

Prison Rape Elimination Act (PREA) Audit Report Adult Prisons & Jails

Interim Final

Date of Report July 27, 2019

Auditor Information

Name: Adam T. Barnett	Email: Adam30906@gmail.com
Company Name: Operations & Compliance Management, LLC	
Mailing Address: P.O. Box 20381	City, State, Zip: Augusta, Ga. 30916
Telephone: 404-683-6844	Date of Facility Visit: June 17-19, 2019

Agency Information

Name of Agency: Management & Training Corporation (MTC)		Governing Authority or Parent Agency (If Applicable): -----	
Physical Address: 500 North Market Place		City, State, Zip: -----	
Mailing Address: P.O. Box 10, Centerville, Utah 84014		City, State, Zip: -----	
Telephone: 801-693-2600		Is Agency accredited by any organization? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
The Agency Is:	<input type="checkbox"/> Military	<input checked="" type="checkbox"/> Private for Profit	<input type="checkbox"/> Private not for Profit
<input type="checkbox"/> Municipal	<input type="checkbox"/> County	<input type="checkbox"/> State	<input type="checkbox"/> Federal
Agency mission: MTC will be a leader in social impact by: Preparing youth for employment and citizenship; Preparing offenders to successfully transition into communities; Providing quality health care and promoting healthy lifestyles; Providing greater opportunity for citizens globally through economic and social development; and Investing in communities.			
Agency Website with PREA Information: www.mtctrains.com			

Agency Chief Executive Officer

Name: Scott Marquardt	Title: President/CEO
Email: scott.marquardt@mtctrains.com	Telephone: 801-693-2800

Agency-Wide PREA Coordinator

Name: Mark Lee	Title: Director Corrections/Corporate, PREA Coordinator
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Email: mark.lee@mtctrains.com	Telephone: 801-693-2864
PREA Coordinator Reports to: Bernie Warner, Senior Vice President	Number of Compliance Managers who report to the PREA Coordinator 25

Facility Information

Name of Facility:	Lockhart Correctional Facility		
Physical Address:	1400 E. MLK/Industrial Blvd., Lockhart, Texas 78644		
Mailing Address (if different than above):	Same as above		
Telephone Number:	512-398-4380		
The Facility Is:	<input type="checkbox"/> Military	<input checked="" type="checkbox"/> Private for profit	<input type="checkbox"/> Private not for profit
<input type="checkbox"/> Municipal	<input type="checkbox"/> County	<input type="checkbox"/> State	<input type="checkbox"/> Federal
Facility Type:	<input type="checkbox"/> Jail	<input checked="" type="checkbox"/> Prison	

Facility Mission: It is the mission of Lockhart Correctional Facility to create and maintain active roles in assisting offenders in identifying and solving problems to improve the quality of their lives. We are dedicated to enhancing life, as well as maintaining a safe and secure facility while ensuring fair and equal treatment to all offenders. Our goal is to address gender specific issues related to trauma and PTSD, along with empowering them to become independent women able to withstand pressures in their roles in everyday life.

Website with PREA Information: www.mtctrains.com

Warden/Superintendent

Name: Jennifer Brown	Title: Senor Warden
Email: Jennifer.Brown@mtctrains.com	Telephone: 512-398-3480 ext. 102

Facility PREA Compliance Manager

Name: Cory Pehl	Title: Quality Assurance Manager/PREA Manager
Email: cory.pehl@mtctrains.com	Telephone: 512-398-3480 ext. 104

Facility Health Service Administrator

Name: Deanna La Plante	Title: Nurse Manager
Email: dsricker@utmb.edu	Telephone: 512-398-3480 ext. 112

Facility Characteristics

Designated Facility Capacity: 1000	Current Population of Facility: 979
Number of inmates admitted to facility during the past 12 months	1,523
Number of inmates admitted to facility during the past 12 months whose length of stay in the facility was for 30 days or more:	1,523
Number of inmates admitted to facility during the past 12 months whose length of stay in the facility was for 72 hours or more:	1,523
Number of inmates on date of audit who were admitted to facility prior to August 20, 2012:	0
Age Range of	Youthful Inmates Under 18: 0 Adults: 18 – 91+

Population:			
Are youthful inmates housed separately from the adult population?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> NA
Number of youthful inmates housed at this facility during the past 12 months:			0
Average length of stay or time under supervision: youthful inmates			0
Facility security level/inmate custody levels:			Minimum – Revised 9/13/19
Number of staff currently employed by the facility who may have contact with inmates:			154
Number of staff hired by the facility during the past 12 months who may have contact with inmates:			118
Number of contracts in the past 12 months for services with contractors who may have contact with inmates:			3
Physical Plant			
Number of Buildings: 3	Number of Single Cell Housing Units: 1 Housing Unit w/ 4 Cells		
Number of Multiple Occupancy Cell Housing Units:	500 (All 2-men cells)		
Number of Open Bay/Dorm Housing Units:	0		
Number of Segregation Cells (Administrative and Disciplinary):	14 Single cells		
Description of any video or electronic monitoring technology (including any relevant information about where cameras are placed, where the control room is, retention of video, etc.):			
Cameras are placed throughout the facility in common areas to include the outside of the buildings. All DVR sets have recording capability and are set to over sixteen days of recording time.			
Medical			
Type of Medical Facility:	Primary Care, Sick Calls, and Dental		
Forensic sexual assault medical exams are conducted at:	Central Texas Medical Center Emergency Room		
Other			
Number of volunteers and individual contractors, who may have contact with inmates, currently authorized to enter the facility:			321
Number of investigators the agency currently employs to investigate allegations of sexual abuse:			4 Facility, and 1 from OIG

Audit Findings

Audit Narrative

The auditor's description of the audit methodology should include a detailed description of the following processes during the pre-onsite audit, onsite audit, and post-audit phases: documents and files reviewed, discussions and types of interviews conducted, number of days spent on-site, observations made during the site-review, and a detailed description of any follow-up work conducted during the post-audit phase. The narrative should describe the techniques the auditor used to sample documentation and select interviewees, and the auditor's process for the site review.

The site review for this audit took place at Lockhart Correctional Facility (LCF) located at 1400 E. MLK/Industrial Blvd., in Lockhart, Texas. The Lockhart Correctional Facility is operated by the Management and Training Corporation (MTC), for the Texas Department of Criminal Justice (TDCJ). Lockhart Correctional Facility (LCF) hereinafter may be referred to as facility. It should be noted that, the TDCJ refers to "inmates" as "offenders, therefore "inmates" and "offenders" will be used interchangeably through this report.

Audit Methodology:

The auditor uses a triangular approach, by connecting the PREA audit documentations, on-site observation, tour, practice, interviewed staff, inmates, and local and national advocates to make determinations for each standard and provision.

Pre-onsite Audit Phase

Posting:

The auditor provided the audit notice to the Management and Training Corporation (MTC) Assistant PREA Coordinator, with instruction to post the required PREA Audit Notice of the upcoming audit prior to the audit for confidential communications. The facility posted the notices in English and Spanish. The auditor observed the posted notices throughout the facility.

As of June 15, 2019, there were no communications from inmates or staff. However, on June 21, 2019 the auditor received communication for an inmate and on June 27, 2019, the auditor received another communication for the same inmate. On July 6, 2019, both letters were sent to MTC Assistant PREA Coordinator for processing. July 17, 2019, the auditor received 4th communication for an inmate addressed to the facility warden. The communication was sent to the Agency Assistant PREA Coordinator for processing. On July 26, 2019, the auditor received another letter from the same inmate. Again, the communication was sent to the Agency Assistant PREA Coordinator for processing.

Pre-Audit Questionnaire (PAQ):

In order to prepare for the audit process, email correspondence occurred with the agency's Assistant PREA Coordinator, Warden and Facility PREA Compliance Manager. As the auditor reviewed the materials provided by the facility, he collated documents that were on the flash drive.

The Pre-Audit Questionnaire was completed and sent to the auditor as required. As a part of the on-site visit the auditor requested that the facility PREA compliance manager review and revised the Pre-Audit Questionnaire to reflect updated information to include the current population.

The Auditor completed a documentation review using the Pre-Audit Questionnaire, internet search, policies and procedures review, and additional documentation provided on a flash drive to include both the agency and the facility policy and procedures, agency mission statement, daily population report, schematic/layout for the facility and the last Final PREA Audit Report. The PREA Compliance Manager revised the PREA Audit: Pre-Audit Questionnaire to reflect accuracy of the report.

The results of the documentation review were shared with the facility prior to and at the site visit. Phone conversations were conducted, and email exchanges occurred with the facility.

The following documentation was requested:

- Inmate Roster
- Youthful Inmates, if any
- Inmates with Disabilities
- Inmates who are Limited English Proficient (LEP)
- LGBTI Inmates
- Inmates in segregated housing (PREA Related)
- Inmates who Reported Sexual Abuse
- Inmates who Reported Sexual Victimization During Risk Screening
- Staff Roster
- Specialized Staff
- Staff Personnel Files
- Inmate Files
- Contractors who have contact with Inmates
- Volunteers who have contact with Inmates
- Grievances made in the 12 months preceding the audit
- Allegations of sexual abuse and sexual harassment reported for investigation in the 12 months preceding the audit
- General Incident Log
- All hotline call made during the 12 months preceding the audit
- All incidents within the past 12 months

Website Review:

Prior to the onsite portion, the auditor conducted a website review of Management and Training Corporation Website. The reviewed content included but not limited to:

- MTC Overview
- PREA Webpage
- MTC PREA Coordinator Information
- MTC Assistant PREA Coordinator Information
- MTC Annual PREA Reports – From 2012 – 2017 (115.87, 115.88, 115.89)
- PREA Audits: Auditor’s Reports (115.403) – From August 20, 2013 thru August 19, 2019
- MTC’s PREA Investigation Referrals Process
- MTC PREA Policy: Ensuring Safe Prisons

Site Review Preparation:

The auditor provided the MTC Assistant PREA Coordinator, Warden, and the Facility PREA Compliance Manager with email notification regarding the team’s upcoming site visit.

On-Site Audit Phase

Entrance Meeting

On 6/17/2019 the audit team arrived at the facility to conduct an entrance meeting. The entrance meeting served as initial introductions and onsite logistics with the facility leadership. The audit goals and expectations of the audit was shared with the following attendees:

- Warden
- Assistant Warden
- Major
- Captain
- Lieutenant
- Sergeant
- Human Resources
- UTMB Nurse Manager
- MTC Regional PREA Manager
- TDCJ Contract Monitor
- USDOJ Certified PREA Auditor
- PREA Auditor Associate
- Facility PREA Compliance Manager

Welcomes were given by the Warden and Facility PREA Compliance Manager. The Auditor introduced himself and provided a brief description of his experience, qualifications, correctional and auditing background. Mrs. Hunter-Cone served as the associate and introduced herself and provided a brief description of her experience, qualifications, correctional background.

Additional pre-audit information, requested weeks prior to, was obtained. The audit team were provided with offender and employee documentation to review. Updated offender and staffing list were also provided allowing the audit team to make randomized selection of interview participants including offenders and staff from housing units and specialized categories.

The Audit Agenda was reviewed and discussed, to include inmate population size based on 1st day of on-site audit, and the 2nd – 3rd day activities. The team also established a process to make corrections on site and if necessary, post onsite follow up.

The following on-site schedule was shared with flexibility.

Day One
Monday, 6/17/2019

Time	Activity/Auditor
8:30 AM	Arrival at the facility and meet with warden and facility PREA compliance manger.
9:00 AM	Entrance conference – meets key staff members / review agenda and provides a list of documents for on-site review and off-site review; staff inmates interview selections.
10:00 AM	Facility tour and observations – Adam Barnett; Interviews with random staff and target inmates – Aishia Hunter-Cone.
1:00 Pm Until	Interview with specialized staff – Adam Barnett; Interviews with random staff and target inmates, and random inmates continues – Aishia Hunter-Cone.
After Leaving Facility	Documentation review at hotel and consensus – Adam Barnett and Aishia Hunter-Cone.

