

# PREA AUDIT: AUDITOR'S SUMMARY REPORT

## ADULT PRISONS & JAILS

NATIONAL  
**PREA**  
RESOURCE  
CENTER



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

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

|  |   |                                    |                                  |
|--|---|------------------------------------|----------------------------------|
| <b>Name of facility:</b>                                     | Arizona State Prison Complex- Winslow           |                                    |                                  |
| <b>Physical address:</b>                                     | 2100 South Highway 87, Winslow , Arizona 86047  |                                    |                                  |
| <b>Date report submitted:</b>                                |   |                                    |                                  |
| <b>Auditor Information</b>                                   | Jack Falconer                                   |                                    |                                  |
| <b>Address:</b>  |   |                                    |                                  |
| <b>Email:</b>  |   |                                    |                                  |
| <b>Telephone number:</b>                                     |   |                                    |                                  |
| <b>Date of facility visit:</b>                               | 28-30 July, 2014                                |                                    |                                  |
| <b>Facility Information</b>                                  |   |                                    |                                  |
| <b>Facility mailing address: (if different from above)</b>   |   |                                    |                                  |
| <b>Telephone number:</b>                                     |   |                                    |                                  |
| <b>The facility is:</b>                                      | <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 |                                    |                                  |
| <b>Facility Type:</b>  | <input type="checkbox"/> Jail                   | x Prison                           |                                  |
| <b>Name of PREA Compliance Manager:</b>                      | Misty Barrera                                   | <b>Title:</b>                      | PREA Compliance Manager/CO IV    |
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| <b>Agency Information</b>                                    |   |                                    |                                  |
| <b>Name of agency:</b>                                       | Arizona Department of Corrections               |                                    |                                  |
| <b>Governing authority or parent agency: (if applicable)</b> |   |                                    |                                  |
| <b>Physical address:</b>                                     | 1601 W. Jefferson, Phoenix, AZ 85007            |                                    |                                  |
| <b>Mailing address: (if</b>                                  |   |                                    |                                  |

*different from above)*

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**Agency Chief Executive Officer**

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## AUDIT FINDINGS

### NARRATIVE:

The PREA Audit of the Arizona State Prison Complex-Winslow (ASPC-Winslow) was conducted on July 28-30, 2014.

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".

On Monday, August 28, an entrance meeting was held at 8:00 a.m. where introductions were made. The following staff was in attendance:

Berry Larson, Warden  
Ron Lawrence, Major  
Sandy Lawrence, Deputy Warden  
Heather Pruett, Deputy Warden  
Vivian Baltierra, Deputy Warden  
Rick Morales, Deputy Warden  
Kimberly Salas-Hangen, Associate Deputy Warden  
Misty Barrera, Correctional Officer IV / PREA Manager  
Linda Branch, Correctional Officer IV  
Phil Hanson, Correctional Officer IV  
Douglas Santiago, Correctional Officer IV from Douglas Unit  
Darren Reeves, Captain  
Darryl Troutt, Captain  
Patrick Garms, Correctional Officer III  
Mike McCarville, Administrator / AZDOC PREA Coordinator

After the entrance meeting, a tour of the facility and the interviews for 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.

The Arizona State Prison Complex-Winslow is a multi-site facility operated by the Arizona Department of Corrections (ADC). Three separate units are included in the Complex (see listed below). The complex has a capacity of housing 1,893 inmates and currently has a population of 1,698 male inmates of all custody levels ranging from age 19 to 79.

APSC-Winslow is situated adjacent to State Highway 87, and is located three miles south of the city of Winslow and is the first prison to be constructed in Northern Arizona. Ground-breaking for the facility occurred in 1985 followed by construction in 1986 through 1990. Originally designed as a 650 bed minimum/medium security facility, the prison went under design changes and construction additions to meet the demands for inmate beds. Eventually, the Winslow Prison became the 1893 bed facility it is today which includes 628 beds within the Minimum Custody Coronado Unit, 400 beds within the Medium Custody Kaibab Unit, 400 beds within the Close Custody Kaibab Unit and 39 beds in detention.

