility cooperates with outside investigators and remain informed of the progress of the investigations. AR-421 has this requirement. Thus the facility meets this element.

RECOMMENDATIONS: None.

Standard

Number here: 115.72 Evidentiary standard for administrative investigations.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.72 has one element that the facility must meet for a finding of "substantial compliance". The standard requires that the agency impose no higher standard than a preponderance of evidence in determining whether allegations of sexual abuse or harassment are substantiated. AR-341 establishes preponderance of evidence as the standard of evidence in administrative investigations. Interviews with the Inspector General confirm that this is the standard of evidence used to make a finding of substantiated.

RECOMMENDATIONS: None.

Standard

Number here: 115.73 Reporting to inmates.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.73 has six elements a facility must meet for a finding of "meets standard".

The first element requires that at the completion of an investigation, the facility must inform the inmate whether the allegations were substantiated, unsubstantiated, or unfounded. AR-457 requires inmates to be informed of investigation outcomes. The Inspector General also produced copies of emails directing staff to inform inmates of the outcomes of the investigations into their allegations. Thus the facility meets this element.

The second element requires that if the agency did not conduct the investigation, it will request relevant information in order to inform the inmate. The audit tool marks this element as N/A when the agency conducts its own criminal and administrative investigations. Thus this element is N/A.

The third element requires that inmates must be informed when an accused staff member is no longer posted in the inmate's unit, no longer employed, has been indicted, and has been convicted. During the past 12 months, no employees have had any of the above actions taken, so there is no supporting documentation for this element. Based on the available documentation and in the absence of any evidence that the facility is not doing this, the facility is determined to have met this element.

The fourth element requires that when another inmate is indicted or convicted on a charge of sexual abuse, the facility will inform the victim. Even though during the past 12 months, no inmates have had been indicted or convicted on a charge of sexual abuse, the Inspector General demonstrated the automated system in place for making and tracking notifications. Based on the available documentation and in the absence of any evidence that the facility is not doing this, the facility is determined to have met this element.

The fifth element requires that all such notifications are documented. As no employees or inmates have had any of the above adverse actions taken against them, there is no supporting documentation for this element. However, the Inspector General demonstrated the automated system in place for making and tracking notifications. Based on the available documentation, the automated system, and in the absence of any evidence that the facility is not doing this, the facility is determined to have met this element.

The sixth element requires that an agency's obligation to report the above is terminated if the inmate is released from the agency's custody. No finding is required for this element.

RECOMMENDATION: None.

Standard

Number here: 115.76 Disciplinary sanctions for staff.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.76 has four elements that a facility must meet for a finding of "meets standard".

The first element requires that staff who engage in sexual abuse or harassment are subject to discipline up to and including termination. AR-339 has this requirement. As no employees have had any of the above adverse actions taken against them, there is no supporting documentation for this element. Based on the available documentation and in the absence of any evidence that the facility is not doing this, the facility is determined to have met the intent of this element.

The second element requires that termination is the presumptive disciplinary sanction for staff who have engaged in sexual touching. AR-339 has this requirement. However, as no employees have had a finding against them for substantiated for sexual touching, there is no supporting documentation for this

element. Based on the policy statement, and in the absence of any evidence that the facility is not doing this, the facility is determined to have met the intent of this element.

The third element requires disciplinary sanctions for violations of agency policy shall be commensurate with the nature and circumstances of the acts committed, disciplinary history, and sanctions imposed for comparable offenses by other staff. AR-339 has this requirement. However, as no employees have received a finding of substantiated for violations of policies against sexual abuse and harassment, there is no supporting documentation for this element. Based on the available policy documentation and in the absence of any evidence that the facility is not doing this, the facility is determined to have met the intent of this element.

The fourth element requires that all terminations or resignations for violations of the agency's policies are reported to law enforcement agencies and relevant licensing bodies unless the activity was not criminal. AR-421 has this requirement. However, as no employees have received a finding of substantiated for violations of policies against sexual abuse and harassment, there is no supporting documentation for this element showing that this reporting has taken place. Based on the available policy documentation and in the absence of any evidence that the facility is not doing this, the facility is determined to have met the intent of this element.

