

PREA AUDIT: AUDITOR'S SUMMARY REPORT

ADULT PRISONS & JAILS

NATIONAL
PREA
RESOURCE
CENTER



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Bureau of Justice Assistance
U.S. Department of Justice

[Following information to be populated automatically from pre-audit questionnaire]

Name of facility:	Arizona State Prison Complex-Yuma		
Physical address:	7125 East Juan Sanchez Blvd., San Luis, AZ 85349		
Date report submitted:	25 April, 2015		
Auditor Information	Jack Falconer		
Address:			
Email:			
Telephone number:			
Date of facility visit:	13-16 April, 2015		
Facility Information			
Facility mailing address: (if different from above)	ASPC Yuma, PO Box 8909, San Luis, AZ 85349		
Telephone number:	(928) 627-8871		
The facility is:	<input type="checkbox"/> Military	<input type="checkbox"/> County	Federal
	<input type="checkbox"/> Private for profit	<input type="checkbox"/> Municipal	x <input type="checkbox"/> State
	<input type="checkbox"/> Private not for profit		
Facility Type:	<input type="checkbox"/> Jail	x <input checked="" type="checkbox"/> Prison	
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Agency Information			
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AUDIT FINDINGS

NARRATIVE:

The PREA Audit of the Arizona State Prison Complex-Yuma (ASPC-Yuma) was conducted on 13-16 April, 2015.

It is the mission of the Arizona Department of Corrections "To serve and protect the people of Arizona by securely incarcerating convicted felons, providing structured programming designed to support inmate accountability, successful community reintegration, and providing effective supervision for those offenders conditionally released from prison".

The Arizona State Prison Complex –Yuma, is one of 16 prison facilities operated by the Arizona Department of Corrections. It is located on the southwest corner of Avenue B and Juan Sanchez Boulevard, near the city of San Luis, and approximately 12 miles south of Yuma, Arizona. Construction began in May of 1987 and has an average male inmate population of 4800. The range of custody is from minimum to maximum. The ASPC consists of five separate Units situated on 294 acres of enclosed perimeter. The complex has its own water and sewage treatment systems.

On Tuesday, 14 April, 2015, an entrance meeting was held where introductions were made.

The following staff was in attendance:

- Warden Escapule, ASPC Complex
- Major Fulton, ASPC Complex
- M. McCarville, AZ DOC PREA Coordinator
- DW Osorio, ASPC Complex
- DW Jensen, Cibola Unit
- DW Zaragoza, Cheyenne Unit
- DW Sanders, Dakota Unit

Assoc. DW Melton, La Paz Unit
Assoc. DW Aguilar, Dakota Unit
Assoc. DW Town, Cheyenne Unit
Captain Gold, La Paz Unit
Captain Carroll, Dakota Unit
Captain Coe, ASPC Complex
Captain Myrick, Cocopah Unit
Captain Miller, ASPC Complex
Captain Koch, ASPC Complex
Captain Thompson, Cheyenne Unit
COIV Camacho, Cibola Unit
COIV Quintero, La Paz Unit
COIV Sundwall, ASPC Complex
COIV Laminack, La Paz
COIV Scala, Cheyenne Unit
COIV Stewing, Cocopah Unit
COIV Romo, Dakota Unit
COIV Pyle, Dakota Unit
Lt. Moody, ASPC Complex
Lt. Martin, ASPC Complex

After the entrance meeting, a tour of the Dakota, Cocopah, and Cheyenne Units and interviews with staff and inmates was conducted. During the tour, inmate housing, program areas, food service, medical, recreation, and other areas required by the PREA guidance were examined. On Wednesday, and Thursday, the remainder of the Units at the ASPC were toured and interviews were conducted.

The Units descriptions are as follows:

Cocopah Unit

This Unit houses racially diverse minimum custody male inmates. The inmates are assigned to a variety of jobs on and off unit. The on unit jobs include duties such as; ACI Telemarketing for Safety Services, barbers for inmates and staff, education aides, education tutors, kitchen cooks, yard sanitation, landscaping, porters, sanitation, maintenance and clerical jobs. The on complex jobs include auto mechanics, weekend van drivers for visitors, Kubota heavy equipment drivers, plumbers, electricians, warehouse storage and distributors. There are select groups who work out in the community on a daily basis, such as Wild Land Fire crew which consists of 20 inmates and are utilized on wild land fire suppression as well as state land conservation assignments. The Wild Land Fire Crew inmates work primarily in Yuma County but can

be used throughout the State in fire suppression efforts. In 2014 the Wild Land Fire Crew worked a total of 25,452 hours in the community. The City of Yuma and City of Somerton crews work closely with the Parks and Recreation Department to provide community betterment labor which includes brush clearing, weed abatement, hazardous tree removal, litter removal and other cleanup projects. We also have the ADOT road crew which provides work for Arizona Department of Transportation and the local Department of Motor Vehicle. The work projects include brush clearing, litter removal and other cleanup projects along the highway and outside the Department of Motor Vehicle Office.