The Apache Unit was added to the Winslow Complex in 1995 and is located midway between Springerville and St. Johns in Apache County, Arizona. The Apache Unit is a 414 bed, Minimum Custody Unit with 12 special use beds.

The ASPC Units descriptions are as follows:

### **Kaibab Unit**

This unit houses 2 different custody levels. This unit also houses the main medical facility for the Complex.

North unit is a medium custody yard with a capacity of 400 inmates in a cell environment. The inmates are assigned to various jobs to support and maintain the unit such as; cleaning porter, laundry porter, inmate barber, education aides and tutors. Programming for the medium custody inmates consists of Academic Education, Construction Technology Education and numerous self improvement programs such as Thinking for a Change (a cognitive behavior program), Merging Two Worlds, which is designated to prepare inmates for release, Inmate Orientation and Impact of Crimes on Victims Class. There are also AA and Religious Volunteers that come to the units each month to teach in their respective areas.

South unit is a close custody yard with a capacity of 400 inmates in a cell environment. The close custody inmates are also assigned to various jobs to support and maintain the unit such as; cleaning porter, laundry porter, inmate barber, education aides and tutors. Programming for the close custody inmates consists of Academic education, Business Modern Office Technologies, and numerous self improvement programs such as; Thinking for a Change, Merging Two Worlds, Responsible Thinking, Self Control, Social Values, Feelings, Socialization and Substance Abuse. There are also AA and Religious Volunteers that come to the units each month to teach in their respective areas.

On the first day of the PREA audit, this unit's inmate population breakdown was as follows; 377 close custody, and 383 medium custody.

### **Coronado Unit**

This unit is a minimum custody, with a capacity of 628 inmates in an open dorm setting.

Inmates at this unit are assigned to various jobs to support and maintain the unit such as cleaning porter, laundry porter, inmate barbers, and kitchen workers for Coronado and Kaibab units, sewing machine operators, maintenance, educational aides and tutors. This unit also has inmates employed in inter-governmental agencies and Arizona Correctional Industry (ACI) work assignments. In addition this unit also houses inmates that are assigned to the Wild Land Fire Crew consisting of two crews.

Programming consists of Academic Education, Career/Technical Education and numerous self improvement programs such as Thinking for a Change, Merging Two Worlds, Money Management, Impact of Crimes on Victims, Domestic Violence, and Cultural Diversity. There are also AA and Religious Volunteers that come to the units each month to teach in their respective areas.

On the first day of the PREA audit, the unit population was 557.

### **Apache Unit**

This unit is a minimum custody, male unit, with a capacity of 414 inmates in a dorm setting. Due to the distance between the main complex and this unit, they also have a medical facility for inmates.

Inmates at this unit are assigned to various jobs to support and maintain the unit such as cleaning porter, laundry porter, inmate barber, kitchen worker, sewing machine operator, maintenance, education aides, and tutors. This unit also has inmates employed in inter-government agencies and Arizona Correctional Industry work assignments.

Programming consists of Academic Education and numerous self improvement programs such as Thinking for a Change, Merging Two Worlds, Cultural Diversity, Conflict Resolution, Nutrition and Yoga, Parenting, Domestic Violence, and Impact of Crimes on Victims. There are also AA/NA and Religious Volunteers that come to the units each month to teach in their respective areas.

On the first day of the PREA audit, the unit population was 355.

### **Complex Detention Unit**

This is the main detention unit in the complex and has a capacity of 39 inmates in a cell environment which includes the single cell for self harm / mental health watches.

The inmates housed at this unit are only temporary and they have one pod porter position available to clean.

On the first day of the PREA audit there were 25 inmates assigned in CDU.

## Facility comments

Each dorm unit provides basic furnishings, shower facilities, and TV. All showers and commodes have panels, shower curtains and screens to enhance privacy. The cell units have lav/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 perimeter consists of two woven wire fences with multiple rolls of razor ribbon wire and an electronic intrusion system. Each individual Unit also has its own security perimeter of a similar nature. Armed vehicle patrols the perimeter 24/7. A Control Center monitors all traffic entering and exiting the facility. Numerous cameras control the perimeter and are placed throughout the facility to monitor the security and to open doors. The facilities have 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, and religion.