RECOMMENDATIONS: None

Standard

Number here: 115.77 Corrective actions for contractors and volunteers.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.77 has two elements that a facility must meet for a finding of "meets standard".

The first element requires that any contractor or volunteer who engages in sexual abuse shall be prohibited from contact with inmates and shall be reported to law enforcement agencies unless the activity was not criminal, and to relevant licensing bodies. OP-421 has this requirement. However, as no contractors or volunteers have received a finding of substantiated for violations of policies against sexual abuse and harassment in the past twelve months, there is no supporting documentation for this element showing that this reporting has taken place. Based on the available policy documentation and in the absence of any evidence that the facility is not doing this, the facility is determined to have met the intent of this element.

The second element requires that facilities take remedial measures and consider whether to prohibit further contact with inmates when contractors or volunteers violate sexual abuse or harassment policies. OP-421 has this requirement. However, as no contractors or volunteers have received a finding of substantiated for violations of policies against sexual abuse and harassment in the past twelve months, there is no supporting documentation for this element showing that this reporting has taken place. Based on the available policy documentation and in the absence of any evidence that the facility is not doing this, the facility is determined to have met the intent of this element.

RECOMMENDATIONS: None

Standard

Number here: 115.78 Disciplinary sanctions for inmates

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.78 has seven elements that a facility must meet for a finding of "meets standard". The first element requires a formal disciplinary process for inmates who engage in sexual abuse. OP-421 is the formal disciplinary process. Thus the facility meets this element.

The second element requires that sanctions are commensurate with the nature and circumstances of the abuse committed, the inmate's disciplinary history, and sanctions imposed for comparable offenses by other inmates. OP-421 contains the list of sanctions, and the warden states in his interview that this is the practice. A review of inmate disciplinary documents supports this element. Thus the facility meets this element.

The third element requires that the disciplinary process consider an inmate's mental disabilities or mental illness when determining what type of sanction is imposed. OP-421 contains this requirement. Thus the facility meets this element.

The fourth element requires that if the facility offers interventions to address the abuse, the facility shall consider requiring the inmate to participate in such interventions as a condition of access to programming or other benefits. AR-707 contains this requirement, thus the facility meets this element.

The fifth element requires that inmates are sanctioned for contact with staff only if staff did not consent to it. OP-421 has this requirement. An interview with the warden confirmed that this is also the practice at this facility. Thus the facility meets this element.

The sixth element requires that a report made in good faith shall not constitute false reporting or lying, even if the investigation does not establish sufficient evidence to substantiate the allegation. OP-421 contains this requirement. The interview with the warden indicates that no inmates have been charged with filing a false report. Thus the facility meets this element.

The seventh element requires that a facility may prohibit all sexual activity between inmates, but that non-coerced activity does not constitute sexual abuse. OP-421 has a specific charge to apply in these cases. Thus the facility meets this element.

RECOMMENDATIONS: None.

Standard

Number here: 115.81 Medical and mental health screenings; history of sexual abuse.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.81 has five elements that a facility must meet for a finding of "meets standard". The first element requires inmates who disclose past sexual abuse during screening shall be offered a follow up meeting with a medical or mental health practitioner within 14 days of the intake screening. OP-613 has this requirement. Interviews with medical and mental health staff from LCC also confirm that this is the practice for HCC and LCC. Thus the facility meets this element.

The second element requires that if intake screening indicates that a prison inmate has perpetrated sexual abuse, staff shall ensure that the inmates is offered a follow up meeting with a mental health practitioner within 14 days of the screening. OP-613 has this requirement. Interviews with mental health staff also confirm that this is the practice at HCC and LCC. Thus the facility meets this element.

The third element applies to jails and is non-applicable to prisons.

The fourth element requires that any information related to sexual victimization or abuse shall be strictly limited to staff as necessary to inform treatment plans, and security and management decisions. OP-121 has this requirement. Thus the facility meets this element.

The fifth element requires that staff shall obtain informed consent before reporting prior sexual victimization that did not occur in an institutional setting, unless the inmate is under the age of 18. OP-613 has this requirement. Interviews with mental health staff from LCC also confirm that this is the practice at HCC. Thus the facility meets this element.