Opened: August 1987	Size: 5 acres
Custody Level:	Minimum Custody
Cameras:	2
Capacity:	330 with no ADA beds
Total Buildings:	(8)
	<ul style="list-style-type: none"> • Administration - Education / Programs - Kitchen • Medical - ACI - Sally Port • Mail and Property • 3 housing units = with total of 10 runs • 32-36 inmates in each run

Cocopah Programs consists of Academic Education, Career/Technical Education and numerous self-improvement programs such as Thinking for a Change, a cognitive behavior program, and Merging Two Worlds, which is designed to prepare inmates for release.

Cheyenne Unit

Cheyenne is a Medium Custody Unit, with a capacity of 1124 inmates in a dorm setting in 8 buildings. This Unit also has a Detention unit with a capacity of 79 inmates. There are 40 cells with one of these being a camera-monitored single-man cell.

Currently the Unit is undergoing major renovation of all dorms. Upgrades of the kitchen, staff office facilities, classrooms, and laundry facilities is being made. The Unit maintains an aggressive beautification program in order to give the inmates assigned here, the best living environment possible.

The Inmates are assigned to various jobs to support and maintain the Unit such as shower porter, day room porter, laundry porter, inmate barber, kitchen worker, sewing machine operator, maintenance, education aide, and yard clean up worker.

Opened: August 1996	Size: 39 acres
Custody Level:	Medium Custody
Cameras:	11
Capacity:	1124
Detention:	79
Total Buildings:	(14)
	<ul style="list-style-type: none"> • Administration - Education / Programs/Kitchen

- Medical - ACI - Sally Port - Multi-purpose
- Mail and Property - 8 housing units with total of 32 runs
- Detention

Cheyenne Programs consists of Academic Education, Career/Technical Education and numerous self-improvement programs such as Thinking for a Change, a cognitive behavior program, and Merging Two Worlds, which is designed to prepare inmates for release. There are also AA and religious volunteers that come each month in their respective areas to provide additional support

Dakota Unit

This Unit is close custody General Population, with a capacity of 800 inmates in a 2-man cell setting in 4 buildings. This Unit also has a Detention unit, DDU, which has a capacity of 80 inmates in a 2-person cell environment.

Inmates are assigned to various jobs to support and maintain the unit such as cleaning porter, laundry porter, inmate barber, kitchen worker, maintenance, education aide, wheel-chair assistant, and yard clean up worker.

Dakota Unit also houses the only General Population Close Custody Management inmates in the state. The Close Custody Management Program was implemented to facilitate a process that requires inmates in maximum custody to work through a program utilizing a step system providing the opportunity to participate in jobs, programs and other out of cell activities. Based on behavior and programming, inmates may progress from controlled-based housing to open privilege-based housing where movement outside a cell is without restraint equipment. Dakota has 50 beds dedicated to this program with 30 inmates currently participating.

- | | |
|---------------------|---------------------------|
| Opened: August 1998 | Size: 34 acres |
| Custody Level: | Close Custody |
| Cameras: | 120 |
| Capacity: | 800 including 18 ADA beds |
| Detention: | 80 |
| Total Buildings: | (11) |
- Administration - Education/Programs
 - Medical - Tower/Yard - Sally Port
 - Kitchen - 4 housing units = 4 pods each
 -

Dakota Programs consists of Academic Education, Career/Technical Education and numerous self-improvement programs such as Thinking for a Change, a cognitive behavior program, and Merging Two Worlds, which is designed to prepare inmates for release. There are also AA and religious volunteers that come each month in their respective areas to provide additional support.