Day Two
Tuesday, 6/18/2019

Time	Activity/Auditor
8:00 AM	Interviews with specialized staff – Adam Barnett, until; Interview target inmates and random inmates – Aishia Hunter-Cone until. Documentation review at facility.
After Leaving Facility	Documentation review at hotel and consensus Adam Barnett and Aisia Hunter-Cone.

Day Three
Wednesday, 6/19/2019

Time	Activity/Auditor
8:00 AM - Until	Interviews with additional staff and/or inmates and documentation review and requested documentation – Adam Barnett and Aishia Hunter-Cone.
Open	Exit Conference

The facility provided the auditors with the requested meeting space, work space with adequate outlets and permissible technology (Laptop and cell phone).

Staff Interviewed:

The Auditor conducted interviews with agency leadership which are not counted in the totals. Below are the staff interviewed, either on-site or by telephone.

- MTC Agency Head
- MTC Agency PREA Coordinator
- MTC Assistant Agency PREA Coordinator

The facility reported 149 full time and 10 part-time staff members for a total of 154.

- MTC Full Time: 128
- MTC Part-Time: 9
- UTMB Full Time: 9 (contract)
- UTMB Part-Time: 1 (contract)
- OnShore Full Time: 2
- Henderson Full Time: 5

The Auditor conducted the following specialized staff interviews during the on-site phase or by phone:

Category of Staff Interviewed	# Interviews Conducted
Random Staff (Total) <i>Selected from All Shifts</i>	14
Specialized Staff (Total)	22
Staff Informally Interviewed during Facility Tour	3
Staff Refused to interview	0
Total Staff	39
Breakdown of Specialized Staff Interviews	
✓ Warden and Designee - DOJ Interview Questions for Warden	1
✓ Higher-Level Facility Staff Responsible for Conducting Unannounced Rounds (Captain)	1
✓ Incident Review Team Member (Major)	1
✓ Facility PREA Compliance Manager	1

- Designated staff member charged with monitoring retaliation	
✓ Line staff who supervise youthful inmates (No Youthful Inmates)	1
✓ Education staff who work with youthful inmates	0
✓ Program staff who work with youthful inmates	0
✓ Medical staff	1
✓ Mental health staff	1
✓ Non-Medical staff involved in cross-gender strip or visual searches	1
✓ Administrative (Human Resources) HR Staff	1
✓ SAFE and/or SANE Staff	0
✓ Volunteers who have contact with inmates	3
✓ Contractors who have contact with inmates	2
✓ Investigative staff – Agency Level	0
✓ Investigative staff – Facility Level	1
✓ Staff who preform screening for risk of victimization and abusiveness	1
✓ Staff who supervise inmates in segregated housing	1
✓ First responders, security staff	1
✓ First responders, non-security staff	1
✓ Intake	1
✓ Mail Room Staff	2
✓ Grievance Staff	0
✓ Volunteer Coordinator	0
✓ Case Manager/Counselor	0
✓ Operations/Incidents	0
✓ Training Manager	0
Total Specialized Staff Interviews	22

The Auditor informally interviewed 3 staff members. A review of the total of 39 formal and informal interviews revealed that staff at LCF has an understanding of PREA and their roles as it relates to PREA responsibilities.

Inmate Interviewed:

On the first day of the audit the facility bed capacity was 1000. The number of Inmates housed during the first day of the audit was 979.

The Auditor conducted the following inmate interviews during the on-site phase of the audit:

Category of Inmates	# of Interviews Conducted
Random Inmates (Total) <i>Selected from all Housing Units</i>	31
Targeted Inmates (Total)	6
Inmates Informally Interviewed during Facility Tour	15

Inmates Refused to Interview	0
Total Inmates Interviewed	52
Breakdown of Targeted Inmate Interviews	
✓ Youthful Inmates	0
✓ Inmate with a Physical Disability	0
✓ Inmates who are Blind, Deaf, or Hard of Hearing	0
✓ Inmates who are LEP	2
✓ Inmates with a Cognitive Disability	0
✓ Inmates who Identify as Lesbian, Gay, or Bisexual	3
✓ Inmates who Identify as Transgender or Intersex	0
✓ Inmates in Segregated Housing for High Risk of sexual Victimization	0
✓ Inmates who Reported sexual Abuse that occurred at the Facility	0
✓ Inmates who Reported Sexual Victimization During Risk Screening	1
Total Number of Targeted Inmates Interviews	6

The Auditor informally interviewed 15 inmates. A review of the total number of 52 formal and informal interviews revealed that inmates at LCF are receiving the proper PREA education. Inmates interviewed could describe PREA and the different ways to report allegations of sexual abuse and harassment at the facility: verbal, written, to staff or third parties, by mail, anonymously, to a family member, etc.

Site Review:

The audit team conducted a comprehensive site review of the facility. The audit team was provided a map of the facility prior to the onsite review.

On the first day of the audit after the entrance conference, the auditor toured the physical plant. When the Auditor paused to speak to an inmate or staff, it was requested that the staff on the tour please step away so the conversation may remain private.

During the tour, the auditor observed the locations of video monitoring cameras around the facility, including those outside. The cameras are monitored 24 hours a day. None of the cameras field of view included the toilet and shower areas. The auditor noted that shower and toilet areas allow Inmates privacy away from staff direct viewing. The auditor observed the locations of grievance and medical boxes. Inmate risk screenings were completed in the intake area. The auditor was provided unimpeded access to all parts of the facility and all secure rooms and storage areas in the facility.

The cleanness of the facility was excellent. During the tour the inmates was well behaved and randomly speaking with inmates indicated that they are aware of PREA and the MTC philosophy Bionic “Believe It or Not I Care”.

The auditor had sufficient opportunity to view inmate – staff interaction. There was also ample time to observe the nature and quality of inmate supervision throughout the on-site audit process, and in all instances the Auditor observed appropriate respect on the part of both inmates and staff.

The PREA standards require the auditor to tour the facility to verify compliance with the standards, such as, but not limited to:

Location	Check
Facility Physical Design	✓
Cameras Locations	✓
Observe for Blind Spots	✓
Notices of the PREA Audits Posted	✓
Holding Rooms/Cells	✓
Segregated Rooms/Cells	✓
Inmates Files in Secured Area	✓
Staff Personal Files in Secured Area	✓
PREA Information Posted English & Non-English	✓
Cameras does not have a line of sight into inmate's rooms, or the toilets and showers	✓
Staff of the opposite gender announces their presence when entering living areas	✓
No Youthful Offenders	✓
Renovated areas observed	✓
Inmates Program Areas	✓
Facility was orderly in appearance	✓
Grounds were Good	✓
Reactions between inmates and staff (Excellent)	✓
Intake	✓
Administration Area	✓
Storage Rooms & Closets	✓
Mail Room	✓
Commissary	✓
Laundry	✓
Dining (No Dining Area)	✓
Kitchen	✓
Visitation	✓
Library	✓
Inside Recreation Area	✓
Outside Recreation Area	✓
Grievance Boxes	✓
Medical Unit	✓
Control Room Monitors	✓
Counselors/Case Mangers Work Areas	✓
Inmate Housing Units	✓
Sally Ports	✓

Locations with concerns during the tour:

- None

Outreach to National and local Advocacy Organizations:

PREA requires the auditor to conduct outreach to relevant national and local advocacy organizations. To communicate with community-based or victim advocates who may have insight into relevant conditions in the facility. The following national advocacy, State, and/or community advocacy organization were contacted.

Advocacy Organization	Information Request	Response
Hays-Caldwell Women’s Center	June 18, 2019	June 20,2019 @4:49PM
Justice Detention International (JDI)	June 1, 2019	July 3, 2019 – No Response
National Sexual Violence Resource Center (NSVRC)	June 1, 2019 7:54am	June 3, 2019 12:46pm: NSVRC recommend to contact local center.

The auditor and associate ask the local and/or national advocacy organizations the following questions:

1. How many SAFE or SANE referrals made in the last 12 months?
2. Can the inmate remain anonymous, upon request, when making a report?
3. Who do you notify at the facility regarding the report?
4. How many reports have the organization received in the past 12 months for advocacy services?
5. How many inmates reported sexual abuse and/or sexual harassment?

Documentation Review and Sampling

Documents Reviews:

During the site review, documentation review included but not limited to the audit team review of Personnel, Background Checks, Training, Inmate Files, Investigations, etc. The documentation review process was covered by the lead auditor.

Records Review

Name of Record	Total # of Records	# Reviewed
Personnel Records/Background Checks/Training (MTC)	137	21
Volunteers Files/Background Checks/Training/PREA	321	Statement of Facts
Contractors Files/Background Checks/Training/	17	UTMB Full Time: 10 (SOF) OnShore Full Time: 2 Henderson Full Time: 5
Inmate Files/PREA Screenings	979	32
Incident Reports	16	16 (Log)
Investigation Records (SA and SH)	5	5
Grievances (All Complaints, including SA and SH)	452	452 Log)

Grievance (Alleged SA and SH)	2	2
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Investigation Records

It should be noted that any SA/SH Grievances are not reviewed by grievance process, if received automatically sent for an investigation.

There were 5 PREA related allegations that were investigated in the past 12 months.

Allegation	Number	Finding
Sexual Abuse <i>Staff on Offender</i>	0	Unsubstantiated
	0	Substantiated
	0	Unfounded
Sexual Abuse <i>Offender on Offender</i>	0	Unsubstantiated
	0	Substantiated
	0	Unfounded
Sexual Harassment <i>Staff on Offender</i>	3	Unsubstantiated
	0	Substantiated
	1	Unfounded
Sexual Harassment <i>Offender on Offender</i>	1	Unsubstantiated
	0	Substantiated
	0	Unfounded
Total	5	

Informational Consolidation:

The audit team members met frequently throughout the three days to consolidate information and ensure that the interviews, documentation log reviews, and facility observations supported compliance determination for the required PREA standard. The team met onsite and offsite at the hotel to discuss findings. When additional information was requested to established compliance, the management team was responsive and made every effort to deliver documentation or explanation. The facility staff was receptive to identified areas of concern during the facility site inspection along with noted concerns.

Exit Briefing

The audit team conducted an exit meeting on 6/19/2019 at which preliminary findings of the review were discussed with the facility and agency leadership team. The attendees, and addition to the state agency staff participated in the exit briefing. During the exit, the auditor provided a verbal list of identified non-compliant items and described how these related to the standards and or provisions. For resolution of issues following the exit, the auditor indicated that outstanding issues should be provided with proof of compliance.

The following staff attended the exit conference.

1. Warden
2. Assistant Warden
3. Major

4. Captain
5. Lieutenant
6. Sergeant
7. Human Resources
8. UTMB Nurse Manager
9. MTC Regional PREA Manager
10. TDCJ Contract Monitor
11. USDOJ Certified PREA Auditor
12. PREA Auditor Associate
13. Facility PREA Compliance Manager

Facility officials were very open and receptive to an honest discussion of areas where PREA compliance needed to be strengthened.

Post-Onsite Audit Phase

After the onsite phase of the audit, the auditor, Warden and the facility PREA Compliance Manager agreed to communication by email and telephone during the post-audit phase, regarding any identified need for additional documentation, as well as clarification of questions that arose while collating data. The facility PREA Compliance Manager indicated they would provide the auditor with proof of practice on an ongoing basis, as related to correction of identified deficiencies.