RECOMMENDATIONS: None

Standard

Number here: 115.82 Access to emergency medical and mental health services.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.82 has four elements a facility must meet for a finding of "meets standard".

The first element requires that victims shall receive timely, unimpeded access to emergency medical treatment and crisis intervention services as determined appropriate by practitioners according to their professional judgment. Interviews with medical and mental health staff from LCC indicate that inmates at HCC have unimpeded and timely access to medical and mental health services. Form DOC2502 also shows that this is the practice at this facility. Thus the facility meets this element.

The second element requires that if no qualified medical or mental health staff are on duty, first responders take steps to protect the victim and notify medical and mental health staff. Form "B" has this requirement and interviews with security staff indicate that they know this requirement. Thus the facility meets this element.

The third element requires that inmates are offered timely information about pregnancy related medical services and sexually transmitted infections prophylaxis. OP-613 has this requirement, a review of medical logs show that this is occurring, and interviews with medical staff from LCC indicate that this is the practice at HCC. Thus the facility meets this element.

The fourth element requires that treatment services are provided to victims without cost regardless of whether they name the abuser. OP-613 has this requirement. Interviews with inmates demonstrates that they are aware that treatment services are provided without cost. Thus the facility meets this element.

RECOMMENDATION: None

Standard**Number here: 115.83** Ongoing medical and mental health care for sexual abuse victims and abusers.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.83 has eight elements that the facility must meet for a finding of "meets standard".

The first element requires that ongoing medical and mental health evaluations and treatment are offered to victims who, during the time of their current incarceration have been victimized. OP-504 has this requirement, thus the facility meets this element.

The second element requires that evaluation and treatment include follow up services, treatment plans, and referrals for conducted care following transfer, placement in, or release from custody. OP-609 has this requirement. No investigations into allegations of sexual abuse in the past 12 months have been substantiated, so there are no medical records showing that this is the practice at this facility. In the absence of documentation showing non-compliance with this element, it is determined that the facility meets this element.

The third element requires that the level of care provided is consistent with community levels of care. OP-609 has this requirement and interviews with medical staff also establish that this is the practice.

The fourth element requires that victims of vaginal penetration are offered pregnancy tests. This facility is an all-male facility and this element is listed as N/A for this facility.

The fifth element requires is also N/A for all-male facilities.

The sixth element requires that victims are offered tests for STIs as medically appropriate. OP-609 contains this requirement. Interviews with medical staff also indicate that this is the practice. Thus the facility meets this element.

The seventh element requires that on-going treatment is provided without cost. OP-609 has this requirement. Interviews with inmate also indicate that this is the information they received at this facility. Thus the facility meets this element.

The eighth element requires that known inmate abusers have a mental health evaluation within 60 days of learning of such abuse history and are offered treatment. OP-609 has this requirement and interview with mental health staff indicate that this is the practice at this facility. Thus the facility meets this element.

RECOMMENDATIONS: None.

Standard**Number here: 115.86** Sexual abuse incident reviews.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.86 has four elements a facility must meet for a finding of "meets standard".

The first element requires that the facility conducts an incident review at the conclusion of every investigation, including where the finding is unsubstantiated, unless the finding is unfounded. OP-421 has this requirement. Because there have been no findings of substantiated or unsubstantiated on allegations of sexual abuse, there have been no sexual abuse incident reviews in the past 12 months. The policy requirement and the interviews with members of sexual abuse incident review team members supports a conclusion that the intent of this element is being met., thus the facility meets this element.

The second element requires that such reviews occur within 30 days of the conclusion of the investigation. Because there have been no findings of substantiated or unsubstantiated on allegations of sexual abuse, there have been no sexual abuse incident reviews in the past 12 months. The policy requirement and the interviews with members of sexual abuse incident review team members supports a conclusion that the intent of this element is being met, thus the facility meets this element.

The third element requires that the review team include upper management officials with input from line supervisors, investigators, and medical or mental health practitioners. The policy requirement and the interviews with members of sexual abuse incident review team members supports a conclusion that the intent of this element is being met., thus the facility meets this element.

The fourth element requires the incident review team to include six specific requirements in the incident review. Members of the sexual abuse incident review team all identified the six requirements to be addressed in the incident review, supporting a finding that the facility meets this element.