La Paz Unit

La Paz Unit houses minimum custody male inmates, with a total capacity of 1250 inmates. The work opportunities are provided in a setting as much like the real world as possible to provide inmates with opportunities to apply newly acquired skills throughout their incarceration. The inmates are assigned to various jobs assignment that include duties such as those of: porters, sanitation, inmate barbers, education aides, tutors, kitchen detail, yard sanitation, landscaping, maintenance, ACI Safety Services and clerical just to name a few. There are also over 190 inmates who work off the La Paz Unit. Some of these inmates are assigned to complex grounds crews, maintenance, waste water and warehouse. Inmates are also out in the community on a daily basis in the Inter Government Agreement work details. Some of these work details include the Humane Society, Yuma County Food Bank, Community Betterment, City of Somerton, City of San Luis and the City of Yuma. Programming for the minimum custody inmates at this unit consist of Academic Education, Vocational Education, Self-Improvement Programs such as Thinking for a Change (a cognitive behavior program), Merging Two Worlds, which is aimed at preparing inmates for re-entry into society after an incarceration period. Inmate Orientation is offered to all newly arrived inmates and provides an explanation of services available to them and what expectations are placed on them while housed at this facility. Inmates assigned to La Paz Unit have the opportunity to participate in AA / NA and various religious activities sponsored and supervised by religious volunteers that come to the unit on a monthly basis.

Opened:	July 2010	Size:	21 acres
Custody Level:			Minimum Custody
Cameras:			48
Capacity:			1250 (including 40 ADA beds)
Total Buildings:	(9)		
			<ul style="list-style-type: none">• Administration - Education/Programs/Resource Center• Medical - Sally Port - Kitchen/Medical/Multi-purposeKitchen - 4 housing units - Maintenance

La Paz Programs consists of Academic Education, Career/Technical Education and an extensive list of self-improvement programs, as listed below. There are also AA and religious volunteers that come each month in their respective areas to provide additional support.

Cibola Unit

Cibola is a medium custody unit with a capacity of 1250 beds and an average population for the last six months of 1240 inmates. Each housing unit is comprised of large, open area bays which have a capacity of 125 beds each. Two housing units are constructed of two bays for a capacity of 250 beds, and two housing units are constructed of three bays for a capacity of 375 beds. Beyond inmate living and sleeping areas, each bay also has an officer control room, inmate day room, inmate bathrooms, inmate laundry rooms, and an office for the Correctional Officer III. Among the 1250 beds at the unit are 58 beds specifically designated American with Disabilities Act (ADA) beds.

Work opportunities are found in 34 various job classifications in which over 1000 inmates, or over 80% of the population are employed. Inmates assigned to the Cibola Unit are also offered education opportunities that include State mandated literacy classes, GED courses, and career and technical education (CTE) courses coordinated through Arizona Western College. Religious activities include weekly services Catholic, Protestant, Jewish, Latter-Day Saints, Native American sweat lodge, Jehovah Witnesses, and multi-faith. Programming and substance abuse prevention services include, Back to Basics, Re-entry, Life Skills, Alcoholics Anonymous, Cultural Diversity, Peer mentoring group, Parenting course, Money Management, Thinking for a Change, and Italian class. Recreation opportunities include informal activities such as horseshoes, soccer, basketball, softball, workout stations, and walking and jogging paths, as well as formal activities such as organized basketball and softball tournaments.

Opened: July 2010	Size: 21 acres
Custody Level:	Medium Custody
Cameras:	103
Capacity:	1250 (including 58 ADA beds)
Total Buildings:	(9)
	<ul style="list-style-type: none">• Administration - Education/Programs/Resource Center• Medical - Sally Port - Kitchen/Medical/Multi-purpose• Kitchen - 4 housing units - Maintenance

Cibola Programs consists of Academic Education, Career/Technical Education and numerous self-improvement programs which are designed to prepare inmates for release. There are also AA and religious volunteers that come each month in their respective areas to provide additional support.

Complex comments

Each dorm unit provides basic furnishings, shower facilities, and TV hookups. All showers and commodes have panels, shower curtains and screens to enhance privacy. The cell units have lavatory/commodes in the cell, the showers have privacy screens or doors and the detention cells have attached recreation spaces.

The Correctional Officers provide security supervision. The security perimeters at the various Units consists of woven wire fences with multiple rolls of razor ribbon wire and an electronic intrusion systems. Armed vehicle patrols the perimeter 24/7. A Control Center monitors all traffic entering and exiting each facility. Cameras control the perimeter and are placed throughout the facility to monitor the security. Each Unit has two entry points, the front staff and visitor entrance and a wire gate for vehicles.