Audit Section of the Compliance Tool:

The auditor uses the required Prison Rape Elimination Act (PREA) Audit Report Adult Prisons and Jails to enter collected information. Detailed information from the audit interviews were integrated into relevant sections of the standards. In order to ensure all standards were analyzed, the auditor proceeded standard by standard, determine compliance or non-compliance.

Interim Audit Report:

None submitted

Final Audit Report:

The final 2019 PREA Audit report was emailed to the MTC Assistant PREA Coordinator and the Facility Warden.

Facility Characteristics

The auditor's description of the audited facility should include details about the facility type, demographics and size of the inmate, resident or detainee population, numbers and type of staff positions, configuration and layout of the facility, numbers of housing units, description of housing units including any special housing units, a description of programs and services, including food service and recreation. The auditor should describe how these details are relevant to PREA implementation and compliance.

Facility Demographics:

# of Full-Time Staff Reported First Day of Audit	- MTC Full Time = 128
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	<ul style="list-style-type: none"> - MTC Part-Time = 9 - UTMB Full Time = 9 - UTMB Part Time = 1 - OnShore Full Time = 2 - Henderson Full Time = 5 <p style="text-align: right;">Total: 154</p>
Types of Supervision Practiced:	Custodial Supervision; Surveillance Equipment
Facility Inmate Designed Capacity	1000
Actual Number of Inmate Housed on the first Day	979
Number of Youthful Inmates Housed	0
Custody/Security Level in the facility	Minimum Security/G1 – G2
Gender Composition	Females

Facility Description:

The Lockhart Correctional Facility, located in Lockhart, Texas, is 1000 bed minimum security facility housing female offenders. The facility opened as the Lockhart Secure Work Program in 1993. The original building housed 500 minimum security male offenders from the Texas Department of Criminal Justice-Parole Division. The facility was expanded for an additional 500 beds to house female offenders.

The Lockhart Correctional Facility opened August 8, 1994. In January of 2015, Texas Department of Criminal Justice converted the facility into an all-female unit 500 beds for permanent assignment (designated T3) and 500 bed Transit Unit (Designated LC).

In 2015, the Management and Training Corporation (MTC) was given the contract to manage the Lockhart Correctional Facility by TDCJ. MTC started the management of the Lockhart Correctional Facility on September 1, 2015.

The 221,500-square foot facility was originally constructed in 1993 and occupies 25 acres of land. The facility is approximately 28 miles from Austin, Texas and is surrounded by ranch and farm land.

The core building is a single-story steel structure constructed of mezzanine concrete which contains administrative offices, counseling, education, recreation, release, visitation, library, food service and health care. There are four housing areas which are divided into five pods, each consisting of double-bunked cells with 50 offenders assigned to each pod. The industries building contain two privately operated prison industry programs where the offenders are paid the prevailing market-level wage.

Facility Programs

The facility has a variety of rehabilitative programs that are offered to the offender population. These include, Education, Vocation, Substance Abuse, Life Skills, Therapy and Religious.

1. Education

- a. Adult Basic Education 1, 2, 3
- b. Truth Be Told
- c. Big Book Class
- d. General Education Development
- e. Goodwill High School Classes

2. Vocation

- a. Business Information Management
- b. Computer Applications
- c. Culinary Arts
- d. Paws in Prison
- e. Printing & Imaging
- f. PEP (Prison Entrepreneurship Program)

3. Substance Abuse

- a. Alcoholic Anonymous
- b. DWI
- c. Narcotics Anonymous

4. Life Skills

- a. ALANON
- b. CHANGES III
- c. Healing Trauma
- d. Inner Circle
- e. Mediation
- f. SOS Class
- g. Toastmasters
- h. Winner's Circle
- i. Wall Talk

5. Therapy

- a. CASA
- b. In-Prison Therapeutic Community (IPTC)

6. Religious

- a. Bridges to Life
- b. God of Hope
- c. KAIROS

Management & Training Corporation (MTC) Mission:

“Be a leader in social impact by:

- Preparing youth for employment and citizenship;
- Preparing offenders to successfully transition into communities;
- Providing quality health care and promoting healthy lifestyles;
- Providing greater opportunity for citizens globally through economic and social development; and
- Investing in communities.

Lockhart Correctional Facility (LCF) Mission:

“It is the Mission of the Lockhart Correctional Facility to create and maintain active roles in assisting offenders in identifying and solving problems to improve the quality of their lives. We are dedicated to enhancing life, as well as maintaining a safe and secure facility while ensuring fair and equal treatment to all offenders. Our goal is to address gender specific issues related to trauma and PTSD, along with empowering them to become independent women able to withstand pressures in their roles in everyday life.”

Texas Department of Criminal Justice (TDCJ) Mission:

“To provide public safety, promote positive change in offender behavior, reintegrate offenders into society, and assist victims of crime.”

Additional Documentation:

Lockhart Correctional Facility has achieved nationally – recognized corrections, education, and safety accreditations:

1. ACA Accreditation of Corrections Awards 2017 – 2020
2. Correctional Education Association Standards Commission for Correctional Education Program 2017 – 2020

Summary of Audit Findings

*The summary should include the number of standards exceeded, number of standards met, and number of standards not met, **along with a list of each of the standards in each category.** If relevant, provide a summarized description of the corrective action plan, including deficiencies observed, recommendations made, actions taken by the agency, relevant timelines, and methods used by the auditor to reassess compliance.*

Auditor Note: No standard should be found to be “Not Applicable” or “NA”. A compliance determination must be made for each standard.

Number of Standards Exceeded: 0

Prevention and Planning:

- 115.11- Zero Tolerance of Sexual Abuse and Sexual Harassment: PREA Coordinator
- 115.12 – Contracting with Other Entities for the Confinement of Inmates
- 115.13 – Supervision and Monitoring
- 115.14 – Youthful Inmates
- 115.15 – Limits to Cross-Gender Viewing and Searches
- 115.16 – Inmates with Disabilities and Inmate who are Limited English Proficient
- 115.17 – Hiring and Promotion Decisions
- 115.18 – Upgrades to Facilities and Technology

Responsive Planning:

- 115.21 – Evidence Protocol and Forensic Medical Examinations
- 115.22 – Policies to Ensure Referrals of Allegations for Investigations

Training and Education:

- 115.31 – Employees Training
- 115.32 – Volunteer and Contractor Training
- 115.33 – Inmate Education
- 115.34 – Specialized Training: Investigations
- 115.35 – Specialized Training: Medical and Mental Health Care

Screening and Risk of Sexual Victimization and Abusiveness:

- 115.41 – Screening for Risk of Victimization and Abusiveness
- 115.42 – Use of Screening Information
- 115.43 – Protective Custody

Reporting:

- 115.51 – Inmate Reporting
- 115.52 – Exhaustion of Administrative Remedies
- 115.53 – Inmate Access to Outside Confidential Support Services
- 115.54 – Third-Party Reporting

Official Response Following and Inmate Report:

- 115.61 – Staff and Agency Reporting Duties
- 115.62 – Agency Protection Duties
- 115.63 – Reporting to Other Confinement Facilities
- 115.64 – Staff First Responder Duties

- 115.65 – Coordinator Response
- 115.66 – Preservation of Ability to Protect Inmates from Contact with Abusers
- 115.67 – Agency Protection Against Retaliation
- 115.68 – Post Allegation Protective Custody

Investigation:

- 115.71 – Criminal and Administrative Agency Investigations
- 115.72 – Evidentiary Standard for Administrative Investigations
- 115.73 – Reporting to Inmates

Discipline:

- 115.76 – Disciplinary Sanctions for Staff
- 115.77 – Corrective Action for Contractors and Volunteers
- 115.78 – Disciplinary Sanctions for Inmates

Medical and Mental Care:

- 115.81 – Medical and Mental Health Screenings: History of Sexual Abuse
- 115.82 – Access to Emergency Medical and Mental Health Services
- 115.83 – Ongoing Medical and Mental Health Care for Sexual Abuse Victims and Abusers

Data Collection and Review:

- 115.86 – Sexual Abuse Incident Reviews
- 115.87 – Data Collection
- 115.88 – Data Review for Corrective Action
- 115.89 – Data Storage, Publication, and Destruction

Audits and Correction Action:

- 115.401 – Frequency and Scope of Audits
- 115.403 – Audit Contents and Finding

Number of Standards Not Met: 0

Summary of Corrective Action (if any)

Standard 115.11:

Concern: The Facility PREA Compliance Manager could not articulate key processes during the tour and the interview process for the Facility Compliance Manager. Some areas of concerns are: Consideration of adequate staffing levels requirements, understanding of the facility use of information from risk

screening, victim advocate services, not clear on how to address PREA issues if the facility receives a transgender or intersex inmate, and how to conduct sexual abuse incident reviews.

- **Facility Response:** On June 27, 2019, the auditor received an email from the facility warden stating, “The Lockhart Correctional Facility administration has removed Cory Pehl from all responsibilities as the PREA Coordinator. Michele Coffin, Certified PREA Manager completed one training session with Mr. Pehl. Assistant Warden Pete Coffin will now serve as the PREA Coordinator for the Lockhart Correctional Facility. Periodic reviews of the future PREA Coordinators’ knowledge will occur from a facility and regional level to ensure all staff are knowledgeable of the PREA standards and their responsibilities as related to the Prison Rape Elimination Act.”
- **Compliant:** The auditor accepts the facility response as corrective action as completed.

Corrective actions, specific detail about deficiencies or concerns regarding findings may appear in the standard-by-standard discussions in the main body of the report. If the facility does not correct the stated concerns within 45 days, the Auditor will release an interim report that will start the corrective action process. If the facility completes stated concerns within the 45 days and the auditor agrees then the final report will be release.

PREVENTION PLANNING

Standard 115.11: Zero tolerance of sexual abuse and sexual harassment; PREA coordinator

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.11 (a)

- Does the agency have a written policy mandating zero tolerance toward all forms of sexual abuse and sexual harassment? Yes No
- Does the written policy outline the agency’s approach to preventing, detecting, and responding to sexual abuse and sexual harassment? Yes No

115.11 (b)

- Has the agency employed or designated an agency-wide PREA Coordinator? Yes No
- Is the PREA Coordinator position in the upper-level of the agency hierarchy? Yes No
- Does the PREA Coordinator have sufficient time and authority to develop, implement, and oversee agency efforts to comply with the PREA standards in all of its facilities? Yes No

115.11 (c)

- If this agency operates more than one facility, has each facility designated a PREA compliance manager? (N/A if agency operates only one facility.) Yes No NA
- Does the PREA compliance manager have sufficient time and authority to coordinate the facility's efforts to comply with the PREA standards? (N/A if agency operates only one facility.) Yes No NA

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. LCF Organization Chart
2. LCF Memo – Designation Facility PREA Compliance Manager
3. MTC Memo – Bernie Warner, Sr. VP, Corrections (Designating Agency PREA Coordinator)
4. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A-1, A2, A3 &D, A4, A5, B1, B2, C1, C2) –August 1, 2017
5. MTC PREA Coordinator Designating MEMO
6. MTC Website –Mark Lee, MTC Agency PREA Coordinator
7. MTC Website – Mike Atchison, MTC Agency Assistant PREA Coordinator
8. MTC Organization Chart
9. Pre-Audit Questionnaire/Adult Prisons & Jails
10. Interviews:
 - A. Agency PREA Coordinator
 - B. Warden
 - C. Facility PREA Compliance Manager

- A.** Management & Training Corporation (MTC) published the agency policy serial # 903E.02, Ensuring Safe Prisons. The policy mandates a zero tolerance toward all forms of sexual abuse and sexual harassment. The policy outlines procedures and expectations related to MTC's

approach to preventing, detecting and responding to sexual abuse and sexual harassment. It is developed in compliance with the PREA standards for adult prisons and jails and includes definitions of prohibited behaviors regarding sexual assault and sexual harassment for staff and inmates.