RECOMMENDATION: None.

Standard

Number here: 115.87 Data Collection

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.87 has six elements a facility must meet for a finding of "meets standard".

The first element requires that the agency collect accurate uniform data for every allegation of sexual abuse using a standardized instrument and set of definitions. This function is performed at the agency level, and the Inspector General produced documentation showing that the required data is being collected. Thus the facility meets this element.

The second element requires that the agency shall aggregate incident based data annually. A review of the Department's website showed that data was being aggregated. Thus the facility meets this element.

The third element requires that the incident based data includes the data necessary to answer all the questions from the Survey of Sexual Victimization (SSV). The Inspector General produced documentation showing that the data collected included that data necessary to complete the SSV. Thus the facility meets this element.

The fourth element requires that the agency maintains, reviews, and collects data from all incident based documents including reports, investigation files, and sexual abuse incident reviews. The Inspector General produced documentation which demonstrates that this is the practice. Thus the facility meets this element.

The fifth element requires that the agency collect information from every privately operated facility with which it contracts to hold inmates. NDOC does not contract with privately operated facilities, so this element is N/A.

The sixth element requires that the agency provides all such data to the DOJ no later than June 30. The Inspector General provided dated copies of the SSV sent to the DOJ. Thus the facility meets this element.

RECOMMENDATIONS: None.

Standard

Number here: 115.88 Data review for corrective action.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.88 has four elements a facility must meet for a finding of "meets standard".

The first element requires that the agency review aggregated data to identify problem areas, take corrective action, and prepare a report of its findings and corrective action. The Department has taken corrective action and produced and published a report identifying problem areas and corrective action. Thus the facility meets this element

The second element requires that the report contain a comparison to the data of the previous year and provide an assessment of the agency's progress in addressing sexual abuse. The Department has taken corrective action and produced and published a report with a comparison with previous years' data and an assessment of the agency's progress in addressing sexual abuse . Thus the facility meets this element.

The third element requires that the report be approved by the agency's head and that it is made readily available to the public through its website. The Inspector General produced documentation showing that the information available on the Department's website was approved by Director Cox and the Department has provided a means for public access to the report. Thus the facility meets this element.

The fourth element requires that the agency redact information that, if published, would present a clear and specific threat to the safety and security of the facility and that the nature of the redacted material is indicated. The report contained no victim or perpetrator identifiers or other information that, if released, would present a clear and specific threat to the safety and security of the facility that needed to be redacted from the report, thus the facility meets this element.

RECOMMENDATION: None.

Standard

Number here: 115.89 Data storage, publication, and destruction.

- Exceeds Standard (substantially exceed requirement of standard)
- Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)
- Does Not Meet Standard (required corrective action)

Auditor comments, including corrective actions needed if does not meet standard

Standard 115.89 has four elements that a facility must meet for a finding of "meets standard".

The first element requires that the agency ensure that the data collected is securely retained. The data kept by the agency is stored with the Office of the Inspector General with restricted access. Thus the facility meets this element.

The second element requires that the agency makes aggregated data available to the public at least annually through its website. The NDOC website includes the aggregated data in its annual report. Thus the facility meets this element.

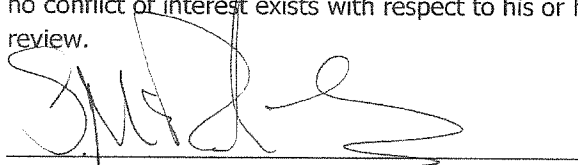
The third element requires the agency to remove all personal identifiers before making the data publicly available. A review of the aggregated data determined that no personal identifiers were included in the report. Thus the facility meets this element.

The fourth element requires that the agency maintain the data for at least 10 years after the date of its initial collection unless Federal, State, or local law require otherwise. The data collected by the agency only goes back to 2010, so the ten-year threshold has not yet been met. Having determined that the date goes back to at least 2012, the date when the PREA standards were effective, this Department meets the intent of this element.

RECOMMENDATION: None.

AUDITOR CERTIFICATION:

The auditor certifies that the contents of the report are accurate to the best of his/her knowledge and no conflict of interest exists with respect to his or her ability to conduct an audit of the agency under review.



Auditor Signature

August 21, 2014

Date