The ancillary support structures provide spaces for administration, central control, visiting, food service, education, medical, commissary, maintenance, laundry, recreation, correctional industry, warehouses, and religion.

During the three day on-site audit, the auditor toured the complex, toured the housing units, examined additional documentation, and conducted formal staff and inmate interviews. 27 Inmates, 14 Specialized Staff, 3 Management Staff, and 20 Correctional Officers were interviewed using the questions provided in the audit documents. All of the staff and most of the inmates were eager to answer all questions.

The Pre-Audit document provided by the facility indicated 29 allegations of inmate sexual abuse. All were investigated. 27 cases were determined to be either unfounded or unsubstantiated 2 cases are still under investigation.

The ASPC Yuma reported educational achievements for 2014. These included:
112 GED completions.
862 inmates completed the functional literacy program.
360 inmates achieved a Certificate of Completion in work based education programs.

In this auditor's opinion, the ASPC-Yuma is well managed and the staff well trained and professional in their assignments.

On Thursday afternoon, an exit meeting was conducted by the auditor. Warden Escapule, Mike McCarville, AZ DOC PREA Coordinator, and 23 ASPC Yuma staff were in attendance. The auditor provided the staff an overview of the preliminary audit results and congratulated the facility staff about the progress made in compliance with the PREA standards.

Facility Demographic:

	<u>Facility:</u>	<u>Units:</u>		
	ASPC-Yuma	Cocopah	La Paz	Cheyenne
Capacity:	4854	330	1250	1224(79 Det)
Actual Pop:	4529	320	1240	924
Security/Custody:	Min/close	Min	Min	Med
Gender:	Male	Male	Male	Male
Age Range:	18-82			

		Cibola	Dakota
Capacity:		1250	800(130 Det)
Actual Pop:		1245	800
Security/Custody:		Med	Close
Gender:		Male	Male

Full Time Staff

Administration:		13
Criminal Investigations Unit:		5
Security:		840
Programs:		61
Support:		31
Medical:	(Contract)	80
Food Service	(Contract)	40
Other		73
Human Resources:		3
Education:		23
Religion:		4
AZ Western College	(Contract)	4
Commissary:	(Contract)	11
Total Facility:		1188

SUMMARY OF AUDIT FINDINGS:

Number of standards exceeded:	0	
Number of standards met:	41	
Number of standards not met	0	
Number of standards not applicable	2	(115.14 & 115.66)
Total	43	

§115.11 - Zero tolerance of sexual abuse and sexual harassment; PREA coordinator

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

The ASPC Yuma and the Arizona DOC have policies (DO 125.02-125.06) that mandate a zero tolerance for sexual abuse and sexual harassment of their inmate population. The policies also present a plan to address prevention, detection, and responses for all employees. The prohibited behaviors are clearly detailed. The AZ DOC employs a full time PREA Compliance Coordinator and the ASPC assigns a COIV as the PREA Manager that reports to the Warden. Both have sufficient time to address the needs of PREA.

§115.12 - Contracting with other entities for the confinement of inmates

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

The AZ DOC currently has two contracts (MTC & CCA), developed since August 20, 2012, with private agencies to house prisoners. The contracts do require the contractors to comply with all provisions of PREA. A full-time AZDOC monitor is assigned by policy to each of the facilities under contract.

§115.13 – Supervision and Monitoring

Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)

Does Not Meet Standard (requires corrective action)

The AZ DOC and ASPC-Yuma has developed staffing plans to safely meet the PREA and correctional needs. The plans involves either using comp/overtime, or collapsing non-custody positions to meet the necessary post staffing requirements at each facility when vacancies occur. Video monitoring has been and continues to be added to many areas of the facility. The ASPC Yuma reported no deviations from this custody staffing plan for the past 12 months.

Unannounced rounds are conducted for all shifts and recorded on written reports by senior management staff. A review of the staffing plan was documented (review is conducted on a weekly basis). The ASPC Yuma has the lowest vacancy rate at all AZ DOC facilities. At the end of March 30, 2015 the rate was 0.54%.

§115.14 – Youthful Inmates

Exceeds Standard (substantially exceeds requirement of standard)

Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)

Does Not Meet Standard (requires corrective action)

Standard is not applicable. ASPC Yuma does not house youthful offenders.