The policy also included sanctions for staff and inmates found to have participated in prohibited behaviors. Staff members who are found to have perpetrated sexual abuse or sexual harassment are disciplined in accordance to Employee Discipline policy and Facility Rule of Conduct and subject to employment termination. Employees are subject to criminal prosecution.

Inmate, Detainee or Inmates who are found to have perpetrated sexual abuse or sexual harassment are disciplined in accordance with sanctions outlined in the facility's inmate handbook.

The policy includes a description of the agency strategies and responses to reduce and prevent sexual abuse and sexual harassment of inmates. MTC develops and promotes a BIONIC culture in each of its facilities. BIONIC is an acronym for "Believe It or Not I Care" and it is a representative of the agency overall strategy.

- B. The agency employs/designates an upper level, agency wide PREA Coordinator with sufficient time and authority to develop, implements, and oversees agency efforts to comply with the PREA standards in all facilities. The agency provided additional documentation confirming the agency PREA Coordinator and authority. The agency organizational structure was provided showing the position of the agency PREA Coordinator.
- C. The facility designated a PREA Compliance Manager with sufficient time and authority to coordinate the facility's efforts to comply with the PREA standards. The facility provided documentation confirming the facility PREA Compliance Manager appointment. The PREA Compliance Manager position is located on the Facility organizational chart showing who the position reports to.

Interview Results:

- The Agency PREA Coordinator indicated yes, that he has enough time to manage all of the PREA related responsibilities. The Agency PREA Coordinator also indicated that he has an Assistant PREA Coordinator and together they have been able to manage the flow of the demands of this position.
- The Agency PREA Coordinator indicated that PREA compliance managers are designated at each of the 25 correctional facilities that they operate. The Agency Coordinator and the

Assistant Agency PREA Coordinator interact with the facility PREA Compliance Managers through email, telephonically, video conference, webinars, and in-person audits.

- The Agency PREA Coordinator indicated that when issues are identified and corrective action, it was stated:
 - Internal and external audits (Peer Reviews)
 - Collaboration (virtual and in-person forums for sharing of best practice – webinars, video training, email, conferences)
 - Considerations (resources, approval processes – customer agency, facility owner, etc.)
 - Clarification (Interpretive guidance, PREA resource center, remedy period).
 - Policy and Procedure, Physical plant and technical systems, staffing, and training.
- The Warden and documentation confirmed the appointment of the Facility Compliance Manager.
- Interview with the Facility PREA Compliance Manager indicated that he could not articulate key processes during the tour and the interview process for the Facility Compliance Manager. Some areas of concerns are: Consideration of adequate staffing levels requirements, understanding of the facility use of information from risk screening, victim advocate services, not clear on how to address PREA issues if the facility receives a transgender or intersex inmate, and how to conduct sexual abuse incident reviews.

Corrective Action:

Concern: The Facility PREA Compliance Manager could not articulate key processes during the tour and the interview process for the Facility Compliance Manager. Some areas of concerns are: Consideration of adequate staffing levels requirements, understanding of the facility use of information from risk screening, victim advocate services, not clear on how to address PREA issues if the facility receives a transgender or intersex inmate, and how to conduct sexual abuse incident reviews.

- **Facility Response:** On June 27, 2019, the auditor received an email from the facility warden stating, “The Lockhart Correctional Facility administration has removed Cory Pehl from all responsibilities as the PREA Coordinator. Michele Coffin, Certified PREA Manager completed one training session with Mr. Pehl. Assistant Warden Pete Coffin will now serve as the PREA Coordinator for the Lockhart Correctional Facility. Periodic reviews of the future PREA Coordinators’ knowledge will occur from a facility and regional level to ensure all staff are knowledgeable of the PREA standards and their responsibilities as related to the Prison Rape Elimination Act.”
- **Compliant:** The auditor accepts the facility response as corrective action as completed.

Standard 115.12: Contracting with other entities for the confinement of inmates

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.12 (a)

- If this agency is public and it contracts for the confinement of its inmates with private agencies or other entities including other government agencies, has the agency included the entity's obligation to comply with the PREA standards in any new contract or contract renewal signed on or after August 20, 2012? (N/A if the agency does not contract with private agencies or other entities for the confinement of inmates.) Yes No NA

115.12 (b)

- Does any new contract or contract renewal signed on or after August 20, 2012 provide for agency contract monitoring to ensure that the contractor is complying with the PREA standards? (N/A if the agency does not contract with private agencies or other entities for the confinement of inmates OR the response to 115.12(a)-1 is "NO".) Yes No NA

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. MEMO: All PREA Compliance Managers/Contracting Information
2. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons – August 1, 2017
3. MTC Contract Addendum – (10/31/2013)
4. Memo from MTC Agency PREA Coordinator (2/14/2014)
5. Pre-Audit Questionnaire/Adult Prisons & Jails
6. Interviews:
 - a. Warden
 - b. Facility PREA Compliance Manager

- A. MTC is a private corporation that has entered into or renewed contracts with federal, state, county, etc. prisons for the confinement of inmates and has adopted and complies with PREA standards. However, Lockhart Correctional Facility does not have authority to contract with other entities for the confinement of inmates.

A review of the Pre-Audit Questionnaire Adult Prisons & Jails and confirmed by staff interviews:

- The number of contracts for the confinement of inmates that the facility entered into or renewed since the last PREA audit was 0.
- The number of contracts that did not require contractors to adopt and comply with PREA standards was 0.

- B. All agency contracts required the monitoring of compliance with PREA Standards.

A review of the Pre-Audit Questionnaire Adult Prisons & Jails and confirmed by staff interviews:

- The number of contracts referenced that do not require the agency to monitor contractor's compliance with PREA standard was 0.

Interview Results:

- Interview with Warden and Facility PREA Compliance Manager indicated that the facility does not contract with other agencies to confine inmates.

Standard 115.13: Supervision and monitoring

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.13 (a)

- Does the agency ensure that each facility has developed a staffing plan that provides for adequate levels of staffing and, where applicable, video monitoring, to protect inmates against sexual abuse? Yes No
- Does the agency ensure that each facility has documented a staffing plan that provides for adequate levels of staffing and, where applicable, video monitoring, to protect inmates against sexual abuse? Yes No
- Does the agency ensure that each facility's staffing plan takes into consideration the generally accepted detention and correctional practices in calculating adequate staffing levels and determining the need for video monitoring? Yes No
- Does the agency ensure that each facility's staffing plan takes into consideration any judicial findings of inadequacy in calculating adequate staffing levels and determining the need for video monitoring? Yes No

- Does the agency ensure that each facility’s staffing plan takes into consideration any findings of inadequacy from Federal investigative agencies in calculating adequate staffing levels and determining the need for video monitoring? Yes No
- Does the agency ensure that each facility’s staffing plan takes into consideration any findings of inadequacy from internal or external oversight bodies in calculating adequate staffing levels and determining the need for video monitoring? Yes No
- Does the agency ensure that each facility’s staffing plan takes into consideration all components of the facility’s physical plant (including “blind-spots” or areas where staff or inmates may be isolated) in calculating adequate staffing levels and determining the need for video monitoring? Yes No
- Does the agency ensure that each facility’s staffing plan takes into consideration the composition of the inmate population in calculating adequate staffing levels and determining the need for video monitoring? Yes No
- Does the agency ensure that each facility’s staffing plan takes into consideration the number and placement of supervisory staff in calculating adequate staffing levels and determining the need for video monitoring? Yes No
- Does the agency ensure that each facility’s staffing plan takes into consideration the institution programs occurring on a particular shift in calculating adequate staffing levels and determining the need for video monitoring? Yes No NA
- Does the agency ensure that each facility’s staffing plan takes into consideration any applicable State or local laws, regulations, or standards in calculating adequate staffing levels and determining the need for video monitoring? Yes No
- Does the agency ensure that each facility’s staffing plan takes into consideration the prevalence of substantiated and unsubstantiated incidents of sexual abuse in calculating adequate staffing levels and determining the need for video monitoring? Yes No
- Does the agency ensure that each facility’s staffing plan takes into consideration any other relevant factors in calculating adequate staffing levels and determining the need for video monitoring? Yes No

115.13 (b)

- In circumstances where the staffing plan is not complied with, does the facility document and justify all deviations from the plan? (N/A if no deviations from staffing plan.) Yes No NA

115.13 (c)

- In the past 12 months, has the facility, in consultation with the agency PREA Coordinator, assessed, determined, and documented whether adjustments are needed to: The staffing plan established pursuant to paragraph (a) of this section? Yes No
- In the past 12 months, has the facility, in consultation with the agency PREA Coordinator, assessed, determined, and documented whether adjustments are needed to: The facility’s deployment of video monitoring systems and other monitoring technologies? Yes No

- In the past 12 months, has the facility, in consultation with the agency PREA Coordinator, assessed, determined, and documented whether adjustments are needed to: The resources the facility has available to commit to ensure adherence to the staffing plan? Yes No

115.13 (d)

- Has the facility/agency implemented a policy and practice of having intermediate-level or higher-level supervisors conduct and document unannounced rounds to identify and deter staff sexual abuse and sexual harassment? Yes No
- Is this policy and practice implemented for night shifts as well as day shifts? Yes No
- Does the facility/agency have a policy prohibiting staff from alerting other staff members that these supervisory rounds are occurring, unless such announcement is related to the legitimate operational functions of the facility? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews, and Observations

1. TDCJ – Post Order – Major of Correctional Officers
2. LCF Main Facility T3 Side Camera Map
3. LCF Main Facility LC Side Camera Map
4. LCF Unit 1 & 2 Camera Map
5. LCF Unit 3 Camera Map
6. LCF Unit 4 Camera Map
7. LCF Industry Building Camera Map
8. LCF Daily Security Shift Roster 1st Shift
9. LCF Staffing Plan
10. Statement of Fact: DVR Recording
11. Statement of Fact: Deviations from the Current Staffing Plan
12. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1, B1, C1, D1-4) –August 1, 2017
13. Memo: Facility Staffing Plan Review (December 2017 During the MTC Annual Operational and Capital Budget Process (A1)

14. Pre-Audit Questionnaire/Adult Prisons & Jails
15. Staffing Schedules
 - a. Shift Rosters
16. Camera Numbers & Locations
17. Unannounced Rounds
18. PREA Staffing Plan Deviation
19. Interviews:
 - a. Agency PREA Coordinator
 - b. Warden
 - c. Facility PREA Compliance Manager
 - d. Announced Rounds Conducted by Higher-Level Staff
 - e. Announced Rounds Conducted by Intermediate Level Staff
 - f. Non-Medical Staff Cross Gender Strip or Visual Searches

- A.** The agency policy requires Lockhart Correctional Facility to develop, document, and make its best efforts to comply on a regular basis with a staffing plan that provides for adequate level of staffing, and where applicable, video monitoring to protect inmates against abuse.

According to interviews with management staff and documentation, when the facility calculates adequate staffing levels and determining the need for video monitoring, they consider the following as stated in the standards:

- Generally accepted detention and correctional practices;
- Judicial findings of inadequacy;
- Findings of inadequacy from Federal investigative agencies;
- Findings of inadequacy from internal or external oversight bodies;
- All components of the facility's physical plant (including "blind-spots" or areas where staff or inmates may be isolated);
- The composition of the inmate population;
- The number and placement of supervisory staff;
- Institution programs occurring on a particular shift;
- Applicable State or local laws, regulations, or standards;
- The prevalence of substantiated and unsubstantiated incidents of sexual abuse; and
- Other relevant factors.

Since the last PREA audit the average daily number of inmates was 979, and the average daily number of inmates which the staffing plan was predicated was 1000.