During the three day on-site audit, the auditor toured the complex, examined additional documentation, and conducted formal staff and inmate interviews. 17 Inmates, 16 Specialized Staff, 5 Management Staff, and 12 Correctional Officers were interviewed using the questions provided in the audit documents. The staff and the inmates were eager to answer all questions.

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

The interviewed inmates and staff indicated that ASPC-Winslow was a safe place to serve time and to work. There were few complaints from the inmate population or the facility staff.

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

On Wednesday morning, an exit meeting was conducted by the auditor. The following ASPC staff was in attendance;

Ron Lawrence, Major  
Rick Morales, Deputy Warden  
George Gould, CIU Supervisor  
Misty Barrera, Correctional Officer IV  
Mike McCarville, AZ DOC Administrator / PREA Coordinator  
Douglas Santiago, Correctional Officer IV from Douglas Unit

The auditor provided an overview of the audit results and congratulated the facility staff about the progress made in compliance with the PREA standards.

**DESCRIPTION OF FACILITY CHARACTERISTICS:**

**Facility Demographics**

|                         | <b>ASPC-Winslow</b> | <b>Kaibab Unit/CDU</b> | <b>Coronado Unit</b> | <b>Apache Unit</b> |
|-------------------------|---------------------|------------------------|----------------------|--------------------|
| Designed Capacity:      | 1893                | 800/39                 | 628                  | 414                |
| Actual Population       | 1698                | 760/25                 | 557                  | 355                |
| Security/Custody Level: |                     | Med/Close              | Minimum              | Minimum            |
| Gender:                 | Male                |                        |                      |                    |
| Age Range:              | 19-79               |                        |                      |                    |

**Number of full time staff**

|                 |                |
|-----------------|----------------|
| Administration: | 7              |
| Security:       | 342            |
| Programs:       | 28             |
| Support:        | 75             |
| Medical:        | 27 ( Contract) |
| Food Service:   | 20 (Contract)  |
| Total Facility: | 499            |

**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 Winslow and the Arizona DOC have policies 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 AZ DOC employs a full time PREA Compliance Coordinator and the facility assigns a COIV as the PREA Manager. 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 one contract, developed since August 20, 2012, with a private agency to house prisoners. The contract does require the contractor to comply with all provisions of PREA. A full-time DOC monitor is assigned to the facility under contract.

### **§115.13 – Supervision and Monitoring**

- 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 and ASPC-Winslow has developed a staffing plan to safely meet the PREA and correctional needs. This plan involves collapsing non-custody positions to meet the necessary post staffing requirements at each facility when vacancies occur. The facility reported no deviations from this custody staffing plan for the past 12 months. Unannounced rounds are conducted for all shifts and recorded by senior management staff. A review of the staffing plan was documented.

### **§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 Winslow 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-Winslow has policies that do not permit cross-gender body cavity or strip searches except in emergencies. 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 or protective screens. 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. Signs are posted indicating cross-gender staffing would occur at all times.

### **§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 Winslow provides a variety of ways to ensure offenders with disabilities or limited English are provided the opportunity to understand PREA. Orientation videos, pamphlets, booklets, etc. are available. Interpreters are 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. Each facility has an on-site HR manager but the majority of the screening and hiring practices are done at 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. All contractors are screened by using the same process. 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.

### **§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-Winslow has made modifications to their physical plant during the past year. One modification currently in process was the addition of a dog kennel facility.

They have also developed and submitted for funding a proposal to add cameras and recording equipment to areas of the facility. These camera additions were approved and are in the process of planning the install.

## §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. They are properly trained and meet the requirements of PREA. ASPC Winslow has four 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. The auditor interviewed a representative of the SAFE/SANE provider and verified they were ready to provide services if needed. The facility conducted one examination during the last 12 months. Victim advocates are provided by a trained staff person and outside services are available.