§115.15 – Limits to Cross-Gender Viewing and Searches

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

ASPC-Yuma, an all-male facility, has policies that do not permit cross-gender body cavity or strip searches except in emergencies. Female officers are not permitted to pat search the inmates except in an emergency. The policy was confirmed by the staff and inmates interviewed. The facility reported zero instances where these types of searches had occurred.

All showers and commode areas have curtains, protective screens or walls. Arizona DOC has a rigid policy where inmates are required to wear shirts and gym shorts or appropriately fastened jumpsuits except when showering. No deviations were reported or found.

§115.16 – Inmates with Disabilities and Inmates who are Limited English Proficient

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

ASPC Yuma provides a variety of ways to ensure offenders with disabilities or limited English are provided the opportunity to understand PREA.

Orientation videos, pamphlets, booklets, inmate handbooks, etc. are available. These are provided in both English and Spanish. Trained employee interpreters are available or under contract to provide any needed service. Inmate interpreters are prohibited.

§115.17 – Hiring and Promotion Decisions

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

The Arizona DOC has a centralized approach for the hiring of new staff (DO 125.06/125.07). Each facility including ASPC Yuma, has an on-site HR manager but the majority of the screening and hiring practices is done at the DOC Central Office. The review of agency policy and interviews of both the on-site HR manager and the Central Office Manager verified that they follow the PREA requirements. Applicants are disqualified if any criminal data is obtained using NCIC, fingerprints, AZCJIS, AZDOT, etc. In the past 12 months, 129 applicants were screened.

All contractors are screened by using the same process. 18 contractors were screened in the past 12 months.

An agency policy requiring the 5 year re-check of employees and contractors has been implemented. Agency policy does indicate any misconduct or false reporting is subject to the possibility of termination of employment (DO 601).

§115.18 – Upgrades to Facilities and Technology

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

ASPC-Yuma has made several modifications to their physical plant during the past year. These include the construction of a new kennel, complete overhaul of the food service at the Cheyenne Unit, ACI improvements, improvements to the VT building, and addition of cameras in several areas. The plan is to continue to add cameras in all others areas as deemed appropriate.

These additions are all intended to enhance the ASPC's ability to protect inmates from sexual abuse and to improve security operations.

§115.21 – Evidence Protocol and Forensic Medical Examinations

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

The Arizona DOC Inspector General Bureau is responsible for conducting all sexual abuse investigations, both administrative and criminal. The investigators are properly trained and meet the requirements of PREA. ASPC Yuma has four PREA trained investigators assigned to the Complex.

The facility does not provide forensic medical examinations by medical staff. These are provided by SAFE and SANE examiners under contract with outside health care providers without cost to the inmate. The auditor interviewed a representative of the SAFE/SANE provider and verified they were ready to provide services if needed.

The facility conducted two SAFE/SANE examinations during the last 12 months. Both involved inmate on inmate contact. Victim advocates are provided by trained staff for the ASPC.

§115.22 – Policies to Ensure Referrals of Allegations for Investigations

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

The Arizona Department of Corrections Inspector General Bureau is responsible for conducting all sexual abuse investigations, both administrative and criminal. The CIU and AIU investigators are properly trained and meet the requirements of PREA.

During the 12 month period (2013-2014), 29 allegations of sexual abuse and sexual harassment were received by ASPC Yuma officials. All were referred for criminal investigations and 27 were completed. Two of the allegations are still under investigation.

All complaints were thoroughly investigated by CIU investigators. Twenty six of the allegations were found to be unfounded, one found to be unsubstantiated, and two allegations are still under investigation.

Agency policy regarding allegations of sexual abuse/harassment is published on www.azcorrections.gov.

§115.31 – Employee Training

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

All ASPC Yuma employees, contractors and volunteers are required to be trained to meet the PREA standards (DO125.10 & DO509). 913 staff (100%) was trained in the past 12 months. The Complex has a comprehensive training program which includes pre-service and annual in-service training and is tailored to meet the gender needs of the facility. The training documentation includes a quiz and a signature roster that indicates the trainees understand the training presented. The interview process documented that employees understood the materials presented.

§115.32– Volunteer and Contractor Training

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

All 144 volunteers and contractors for the Yuma Complex were trained about PREA and correctional requirements during the last 12 months. This training (required by DO125.10, 1.3) is based upon the service provided and the level of inmate contact. Signatures documented that the contractors and volunteers understood the training presented.