- B.** According to staff interviews and documentation, each time the staffing plan is not complied with the facility documents and justifies deviations from the staffing plan. However, there were no deviations for the staffing plan. If there were deviations from the staffing plan the facility states that it would document and list the reasons for deviating.

- C. Facility management interviewed indicated at least once every year the facility, in collaboration with the Agency PREA Coordinator reviews the staffing plan to see whether adjustments are needed in:
- The staffing plan,
 - The deployment of monitoring technology,
 - The allocation of agency/facility resources to commit to ensure compliance with the staffing plan.
- D. Staff interviews and documentation indicated that the facility requires that intermediate-level or higher-level staff conduct unannounced rounds to identify and deter staff sexual abuse and sexual harassment. Facility provided documentation of unannounced rounds which the rounds cover all shifts to include night and different timeframes. The policy prohibits staff from alerting other staff when unannounced rounds are conducted.

Interview Results

- Agency PREA Coordinator interview indicated yes that he is consulted regarding any assessment of, or adjustment to, the staffing plan for the facility. This process occurs at least once per year, and more often as needed.
- Interview with the Facility PREA Compliance Manager indicated that he is not consulted regarding any assessment of or adjustments to, the staffing plan because it is dictated by the state contract.
- Interviews with a facility high-level staff that conduct and document unannounced rounds indicated that they are conducting and documenting unannounced rounds. Submitted documentation supported staff comments. Interviewed staff also indicated that policy prohibits staff from alerting other staff and they monitor the radio communication.
- Interview with the Warden indicated that the facility has staffing plan shift rosters. When assessing adequate staffing levels and the need for video monitoring they consider all of the components listed in the standard.

Standard 115.14: Youthful inmates

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.14 (a)

- Does the facility place all youthful inmates in housing units that separate them from sight, sound, and physical contact with any adult inmates through use of a shared dayroom or other

common space, shower area, or sleeping quarters? (N/A if facility does not have youthful inmates [inmates <18 years old].) Yes No NA

115.14 (b)

- In areas outside of housing units does the agency maintain sight and sound separation between youthful inmates and adult inmates? (N/A if facility does not have youthful inmates [inmates <18 years old].) Yes No NA
- In areas outside of housing units does the agency provide direct staff supervision when youthful inmates and adult inmates have sight, sound, or physical contact? (N/A if facility does not have youthful inmates [inmates <18 years old].) Yes No NA

115.14 (c)

- Does the agency make its best efforts to avoid placing youthful inmates in isolation to comply with this provision? (N/A if facility does not have youthful inmates [inmates <18 years old].) Yes No NA
- Does the agency, while complying with this provision, allow youthful inmates daily large-muscle exercise and legally required special education services, except in exigent circumstances? (N/A if facility does not have youthful inmates [inmates <18 years old].) Yes No NA
- Do youthful inmates have access to other programs and work opportunities to the extent possible? (N/A if facility does not have youthful inmates [inmates <18 years old].) Yes No NA

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. Statement of Fact: No Youthful Inmates
2. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons – August 1, 2017
3. MTC Juvenile Inmates Report (MTC System)
4. Pre-Audit Questionnaire/Adult Prisons & Jails

5. Statement of Non-Applicability (3/29/2018)
6. Interviews:
 - a. Warden
 - b. Facility PREA Compliance Manager
 - c. No Youthful Inmates
 - d. Random Staff (Officers)

A. A review of documentation and staff interviews indicated that the LCF does not house youthful inmates. However, interviewed staff indicated that if the facility received a youthful inmate, they would not place the youth in a housing unit in which the youth would have sight, sound, or physical contact with any adult inmates through use of a shared dayroom or other common space, shower area, or sleeping quarters. They would not place a youthful inmate in the same housing unit as the adult inmates.

A review of the Pre-Audit Questionnaire Adult Prisons & Jails and confirmed by staff interviews:

- In the past 12 months, the number of housing units to which youthful inmates were assigned was 0, and in the past 12 months the number of youthful inmates placed in the same housing unit as adults at this facility was 0.
- B.** Interview staff also indicated that if the facility received a youthful inmate, the facility can maintain sight, sound, and physical separation between youthful inmates and adult inmates in areas outside the housing unit; and will provided direct staff supervision to the youthful inmates.
- C.** The youthful inmates, according to staff interviews, will not be placed in isolation to comply with PREA and will not deny them daily large-muscle exercise and any legally required special education services to comply.

A review of the Pre-Audit Questionnaire Adult Prisons & Jails and confirmed by staff interviews:

- In the past 12 months, the number of youthful inmates who have been placed in isolation in order to separate them from adult inmates was 0.

Interview Results

- Interviews with the Facility Management team and, a review of facility demographics/documentation reveal that Lockhart Correctional Facility does not admit youthful inmates.
- Interviews with the Facility PREA Compliance Manager and randomly selected staff indicated youthful inmates are not housed in this facility. Interviewed randomly selected

staff stated youthful inmates are not housed at this facility and during the audit period and no youthful inmates were observed.

- The following interviews were not conducted because the facility does not house youthful inmates. However, interviewed Education, Program staff and Line staff indicated that they have not worked or supervise youthful inmates.

Standard 115.15: Limits to cross-gender viewing and searches

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.15 (a)

- Does the facility always refrain from conducting any cross-gender strip or cross-gender visual body cavity searches, except in exigent circumstances or by medical practitioners? Yes No

115.15 (b)

- Does the facility always refrain from conducting cross-gender pat-down searches of female inmates in non-exigent circumstances? (N/A here for facilities with less than 50 inmates before August 20,2017.) Yes No NA
- Does the facility always refrain from restricting female inmates' access to regularly available programming or other out-of-cell opportunities in order to comply with this provision? (N/A here for facilities with less than 50 inmates before August 20,2017.) Yes No NA

115.15 (c)

- Does the facility document all cross-gender strip searches and cross-gender visual body cavity searches? Yes No
- Does the facility document all cross-gender pat-down searches of female inmates? Yes No

115.15 (d)

- Does the facility implement a policy and practice that enables inmates to shower, perform bodily functions, and change clothing without nonmedical staff of the opposite gender viewing their breasts, buttocks, or genitalia, except in exigent circumstances or when such viewing is incidental to routine cell checks? Yes No
- Does the facility require staff of the opposite gender to announce their presence when entering an inmate housing unit? Yes No

115.15 (e)

- Does the facility always refrain from searching or physically examining transgender or intersex inmates for the sole purpose of determining the inmate's genital status? Yes No

- If an inmate's genital status is unknown, does the facility determine genital status during conversations with the inmate, by reviewing medical records, or, if necessary, by learning that information as part of a broader medical examination conducted in private by a medical practitioner? Yes No

115.15 (f)

- Does the facility/agency train security staff in how to conduct cross-gender pat down searches in a professional and respectful manner, and in the least intrusive manner possible, consistent with security needs? Yes No
- Does the facility/agency train security staff in how to conduct searches of transgender and intersex inmates in a professional and respectful manner, and in the least intrusive manner possible, consistent with security needs? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. TDCJ Post Order – Cell Block Officer
2. TDCJ Post Order – Cell Block Picket Officer
3. TDCJ CID Pre-Service Training
4. TDCJ PREA Training Employee Acknowledgements
5. TDCJ On-the-Job Training (OJT) Program Procedures Guide
6. TDCJ Texas Legislature Zero Tolerance policy
7. LCF Picture of Showers
8. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1, B1, C1-2, B2, D1, D2, C1, F1) –August 1, 2017
9. MTC Prison Rape Elimination Act Power Point
10. Attendance Roster/Sheet
11. Pre-Audit Questionnaire/Adult Prisons & Jails
12. Interviews:
 - a. Warden
 - b. Facility PREA Compliance Manager

- c. Random Staff (Officers)
- d. Random Inmates

- A.** Interviewed staff and documentation indicated that the facility does not conduct cross-gender strip or visual body cavity searches of inmates.

In the past 12 months, the number of cross-gender strip or cross-gender visual body cavity searches of inmates were 0, and the number of cross-gender strip or cross-gender visual body cavity searches of inmates that did not involve exigent circumstances or were performed by non-medical staff was 0.

- B.** Interviewed staff and documentation indicated that the facility house female inmates. Policy prohibits staff from conducting cross-gender pat-down searches of female inmates absent of exigent circumstances. Female inmates will not be restricted for regularly available programming or other out of cell opportunities in order to comply with PREA.

A review of the Pre-Audit Questionnaire Adult Prisons & Jails and confirmed by staff interviews:

- In the past 12 months, the number of pat-down searches of female inmates that were conducted by male staff was 0; and the number of pat-down searches of female inmates conducted by male staff that did not involve exigent circumstances(s) was 0.

- C.** The agency has implemented policies and procedures that enable inmates to shower, perform bodily functions, change clothing without non-medical staff of the opposite gender viewing their breasts, buttocks, or genitalia, except in exigent circumstance or when viewing is incidental to routine cell checks. Observations of restrooms and shower during the tour confirmed inmates have privacy when using the restroom, showering and changing clothing. PREA friendly shower curtains are at the doorway of the bathrooms and the shower areas to provide a little privacy even in an open bay dormitory style pod or dorm. Inmates reported they are never naked in full view of staff.

Policy and procedures require staff of the opposite gender to announce their presence when entering an inmate housing unit.

- D.** Policy was reviewed prohibiting staff from searching or physically examining a transgender or intersex inmate for the sole purpose of determining the inmate's genital status. If the facility housed transgender and intersex inmates, the agency directs staff not to search or physically examine a transgender or intersex inmate for the sole purpose of determining the inmate's genital status. If the inmate's genital status is unknown, the facility determines during conversations with the inmate, by reviewing medical records, or, if necessary, by learning that information as part of a broader medical examination conducted in private by a medical practitioner.

A review of the Pre-Audit Questionnaire Adult Prisons & Jails and confirmed by staff interviews:

- In the past 12 months the number of searches occurred was 0.
- E. Documentation review revealed that staff receives training on how to conduct cross-gender pat-down searches, and searches of transgender and intersex inmates, in a professional and respectful manner, and in the least intrusive way possible, consistent with security needs. The facility provided samples of documentation to confirm staff has received and reviewed search training consistent with policy. The PREA Compliance Manager confirmed there had been no cross-gender strip or visual body cavity searches conducted within the audited cycle.

Interview Results:

- Fourteen (14) staff, representing staff from all shifts, was interviewed. One hundred percent (100%) of staff interviewed indicated that conducting cross-gender pat searches to determine one's genital status was prohibited by policy. All but one (1) of the interviewed staff stated that they were trained on conducting cross-gender pat searches and searches of transgender and intersex inmates in a professional and respectful manner. The interviewed male staff noted they do not conduct pat down searches. Cross gender pat down search training occurs every year during annual training. Staff reported that, they have not experienced working with any transgender inmates.
- Thirty-one (31) random inmates were interviewed. Twenty-six (26) of the inmates reported that of male staff announces their presence when entering the housing unit's all the time. The remaining five (5), reported that some staff are not consistent with the announcements. All inmates interviewed reported being able to dress, shower and toilet without being naked and in full view of male staff. Several inmates reported that partitions were put up to help with not being able to be viewed by male staff.
- One hundred percent (100%) of the staff reported that inmates can dress, shower, and toilet without being viewed by staff of the opposite gender and that male presence on housing units is announced. Staff announced, "Male on floor/unit/dorm." No male inmates are housed at the facility.