## §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 investigators are properly trained and meet the requirements of PREA. During the 12 month period (2013-2014), 11 allegations of sexual abuse and sexual harassment were received. Nine cases were determined to be either unfounded or unsubstantiated and 2 cases were still under investigation. Agency policy regarding allegations of sexual abuse/harassment investigations is published on [www.azcorrections.gov](http://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 Winslow employees, contractors and volunteers are trained to meet the PREA standards. 466 staff 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 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 54 volunteers and contractors for the Winslow Complex were trained about PREA and correctional requirements during the last 12 months. Signatures documented that they 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)

In the past 12 months, 2711 ASPC Winslow inmates were trained on the principals of PREA. This represented 100% of both the inmates in the facility prior to August 12, 2012 and those inmates that were received since August 12, 2012. 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. 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 Winslow has four 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)

All of the ASPC Winslow Medical and Mental Health services staff have been trained in the requirements of PREA. The Pre-Audit document indicated that 30 (100%) medical and mental health staff received the PREA training required by DOC policy. 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).

100 % of the 2477 inmates received by the Winslow Complex (72 hour or more length of stay) were screened for the risk of sexual abuse victimization or sexual abuse towards other inmates. This screening is accomplished within the first 72 hours of arrival. 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 1754 inmates were reassessed in the past 12 months.

### **§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 Winslow Complex 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.

### **§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. 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-Winslow has several ways that an inmate can report sexual abuse/harassment. They can report an incident to any staff person, write a grievance or report, use a special PREA hot line, write letters, or notify a third person. 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 Winslow Complex has an inmate grievance process that meets the requirements of PREA. 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. The Offender 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 Winslow 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 one of its 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](http://azcorrections.gov)) that provides the opportunity for third party reporting of sexual violence. The website also provides the reporting policies 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 and ASPC Winslow policies require all staff to immediately report any incident of sexual abuse/harassment. The policy also addresses the need to maintain confidentiality. The policies address possible retaliation. Senior management staff has been assigned the task to monitor possible retaliation and the monitoring is recorded.

### **§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 policies require all staff to immediately take steps to protect an offender who is the subject of imminent sexual abuse. There have been zero incidents of this action being required 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 policy requires the notification of another facility when they learn of an inmate that had been sexually abused at that other 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 facility reported 2 allegations of sexual abuse that an inmate received at another facility. The actions taken 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)

The Arizona DOC and the facility policy meet all first responder requirements of PREA. This policy was verified by the responses from the staff being questioned. In the past 12 months, 10 allegations from inmates were recorded. In 2 cases, staff was required to separate the victim and the abuser. There was one instance where physical evidence collection was required.

### **§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-Winslow. The facility has adopted the Arizona Department of Corrections plan 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)

The facility has policies that protect inmates and staff who report sexual abuse/harassment from retaliation. Senior management supervises the plan. The facility reported zero instances of retaliation in the past 12 months.

### **§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 in place that govern the use of involuntary segregation. These policies meet the PREA requirements. There have been zero uses of segregation 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. All investigations, agency wide, both criminal and administrative, are supervised by staff assigned to this Division. Four investigators have been assigned to the ASPC- Winslow. These investigators have all been trained to meet the requirements of PREA. The facility reported zero substantiated allegations 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)

The AZDOC Investigative Unit indicates they use as a standard the preponderance of the evidence.

### **§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. The facility reported 11 allegations since 20 August, 2012. 9 have been completed and 2 are still under investigation. 9 of the inmates were properly informed of the outcome. The facility also reported that there were zero cases of substantiated inmate on inmate sexual abuse cases that were submitted for prosecution. 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 Complex has disciplinary sanctions for staff up to and including termination for violating sexual abuse/harassment policies. The facility reported one case of staff terminated 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 Winslow has disciplinary sanctions 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)

The ASPC Winslow has policies providing sanctions for inmates engaged in sexual abuse of another inmate. These sanctions meet the PREA requirements. Consideration is given to the inmates' 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. The facility reported zero cases of administrative or criminal findings of inmate-on-inmate sexual abuse in the past 12 months.

### **§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 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 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 staff.

### **§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)

The medical program at ASPC Winslow is staffed 24/7. All inmates who report to be sexual abused have unimpeded access to medical treatment. The community standard medical treatment includes proper medical care, treatment for sexual transmitted disease, and at no cost to the offender.

### **§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)

The facility 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 facility policy requires that all incidents of sexual abuse are thoroughly reviewed by an 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 4 sexual abuse incidents 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. 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 Jack Falconer  
Auditor Signature

2 August, 2014  
Date