§115.33 – Inmate Education

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

All inmates at ASPC Yuma have been provided a comprehensive PREA training program. In the past 12 months, 4149 (100%) were trained on the principals of PREA.

Provisions are made to assist those inmates with disabilities or those not proficient in English to ensure their understanding of PREA. Orientation videos, posters, inmate handbooks, etc. are readily available to the population. Inmate signatures are taken to verify they have taken and understand the training provided. This documentation was available to the auditor. The inmate interviews indicated that they understood their rights under PREA.

§115.34 – Specialized Training: Investigations

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

The Arizona Department of Corrections Inspector General Bureau is responsible for conducting all sexual abuse investigations, both administrative and criminal. The investigators are properly trained and meet the requirements of PREA. ASPC Yuma has four CIU investigators assigned to the Complex.

§115.35 – Specialized training: Medical and mental health care

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

Medical and Mental Health Services at the Yuma Complex are provided by Corizon Medical Services. All of the Medical and Mental Health services practitioner staff have been trained in the requirements of PREA. The Pre-Audit document indicated that 29 (100%) medical and mental health practitioners received the PREA training required by DOC policy (DO125.10). Signatures were provided to validate the attendance of the medical/mental health staff.

Forensic examinations are not conducted by the medical staff. These exams, if needed, are provided by a certified local health care organization.

§115.41 – Screening for Risk of Victimization and Abusiveness

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

The inmate screening policy is outlined in AZDOC policy DO811.01. Each inmate is screened for the risk of victimization and abusiveness at the AZDOC Reception Center and upon being received at the permanent facility. A PREA questionnaire is administered within 72 hours of arrival. The risk assessment document is considered to be objective.

100 % of the 5792 inmates received by the Yuma Complex were screened for the risk of sexual abuse victimization or sexual abuse towards other inmates. The risk assessment document is an instrument that meets the PREA requirements. All inmates are reassessed to look for any updates within the time frames required. The facility reported 4149 inmates were reassessed in the past 12 months.

The AZDOC policy DO811.02, 1.10 indicates inmates cannot be disciplined for refusing to answer questions.

§115.42 – Use of Screening Information

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

The information gathered in the inmate screening process at the Yuma Complex is placed on the on the AIMS DC71 program screen and is used to make individualized determination to ensure their safety. This documentation is also used to make decisions to place each inmate in appropriate housing, work, education, and program assignments (DO704.8, DO 801, &DO811.02, 1.10.5).

High risk inmates (victim and predator) are reviewed by a Special Review Team. Transgender/Intersex inmate assignment is done on a case-by-case basis and is reviewed twice in a 12 month period (811.02), 1.10.5.2.1 & DO801).

§115.43 – Protective Custody

Exceeds Standard (substantially exceeds requirement of standard)

Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)

Does Not Meet Standard (requires corrective action)

The AZDOC policies govern the use of segregation housing (DO125-02, 1.4.1.1 & DO805.01, 1.2). These policies include looking at alternative housing and programming for victims of sexual abuse.

The facility reported zero use of segregation in the past 12 months for the purpose of protecting a sexual abuse victim. Policies require a review every 30 days for any inmate in segregation.

§115.51 – Inmate Reporting

Exceeds Standard (substantially exceeds requirement of standard)

Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)

Does Not Meet Standard (requires corrective action)

ASPC-Yuma has several ways that an inmate can report sexual abuse/harassment. They can report an incident to any staff person, write a grievance or a report, use a special PREA hot line, write to the IG, write letters, or notify a third person (DO125.03,1.4, DO802.09, DO 805.01 & DO 916.01)

Staff are required to document and report all inmate allegations immediately through their chain of command. The staff are trained in annual training and via the Employee Handbook.

No inmates are held for civil immigration purposes at the facility. Inmate and staff interviews confirm that the process is well understood.

§115.52 – Exhaustion of Administrative Remedies

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

The Yuma Complex has an inmate grievance process that meets the requirements of PREA (DO802.09). The process allows the inmate to file a formal written complaint/grievance about sexual abuse or any correctional issue. The complaint can be filed with any staff and will be directed to the Warden for response if necessary. Per DO 802.09, staff receiving an informal complaint or formal grievance on a PREA violation, shall immediately initiate a DO 125 and notify the shift commander. Third parties can assist any inmate to file a grievance per DO802.09.

The inmate Handbook clearly outlines the process required. In the past 12 months, there have been zero complaints or grievances filed concerning sexual abuse or harassment.