Standard 115.16: Inmates with disabilities and inmates who are limited English proficient

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.16 (a)

- Does the agency take appropriate steps to ensure that inmates with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: inmates who are deaf or hard of hearing? Yes No
- Does the agency take appropriate steps to ensure that inmates with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: inmates who are blind or have low vision? Yes No
- Does the agency take appropriate steps to ensure that inmates with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: inmates who have intellectual disabilities? Yes No
- Does the agency take appropriate steps to ensure that inmates with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: inmates who have psychiatric disabilities? Yes No
- Does the agency take appropriate steps to ensure that inmates with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: inmates who have speech disabilities? Yes No
- Does the agency take appropriate steps to ensure that inmates with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: Other (if "other," please explain in overall determination notes)? Yes No
- Do such steps include, when necessary, ensuring effective communication with inmates who are deaf or hard of hearing? Yes No
- Do such steps include, when necessary, providing access to interpreters who can interpret effectively, accurately, and impartially, both receptively and expressively, using any necessary specialized vocabulary? Yes No
- Does the agency ensure that written materials are provided in formats or through methods that ensure effective communication with inmates with disabilities including inmates who: Have intellectual disabilities? Yes No
- Does the agency ensure that written materials are provided in formats or through methods that ensure effective communication with inmates with disabilities including inmates who: Have limited reading skills? Yes No
- Does the agency ensure that written materials are provided in formats or through methods that ensure effective communication with inmates with disabilities including inmates who: Are blind or have low vision? Yes No

115.16 (b)

- Does the agency take reasonable steps to ensure meaningful access to all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment to inmates who are limited English proficient? Yes No

- Do these steps include providing interpreters who can interpret effectively, accurately, and impartially, both receptively and expressively, using any necessary specialized vocabulary? Yes No

115.16 (c)

- Does the agency always refrain from relying on inmate interpreters, inmate readers, or other types of inmate assistance except in limited circumstances where an extended delay in obtaining an effective interpreter could compromise the inmate's safety, the performance of first-response duties under §115.64, or the investigation of the inmate's allegations? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. TDCJ Texas Legislature Zero Tolerance policy
2. TDCJ Certificate of Participation in the Interpreter Tester Training
3. LCF List of Certified Spanish Interpreters at the Lockhart Facility (8)
4. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1, A2, C1) –August 1, 2017
5. Pre-Audit Questionnaire/Adult Prisons & Jails
6. Inmate Handbook English
7. Inmate Handbook Spanish
8. Language Line Services, Inc. Agreement with MTC
9. Interviews:
 - a. Agency Head
 - b. Warden
 - c. Facility PREA Compliance Manager
 - d. Random Staff (Officers)
 - e. Disabled Inmate (None)
 - f. Limited English Inmate (None)

- A.** The agency has policies and procedures to provide disabled inmates equal opportunity to participate in or benefit from all aspects of the facility's efforts to prevent, detect, and respond to sexual abuse and sexual harassment. The facility has taken appropriate steps to ensure that inmates with disabilities (including, for example, inmates who are deaf or hard of hearing, those who are blind or have low vision, or those who have intellectual, psychiatric, or speech disabilities), have an equal opportunity to participate in or benefit from all aspects of the facility's efforts to prevent, detect, and respond to sexual abuse and sexual harassment. Also, the facility ensures that written materials are provided in formats or through methods that ensure effective communication with inmates with disabilities, including inmates who have intellectual disabilities, limited reading skills, or who are blind or have low vision. The facility will use Education Staff to assist with PREA education with inmate's disabilities.

MTC requires that any inmate who appears to have a condition that would limit the inmate's access to and participation in, any program or service offered by the facility, shall be handled as follows:

1. Inmates who are deaf, blind, or have other physical disabilities that significantly limit access to programs and services in the facility, may be transferred to an appropriate facility within 72 hours of admittance for assessment and classification consistent with safety and security.
 2. During assessment and classification, the inmate shall be provided with CN 101901, Americans with Disabilities Act – Notice of Rights and CN 101902, Request for Reasonable Accommodations by health services staff or a qualified sign language interpreter for the deaf or hard of hearing inmates who know sign language.
- B.** The facility has taken reasonable steps to ensure meaningful access to all aspects of the facility's efforts to prevent, detect, and respond to sexual abuse and sexual harassment to inmates who are limited English proficient, including steps to provide interpreters who can interpret effectively, accurately, and impartially, both receptively and expressively, using any necessary specialized vocabulary. Staff interviews and documentation indicated that onsite interpreters are provided for Spanish speaking inmates. Outside interpreting services are available to the inmate population as dictated by policy.
- C.** The facility does not rely on inmate interpreters, inmate readers, or other types of inmate assistants except in limited circumstances where an extended delay in obtaining an effective interpreter could compromise the inmate's safety, the performance of first-response duties or the investigation of the inmate's allegations. Interviewed staff indicated that they will document the limited circumstances in individual cases where inmate interpreters, readers, or other types of inmate assistants are used.

A review of the Pre-Audit Questionnaire Adult Prisons & Jails and confirmed by staff interviews:

- In the past 12 months, the number of instances where inmate interpreters, readers, or other types of inmate assistants have been used and it was not the case that an extended delay in obtaining another interpreter could compromise the inmate's safety, the performance of first-response duties or the investigation of the inmate's allegations was 0.

Interview Results:

- The Agency Head indicated yes to establishing procedures to inmate with disabilities and inmates who are limited English proficient equal opportunity to participate in all activities.

The Agency Head indicated that the MTC takes appropriate steps to prevent, detect, and respond to sexual abuse and sexual harassment by:

- Contracting with interpreters (i.e. Language Line Services Inc.) or other professionals (including designated facility staff) hired to ensure effective communication with inmates who are limited English proficient.
- Developing written materials used for effective communication about PREA with inmates with disabilities or limited reading skills.
- Training staff on PREA compliant practices for inmates with disabilities.

For PREA related activities, MTC prohibits the use of inmate's interpreters, inmate readers, or other types of inmate assistants except in limited circumstances where an extended delay in obtaining an effective interpreter could compromise the inmates' safety.

- Four (4) of the interviewed staff reported that inmate interpreters were allowed. Two (2) staff were unaware, if the use of inmate interpreters was allowed. After further probing, several staff provided examples of the use of inmate interpreters; however, it should be noted that all staff were able report that the facility has six (6) staff interpreters between 1st and 2nd shift.
- Three (3) targeted gay, lesbian, and bisexual inmates reported feeling safe at the facility. Two (2) of the five targeted inmates limited English proficient inmates. All inmates reported that the disability did not hinder the inmate(s) from receiving information consistent with the random sample of inmates interviewed.

Standard 115.17: Hiring and promotion decisions

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.17 (a)

- Does the agency prohibit the hiring or promotion of anyone who may have contact with inmates who has engaged in sexual abuse in a prison, jail, lockup, community confinement facility, juvenile facility, or other institution (as defined in 42 U.S.C. 1997)? Yes No

- Does the agency prohibit the hiring or promotion of anyone who may have contact with inmates who has been convicted of engaging or attempting to engage in sexual activity in the community facilitated by force, overt or implied threats of force, or coercion, or if the victim did not consent or was unable to consent or refuse? Yes No
- Does the agency prohibit the hiring or promotion of anyone who may have contact with inmates who has been civilly or administratively adjudicated to have engaged in the activity described in the question immediately above? Yes No
- Does the agency prohibit the enlistment of services of any contractor who may have contact with inmates who has engaged in sexual abuse in a prison, jail, lockup, community confinement facility, juvenile facility, or other institution (as defined in 42 U.S.C. 1997)? Yes No
- Does the agency prohibit the enlistment of services of any contractor who may have contact with inmates who has been convicted of engaging or attempting to engage in sexual activity in the community facilitated by force, overt or implied threats of force, or coercion, or if the victim did not consent or was unable to consent or refuse? Yes No
- Does the agency prohibit the enlistment of services of any contractor who may have contact with inmates who has been civilly or administratively adjudicated to have engaged in the activity described in the question immediately above? Yes No

115.17 (b)

- Does the agency consider any incidents of sexual harassment in determining whether to hire or promote anyone, or to enlist the services of any contractor, who may have contact with inmates? Yes No

115.17 (c)

- Before hiring new employees, who may have contact with inmates, does the agency: perform a criminal background records check? Yes No
- Before hiring new employees, who may have contact with inmates, does the agency: consistent with Federal, State, and local law, make its best efforts to contact all prior institutional employers for information on substantiated allegations of sexual abuse or any resignation during a pending investigation of an allegation of sexual abuse? Yes No

115.17 (d)

- Does the agency perform a criminal background records check before enlisting the services of any contractor who may have contact with inmates? Yes No

115.17 (e)

- Does the agency either conduct criminal background records checks at least every five years of current employees and contractors who may have contact with inmates or have in place a system for otherwise capturing such information for current employees? Yes No

115.17 (f)

- Does the agency ask all applicants and employees who may have contact with inmates directly about previous misconduct described in paragraph (a) of this section in written applications or interviews for hiring or promotions? Yes No
- Does the agency ask all applicants and employees who may have contact with inmates directly about previous misconduct described in paragraph (a) of this section in any interviews or written self-evaluations conducted as part of reviews of current employees? Yes No
- Does the agency impose upon employees a continuing affirmative duty to disclose any such misconduct? Yes No

115.17 (g)

- Does the agency consider material omissions regarding such misconduct, or the provision of materially false information, grounds for termination? Yes No

115.17 (h)

- Does the agency provide information on substantiated allegations of sexual abuse or sexual harassment involving a former employee upon receiving a request from an institutional employer for whom such employee has applied to work? (N/A if providing information on substantiated allegations of sexual abuse or sexual harassment involving a former employee is prohibited by law.) Yes No NA

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. LCF Interview Questions for Correctional Officer (With the required 3 questions from the standard)
2. LCF Interview Questions for Sergeant (with the required 3 questions from the standards)
3. LCF PREA Questionnaire - Corrections

4. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1, C1, D, E) –August 1, 2017
5. Pre-Audit Questionnaire/Adult Prisons & Jails
6. MTC Policy 201.9 Employment Records (MTC Internal Site)
 - a. MTC Policy 201.3 Background Checks (C, F, E, H, A2.
 - i. Past Employment Verification and Reference Checks
 - ii. Driving Records
 - iii. Education Verification
 - iv. Licenses/Certifications
 - v. Criminal Records
 - vi. Civil Records
 - vii. Consumer Reports (Information obtained from a third party whose business is collection of such data)
 - viii. Fingerprinted
7. MTC Policy 203.11 Fraternalization
8. MTC Policy 203.1 Rules of Conduct (April 1, 2016)
9. MTC Employee Handbook (page 17)
10. MTC Interview Questions
 - a. Three questions from the PREA Standards
11. MTC Applicant – Interview Evaluation
12. MTC Request for NICIC
13. MTC Reference Verification Report - Correction
14. Interviews:
 - a. Warden
 - b. Facility PREA Compliance Manager
 - c. Human Resources Manager

A. MTC requires the facility not to hire or promote anyone who may have contact with inmates, and does not enlist the services of any contractor who may have contact with inmates as listed in this standard to include the following provisions as stated in the PREA standards:

1. Has engaged in sexual abuse in a prison, jail, lockup, community confinement facility, juvenile facility, or other institution; to include persons who are mentally ill or disabled or retarded or chronically ill or handicapped, or institution providing skilled nursing or intermediate or long-term care or custodial or immaterial care.
2. Has been convicted of engaging or attempting to engage in sexual activity in the community facilitated by force, overt or implied threats of force, or coercion, or if the victim did not consent or was unable to consent or refuse; or
3. Has been civilly or administratively adjudicated to have engaged in the activity described in subsection 2.

B. Policy requires that before hiring new employees who may have contact with inmates, the agency performs a criminal background check; and consistent with Federal, State and local law,

make its best efforts to contact all prior institutional employers for information on substantiated allegations of inmates or detainee sexual abuse or harassment or any resignation pending an investigation of such allegations.

The facility uses the ODRC Background Investigation Checks that included the following:

- a. Driver License/State ID
- b. MRDD Abuse Registry
- c. DOTS Portal – Inmate Visiting List
- d. Fingerprints
- e. High School/GED
- f. Personal References

MTC also has a background Investigation Checks system that includes the following:

- a. MTC Policy 201.3 Background Checks
 - i. Past Employment Verification and Reference Checks
 - ii. Driving Records
 - iii. Education Verification
 - iv. Licenses/Certifications
 - v. Criminal Records
 - vi. Civil Records
 - vii. Consumer Reports (Information obtained from a third party whose business is collection of such data)
 - viii. Fingerprinted

In the past 12 months, the number of persons hired who may have contact with inmates who have had criminal background record checks was 118.

- C.** Policies and staff interviewed stated that the facility requires that a criminal background record check be completed before enlisting the services of any contractor who may have contact with inmates

A review of the Pre-Audit Questionnaire Adult Prisons & Jails and confirmed by staff interviews:

- In the past 12 months, the number of contracts for service where criminal background record checks were conducted on all staff covered in the contract that might have contact with inmates was 0.

- D.** MTC requires LCF to conduct criminal background records checks every five years on current employees and contractors who have contact with inmates according to staff interviews.

- E. The facility staff asked applicants and employees who may have contact with inmates directly about previous misconduct; they use a form to document. The facility also imposes upon employees a continuing affirmative duty to disclose any misconduct related to PREA.
- F. MTC policy prohibits staff from material omissions and the provision of materially false information. This may result in grounds for termination. MTC has an Offender Data System (ODS) that tracks and generates automated emails.

MTC Offender Data System (ODS) Generated Automated Email: Email C – from ODS notifying the facility HR Manager that a determination has been made on a PREA investigation and the specific action which is required.

- a. Follow standards and policy related to disciplinary sanctions for staff as detailed below (115.76).
 - b. Follow standards and policy related to hiring and promotion decisions as detailed below (115.17).
 - c. Inform the inmate and document the notification, consistent with standards 115.73, unless the allegation, following an investigation, was unfounded. (This can be performed by the PREA Manager depending on facility direction).
- G. Interviewed HR staff confirmed that the facility will provide information on employment, such as hired and released dates and other basic information; however, they are prohibited for giving detailed information on employee substantiated allegations of sexual abuse or sexual harassment involving a former employee upon receiving a request from an institutional employer who may request this information.

Standard 115.18: Upgrades to facilities and technologies

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.18 (a)

- If the agency designed or acquired any new facility or planned any substantial expansion or modification of existing facilities, did the agency consider the effect of the design, acquisition, expansion, or modification upon the agency’s ability to protect inmates from sexual abuse? (N/A if agency/facility has not acquired a new facility or made a substantial expansion to existing facilities since August 20, 2012, or since the last PREA audit, whichever is later.)
- Yes No NA

115.18 (b)

- If the agency installed or updated a video monitoring system, electronic surveillance system, or other monitoring technology, did the agency consider how such technology may enhance

the agency's ability to protect inmates from sexual abuse? (N/A if agency/facility has not installed or updated a video monitoring system, electronic surveillance system, or other monitoring technology since August 20, 2012, or since the last PREA audit, whichever is later.)

Yes No NA

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons – August 1, 2017
 2. Pre-Audit Questionnaire/Adult Prisons & Jails
 3. Camera Numbers & Locations
 4. Interviews:
 - a. Agency Head
 - b. Warden
 - c. Facility PREA Compliance Manager
- A.** Policy requires that when designing or acquiring any new facility and in planning a substantial expansion or modification of existing facilities, the agency considers the effect of the design, acquisition, expansion, or modification upon the agency's ability to protect inmates from sexual abuse. Interviews with the PREA Compliance Manager and Warden indicated that there was no major expansion during the past three years. If there was a major expansion, the Warden and the Facility PREA Compliance Manager would be involved in any planning.
- B.** The facility Management Team indicated when installing or updating a video monitoring system, electronic surveillance system, or other monitoring technology, the plan will consider how the technology may enhance the facility's ability to protect inmates from sexual abuse.

Interview Results:

- According to the Agency head, when designing, acquiring, or planning substantial modifications to facilities, the Senior Vice President stated that stakeholders, including the

MTC PREA Coordinator and Assistant Coordinator, review the facility plans to determine appropriate staffing and camera coverage during the design or renovation phase of the facility. This process anticipates blind spots and mitigates risk through efficient design.

- According to the Agency Head indicated that MTC uses video monitoring to assist staff to observe inmate activity in areas particularly vulnerable to misbehavior or violence. Priority of camera placement is primarily influenced by areas of increased risk and any prevalence of substantiated and unsubstantiated incident of sexual abuse.

- Interviews with the Warden indicated that a Video Monitoring System was installed at the Lockhart Correctional Facility, along with the existing video surveillance system; both operational and recording to the DVR systems.

RESPONSIVE PLANNING

Standard 115.21: Evidence protocol and forensic medical examinations

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.21 (a)

- If the agency is responsible for investigating allegations of sexual abuse, does the agency follow a uniform evidence protocol that maximizes the potential for obtaining usable physical evidence for administrative proceedings and criminal prosecutions? (N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations.) Yes No NA

115.21 (b)

- Is this protocol developmentally appropriate for youth where applicable? (N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations.) Yes No NA

- Is this protocol, as appropriate, adapted from or otherwise based on the most recent edition of the U.S. Department of Justice's Office on Violence Against Women publication, "A National Protocol for Sexual Assault Medical Forensic Examinations, Adults/Adolescents," or similarly comprehensive and authoritative protocols developed after 2011? (N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations.) Yes No NA

115.21 (c)

- Does the agency offer all victims of sexual abuse access to forensic medical examinations, whether on-site or at an outside facility, without financial cost, where evidentiarily or medically appropriate? Yes No
- Are such examinations performed by Sexual Assault Forensic Examiners (SAFEs) or Sexual Assault Nurse Examiners (SANEs) where possible? Yes No
- If SAFEs or SANEs cannot be made available, is the examination performed by other qualified medical practitioners (they must have been specifically trained to conduct sexual assault forensic exams)? Yes No
- Has the agency documented its efforts to provide SAFEs or SANEs? Yes No

115.21 (d)

- Does the agency attempt to make available to the victim a victim advocate from a rape crisis center? Yes No
- If a rape crisis center is not available to provide victim advocate services, does the agency make available to provide these services a qualified staff member from a community-based organization, or a qualified agency staff member? Yes No
- Has the agency documented its efforts to secure services from rape crisis centers? Yes No

115.21 (e)

- As requested by the victim, does the victim advocate, qualified agency staff member, or qualified community-based organization staff member accompany and support the victim through the forensic medical examination process and investigatory interviews? Yes No
- As requested by the victim, does this person provide emotional support, crisis intervention, information, and referrals? Yes No

115.21 (f)

- If the agency itself is not responsible for investigating allegations of sexual abuse, has the agency requested that the investigating entity follow the requirements of paragraphs (a) through (e) of this section? (N/A if the agency/facility is responsible for conducting criminal AND administrative sexual abuse investigations.) Yes No NA

115.21 (g)

- Auditor is not required to audit this provision.

115.21 (h)

- If the agency uses a qualified agency staff member or a qualified community-based staff member for the purposes of this section, has the individual been screened for appropriateness to serve in this role and received education concerning sexual assault and forensic examination issues in general? [N/A if agency attempts to make a victim advocate from a rape crisis center available to victims per 115.21(d) above.] Yes No NA

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. TDCJ – Reporting Incidents/Crimes to the Office of the Inspector General
2. TDCJ – Forensic Evidence Collection
3. TDCJ – Sexual Abuse Response and Investigation
4. TDCJ – Offender Victim Representative Training (Chief of Classification)
5. HCWC Sexual Assault and Abuse Services
6. TDCJ Statement of Fact: Memoranda of Understanding with Hays-Caldwell Woman's Center
7. LCF Agreement: Hays-Caldwell Women's Center Working Agreement with LCF
8. LCF – Statement of Fact: Facility does not have SANE Nurse
9. LCF – Central Texas Medical Center Agreement
10. LCF – Hays Caldwell Women's Center Working Agreement
11. LCF – Statement of Fact: No Request of Victim Advocate
12. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A3, C1 -5, D1,3; E1, F1) –August 1, 2017
13. Pre-Audit Questionnaire/Adult Prisons & Jails
14. MTC Offender Data System (ODS)
 - a. Investigations
 - b. Note: The questions correspond with the Survey of Sexual Victimization conducted by the BJA/ Department of Justice.
15. MTC PREA Annual Report
 - a. MTC Report of 2017 PREA Allegations and Investigation Results
 - b. MTC Report of 2016 PREA Allegations and Investigation Results
 - c. MTC Report of 2015 PREA Allegations and Investigation Results
 - d. MTC Report of 2014 PREA Allegations and Investigation Results
16. Interviews:
 - a. Facility PREA Compliance Manager
 - b. Medical Staff
 - c. Mental Health Staff
 - d. Facility Investigator

- e. Random Staff (Officers)
- f. Inmate Who Reported Sexual Abuse

- A.** Policy requires the agency/facility to initiate and/or conduct administrative and criminal sexual abuse investigations to include inmate-on-inmate sexual abuse or staff sexual misconduct. The facility has designated a Facility Investigator. The PREA Investigation Unit and the OIG can investigate administrative and criminal sexual abuse based on the nature of the case. Interview with the Facility investigator indicated that policy requires and give them guidelines to follow a uniform evidence protocol.
- B.** The facility utilizes the internal and external offices to conduct investigations regarding all felony related crimes to include alleged sexual violence that occurred at the facility. Both the facility and the external office follow a uniform evidence protocol that maximizes the potential for obtaining usable physical evidence for administrative proceedings and criminal prosecutions.

The protocol is appropriate, and is adapted from or otherwise based on the most recent edition of the U.S. Department of Justice’s Office on Violence Against Women publication, “A National Protocol for Sexual Assault Medical Forensic Examinations, Adults/Adolescents,” or similarly comprehensive and authoritative protocols developed after 2011. The facility does not house Youth/Adolescents.

- C.** The facility offers all victims of sexual abuse access to forensic medical examinations at an outside facility, the local hospital, without financial cost. The local hospital provides a Sexual Assault Forensic Examiners (SAFEs) or Sexual Assault Nurse Examiners (SANEs). If one is not available, the examination is performed by a qualified medical staff. The facility provides emails for efforts to provide SANE or SAFE staff.

A review of the Pre-Audit Questionnaire Adult Prisons & Jails and confirmed by staff interviews:

- The number of forensic medical exams conducted during the past 12 months was 0.
- The number of exams performed by SANEs or SAFEs during the past 12 months was 0.
- The number of exams performed by a qualified medical practitioner during the past 12 months was 0.

The facility makes available to the victim a victim advocate. If not available to provide victim advocate services, the facility makes available (to provide services) a qualified staff member from a community-based organization or a qualified facility staff member. The facility provided documentation that showed efforts to secure services from the Victim Assistance Program – with the Hays County.

The victim advocate is a qualified facility staff member, or qualified community-based organization staff that accompanies and supports the victim through the forensic medical examination process and investigatory interviews and provides emotional support, crisis intervention, information, and referrals as needed.

- D. When a PREA allegation is investigated by an outside agency, the facility requests that the investigator follow the PREA requirements. The preponderance of evidence is defined as proof by evidence that, compared with evidence opposing it, leads to the conclusions that the fact at issue is more probably true than not. Policy also states that as a result of the preponderance of the evidence, the investigator may determine whether the allegation is substantiated.

- E. The facility defines a qualified facility staff member or a qualified community-based staff member as an individual who has been screened for appropriateness to serve in this role and has received education concerning sexual assault and forensic examination.