§115.53 – Inmate Access to Outside Confidential Support Services

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

The Yuma Complex provides to the inmates, confidential access to outside victim advocates by providing the name of the organization, toll free telephone number, posters, and the information is in the inmate handbook. Agreements and an MOU are available. To ensure that the inmates have someone who can assist them to provide advocacy services, the facility has staff trained to provide this service.

§115.54 – Third-Party Reporting

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

The Arizona Department of Correction has a website (azcorrections.gov) that provides the opportunity for third party reporting of sexual violence. The website also provides information for third party reporting regarding any sexual violence.

§115.61 – Staff and Agency Reporting Duties

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

The AZDOC policy DO125.01 requires all staff to immediately report any incident of sexual abuse/harassment. The policy also addresses the need to maintain confidentiality (DO125.09). All incidents of PREA abuse must be reported to the AZ CIU for investigation.

The policies also address possible retaliation. Senior management staff has been assigned the task to monitor possible retaliation and the monitoring is recorded. A senior staff person was interviewed to confirm the requirements.

§115.62 – Agency Protection Duties

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

The AZDOC policy DO805.01 requires all staff to immediately take steps to protect an inmate who is the subject of imminent sexual abuse. There have been zero incidents of this action being required at ASPC Yuma in the past 12 months.

§115.63 – Reporting to Other Confinement Facilities

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

AZDOC policies DO125.03 & DO608.02 requires the notification of another facility and the AZ CIU when they learn of an inmate that had been sexually abused at another facility. This notification is done within the 72 hour time frame. Documentation is required that the report will be investigated and properly acted upon. In the past 12 months, the ASPC Yuma facility reported 2 allegations of sexual abuse that an inmate received at another facility. The actions taken by ASPC Yuma were according to PREA requirements.

§115.64 – Staff First Responder Duties

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

Arizona DOC policy DO125.03 meets all first responder requirements of PREA. This policy was verified by the responses from the staff being questioned in the interview process.

In the past 12 months, 22 allegations from inmates were recorded. Of these, 11 cases involved first responders. Three allegations involved collection of physical evidence. All first responder duties were completed as required and all involved security staff.

A 24 point check list is required to be completed for each incident and the AZ CIU must be notified.

§115.65 – Coordinated Response

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

A written institutional plan was available for ASPC-Yuma. Per a Warden memo, the facility has adopted the Arizona Department of Corrections plan (DO 125) for actions taken in response to an incident of sexual abuse. The plan meets the requirements of PREA.

§115.66 – Preservation of ability to protect inmates from contact with abusers

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

Not applicable. The AZ DOC has a union but State law prevents collective bargaining.

§115.67 – Agency protection against retaliation

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

ASPC Yuma has policies (DO125.01, 1.4 & DO811.02, 1.10.6) that protects inmates and staff who report sexual abuse/harassment from retaliation. A Retaliation Review Team consisting of the Captain, COIV, & COIII are in place at each Unit to supervise the plan. The facility reported one instances of retaliation in the past 12 months. Policies require monitoring for a minimum of 90 days and prompt action to remedy any such retaliation.

§115.68 – Post-Allegation Protective Custody

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

AZ DOC has policies (DO125, DO 804 & DO 805) that would place a victim of sexual abuse in investigative detention if necessary only until appropriate safety of the victim can be ensured. This is limited to 30 days or less. Programs are maintained if at all possible.

There have been zero uses of segregation at ASPC Yuma for this purpose in the past 12 months.

§115.71 – Criminal and Administrative Agency Investigations

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

The Arizona Department of Corrections has an Inspector General Bureau which is a Division of the Department. The Criminal Investigation Unit (CIU) operates under policy DO608 and the Administrative Investigative Unit (AIU) policy is DO601.

All investigations, agency wide, both criminal and administrative, are supervised by staff assigned to this Division. Four investigators have been assigned to the ASPC-Yuma. These investigators have all been trained to meet the requirements of PREA. The investigators are sworn police officers, follow a very detailed protocol, and appear very capable.

All substantiated allegations are referred to the County Attorney for prosecution. The Yuma facility reported zero substantiated allegation since 20 August, 2012 that was referred for prosecution.

§115.72 – Evidentiary Standard for Administrative Investigations

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

AZDOC policy DO125.06, 1.12.1 requires that investigators use as a standard the preponderance of the evidence to determine whether allegations of sexual abuse/harassment are substantiated.

§115.73 – Reporting to Inmate

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

The AZ DOC Inspector General Bureau conducts all investigations as required by DO608.08. The Yuma facility reported 20 completed sexual abuse investigations in the past 12 months. 21 inmates were notified of the results and two were no longer available to notify.

There were zero staff on inmate complaints in the past 12 months.

These reports are documented.

§115.76 – Disciplinary sanctions for staff

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

The Yuma Complex has disciplinary sanctions for staff up to and including termination for violating sexual abuse/harassment policies. This policy is found in DO125.01 & DO 125.06. The facility reported zero cases of staff terminated or reported to law enforcement for violating policies on sexual abuse/harassment.

§115.77 – Corrective action for contractors and volunteers

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

The ASPC Yuma has disciplinary sanctions (DO 125.03) for volunteers and contractors up to and including termination of contract for violating sexual abuse/harassment policies. The facility reported zero cases of volunteers/contractors terminated for violating policies on sexual abuse/harassment.

§115.78 – Disciplinary sanctions for inmates

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

Inmates can be sanctioned only pursuant to a formal disciplinary process according to AZDOC Policy DO125.01. In the past 12 months, there were zero administrative findings of inmate-on-inmate sexual abuse and zero cases of criminal finding of inmate-on-inmate sexual abuse.

ASPC Yuma has policies providing sanctions for inmates engaged in sexual abuse of another inmate. These sanctions meet the PREA requirements. Consideration is given to the inmate's mental status in final determinations. Treatment is also offered to those found guilty. The agency has a policy that does not permit consensual sex between inmates

§115.81 – Medical and mental health screenings; history of sexual abuse

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

AZDOC policy (DO125.05, 1.1) requires that all inmates who disclosed prior sexual victimization during initial screening be offered a follow-up meeting with medical or mental health. The meeting is required within 14 days of the initial screening. The same policy also applies to inmates who perpetrated sexual abuse. The Yuma facility reported that 100% of the offender meetings with mental health were met. Information found in the follow-up meeting is strictly limited to medical, mental health, security, and management staff. Informed consent is obtained by the medical and mental health staff. No inmates housed at ASPC Yuma are under the age of 18

§115.82 – Access to emergency medical and mental health services

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

Per DO 125.03 and 125.04, the medical program at ASPC Yuma is staffed 24/7. All inmates who report to be sexual abused have unimpeded access to medical treatment. All actions by the Medical/Mental Health staff is documented.

The community standard medical treatment includes proper medical care, treatment for sexual transmitted disease, and at no cost to the inmate.

§115.83 – Ongoing medical and mental health care for sexual abuse victims and abusers

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

ASPC Yuma provides medical and mental health evaluation and treatment consistent with the community standard for health care. These services are provided to all inmates who have been sexually abused. These services are at no cost. Inmate abusers are also offered mental health evaluations within a 60 day period.

§115.86 – Sexual abuse incident reviews

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

The Yuma facility policy (DO 125.06, 1.13) requires that all incidents of sexual abuse are thoroughly reviewed by a Sexual Abuse Incident Review Team. This team includes the PREA Compliance Manager and several top facility management staff. The reports are then reviewed by the Warden and AZDOC Administrative staff. The team is required to review and make recommendations within 30 days of the incident. The facility reported 1 investigation of sexual abuse that was reviewed by the team in the past 12 months.

§115.87 – Data Collection

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

AZDOC collects sexual abuse data from all of its facilities and compiles the data annually per DO125.08. The process followed meets the requirement of PREA.

§115.88 – Data Review for Corrective Action

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

The AZ DOC collects sexual abuse data from all of its facilities, to include those operated under contract, and compiles the data annually. The process followed meets the requirement of PREA.

§§115.89 – Data Storage, Publication, and Destruction

Exceeds Standard (substantially exceeds requirement of standard)

Meets Standard (substantial compliance; complies in all material ways with the standard for the relevant review period)

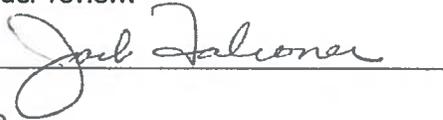
Does Not Meet Standard (requires corrective action)

The AZ DOC collects and securely retains data for a period exceeding 10 years. This data is compiled from reports of all its facilities plus those under contract. This information is a public document and is readily available to the public.

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.

Jack Falconer



Auditor Signature

25 April, 2015

Date