Outreach to National and local Advocacy Organizations:

PREA requires the auditor to conduct outreach to relevant national and local advocacy organizations. To communicate with community-based or victim advocates who may have insight into relevant conditions in the facility. The following national advocacy, State, and/or community advocacy organization were contacted.

Advocacy Organization	Information Request	Response
Hays-Caldwell Women’s Center	June 18, 2019	June 20,2019 @4:49PM
Justice Detention International (JDI)	June 1, 2019	July 3, 2019 – No Response
National Sexual Violence Resource Center (NSVRC)	June 1, 2019 7:54am	June 3, 2019 12:46pm: NSVRC recommend to contact local center.

The auditor and associate ask the local and/or national advocacy organizations the following questions:

1. How many SAFE or SANE referrals made in the last 12 months?
2. Can the inmate remain anonymous, upon request, when making a report?
3. Who do you notify at the facility regarding the report?
4. How many reports have the organization received in the past 12 months for advocacy services?
5. How many inmates reported sexual abuse and/or sexual harassment?

Interview Results:

- One hundred percent (100%) of the interviewed security staff was knowledgeable of at least two staff member(s) responsible for internal investigations. Most of the staff could

clearly articulate the intelligence and investigations Investigators (I & I), PREA compliance manager, and/or shift commander.

- All staff interviewed were able to describe the process and steps required to protect physical evidence; which included securing the area, putting on gloves, protecting the physical evidence, placing physical evidence in a brown bag, place any evidence in the evidence box; requesting the victim to not shower or brush teeth, and immediately seeking medical attention. Note: All staff are reported being provided a card during training “PREA FIRST Responder Duties” that outlined the steps that should be taken by staff as a first responder. One hundred percent (100%) of the interviewed staff could articulate immediate notification to the supervisor, as the first process to protect any usable evidence.
- One (1) inmate at Lockhart Correctional Facility reported a Staff-on- Offender Sexual harassment at the facility. The inmate reported that her “friend” reported the incident and the PREA investigator contacted her the next day. She reported that the incident was investigated; however, she also reported that the staff quit. In reference to the allegation of Staff-on-Offender Sexual Harassment, the Lockhart Correctional Facility completed an Administrative investigation with the outcome of Unsubstantiated due to a lack of evidence. However; the Office of Inspector General (OIG) initiated an internal investigation on the officer. To date, their investigation is still open.
- Documentation submitted by the facility and confirmed by the Facility PREA Compliance Manager, that the facility has contacted the Victim Assistance Program.
- Interview with the PREA Compliance Manager and documentation indicated that there have been no requests or a need for a victim representative to be used at the Lockhart Correctional Facility as of June 16, 2019.
- Interview and documentation indicated that there are no SAFE or SANE available in the community; therefore, the Lockhart Correctional Facility sends all sexual abuse victims to the local hospital for an examination by a licensed physician immediately if needed.
- Interviewed staff, including the Facility Investigator, was familiar with the evidence protocol and roles they would play as first responders. Medical staff related their role in the sexual assault would be to provide any first aid that might be needed because of ensuring immediate medical attention. The staff stated they would “make sure the inmate victim was stable, and preserve the evidence.”
- Interview with the Investigator indicated when outside agencies are responsible for investigating allegations of sexual abuse, the facility requests that the investigating agency follows the requirements of PREA. This includes the standard provision (g) 1 and 2. The

policy requires the Warden to request that outside investigative authorities conduct the investigation per PREA investigation standards.

- For victims of sexual assault, interviewed staff indicated that the facility would offer all victims access to forensic medical examinations without financial cost. Staff indicated that SANE/SAFE are provided by the local hospital.

Standard 115.22: Policies to ensure referrals of allegations for investigations

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.22 (a)

- Does the agency ensure an administrative or criminal investigation is completed for all allegations of sexual abuse? Yes No
- Does the agency ensure an administrative or criminal investigation is completed for all allegations of sexual harassment? Yes No

115.22 (b)

- Does the agency have a policy and practice in place to ensure that allegations of sexual abuse or sexual harassment are referred for investigation to an agency with the legal authority to conduct criminal investigations, unless the allegation does not involve potentially criminal behavior? Yes No
- Has the agency published such policy on its website or, if it does not have one, made the policy available through other means? Yes No
- Does the agency document all such referrals? Yes No

115.22 (c)

- If a separate entity is responsible for conducting criminal investigations, does such publication describe the responsibilities of both the agency and the investigating entity? [N/A if the agency/facility is responsible for criminal investigations. See 115.21(a).] Yes No NA

115.22 (d)

- Auditor is not required to audit this provision.

115.22 (e)

- Auditor is not required to audit this provision.

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)

- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. TDCJ – Texas Board of Criminal Justice – Ombudsman
2. TDCJ – Reporting Incidents/Crimes to the Office of Inspector General
3. TDCJ – Staff on Offender Investigative Worksheet
 - i. Incident Information
 - ii. Alleged Staff Assailant Information
 - iii. Witness Information
 - iv. Initial Response Following an Allegation of Sexual Abuse
4. MTC PREA Allegations & Investigations Results
5. Administrative Review Checklist
 - a. Administrative Incident Review Report
 - b. Copy of EAC telex email message
 - c. Staff Witness Statements Complete with Signatures
 - d. Offender Witness Statements Complete with Signatures and TDC #s
 - e. Photographs of incident or injuries
 - f. Offender Protection Investigation (OPI) Report (SPP-116)
 - g. Disciplinary case (s) completed (I-210) attached if available
 - h. Copy of Offender (s) Travel Card
 - i. Injury Report (RM-31)
 - j. Supervisor's Investigation of Injury (RM-32)
6. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A3, C1 -5, D1,3; E1, F1) –August 1, 2017
7. Pre-Audit Questionnaire/Adult Prisons & Jails
8. MTC Offender Data System (ODS)
 - a. Investigations
 - b. Note: The questions correspond with the Survey of Sexual Victimization conducted by the BJA/ Department of Justice.
9. Interviews:
 - a. Agency Head
 - b. Warden
 - c. Facility PREA Compliance Manager
 - d. Facility Investigator

- A.** According to interviews with the Warden, Facility PREA Compliance Manager, and the Facility Investigator, the facility ensures that an administrative or criminal investigation is completed

for all allegations of sexual abuse and sexual harassment reported on inmate-on-inmate or staff-on-inmate misconduct.

The initial investigation begins immediately by the facility. The facility uses a uniform evidence protocol that maximizes the potential for obtaining usable physical evidence for administrative proceedings and criminal prosecutions. MTC requires to be notified immediately and assumes control of the investigation when appropriate.

Investigations are documented in a written report that contains a thorough description of physical, testimonial, and documentary evidence (with attached copies of all documentary evidence).

An additional interview with Facility Investigator confirmed the process for receiving an allegation and for conducting the investigation if an allegation of sexual abuse was reported. Interviewed staff stated they had been trained to report everything for investigations, including reporting, knowledge, allegations, and suspicion of sexual abuse or sexual harassment. Staff affirmed they are trained to accept reports from all sources, including third parties and anonymous reports.

- B. The LCF has instead of a policy to ensure that allegations of sexual abuse or sexual harassment are referred for investigation to an agency with the legal authority to conduct criminal investigations. Per policy substantiated allegations of conduct that appears to be criminal are referred for prosecution. Investigations staff imposes no standard higher than a preponderance of the evidence in determining whether allegations of sexual abuse or sexual harassment are substantiated.
- C. If a separate entity is responsible for conducting criminal investigations; the publication describes the responsibilities of both the agency and the investigating entity. MTC publishes the policy on its website.

Interview Results:

- According to the Agency Head, it was indicated that MTC investigates where the facility has jurisdictional authority and refers cases when they don't have jurisdictional authority. Where the facility doesn't have jurisdictional authority, MTC works with and encourages administrative or criminal investigations be completed for all allegations of sexual abuse or harassment.
- According to the Agency Head, it was indicated that the initial investigations will begin immediately by correctional staff identified and trained as primary investigators, to ensure preservation of physical and/or circumstantial evidence. In accordance with contract requirements, the investigative authority, such as respective Offices of Inspector General

(OIG), Criminal Investigations Divisions (CID), Office of Internal Affairs (OIA), local law enforcement, and/or FBI will be notified immediately and will assume control of the investigation when appropriate.

- As previously stated, one hundred percent 100% of the staff are aware that referrals are investigated and who is responsible for conducting the internal and external investigations. Staff identified the intelligence and investigations Investigators (I & I), PREA compliance manager, and/or shift commander.

TRAINING AND EDUCATION

Standard 115.31: Employee training

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.31 (a)

- Does the agency train all employees who may have contact with inmates on its zero-tolerance policy for sexual abuse and sexual harassment? Yes No
- Does the agency train all employees who may have contact with inmates on how to fulfill their responsibilities under agency sexual abuse and sexual harassment prevention, detection, reporting, and response policies and procedures? Yes No
- Does the agency train all employees who may have contact with inmates on inmates' right to be free from sexual abuse and sexual harassment Yes No
- Does the agency train all employees who may have contact with inmates on the right of inmates and employees to be free from retaliation for reporting sexual abuse and sexual harassment? Yes No
- Does the agency train all employees who may have contact with inmates on the dynamics of sexual abuse and sexual harassment in confinement? Yes No
- Does the agency train all employees who may have contact with inmates on the common reactions of sexual abuse and sexual harassment victims? Yes No
- Does the agency train all employees who may have contact with inmates on how to detect and respond to signs of threatened and actual sexual abuse? Yes No

- Does the agency train all employees who may have contact with inmates on how to avoid inappropriate relationships with inmates? Yes No
- Does the agency train all employees who may have contact with inmates on how to communicate effectively and professionally with inmates, including lesbian, gay, bisexual, transgender, intersex, or gender nonconforming inmates? Yes No
- Does the agency train all employees who may have contact with inmates on how to comply with relevant laws related to mandatory reporting of sexual abuse to outside authorities? Yes No

115.31 (b)

- Is such training tailored to the gender of the inmates at the employee's facility? Yes No
- Have employees received additional training if reassigned from a facility that houses only male inmates to a facility that houses only female inmates, or vice versa? Yes No

115.31 (c)

- Have all current employees who may have contact with inmates received such training? Yes No
- Does the agency provide each employee with refresher training every two years to ensure that all employees know the agency's current sexual abuse and sexual harassment policies and procedures? Yes No
- In years in which an employee does not receive refresher training, does the agency provide refresher information on current sexual abuse and sexual harassment policies? Yes No

115.31 (d)

- Does the agency document, through employee signature or electronic verification, that employee understand the training they have received? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. TDCJ Correctional Training and Staff Development FY 2019
2. TDCJ Employee Acknowledgement Forms
3. Safe Prisons/PREA Program – FY 19 Non-Supervisor In-Service Training
4. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1, B1, B2, D1)–August 1, 2017
5. MTC Policy 901D.02 (A1, D1) Training Requirements – (October 1, 2017)
6. Pre-Audit Questionnaire/Adult Prisons & Jails
7. Interviews:
 - a. Warden
 - b. Facility PREA Compliance Manager
 - c. Random Staff (Officers)

- A.** The facility has trained staff that has contact with inmates on the requirements stated in this standard. According to staff interviews, sexual abuse and sexual harassment training is provided in pre-service orientation training, in-service and other additional training and includes all requirements. The facility provided copies of the training sessions and rosters.
- B.** Training is tailored to the gender of the inmates at the employee's facility. Review of documentation revealed that staff receives additional training if the staff is reassigned from a facility that houses only male inmates to a facility that houses only female inmates, or vice versa. The staff will receive this training through additional pre-service training. This facility housed only female inmates.

A review of the Pre-Audit Questionnaire Adult Prisons & Jails and confirmed by staff interviews:

- The number of staffs employed by the facility, which may have contact with inmates, who were trained or retrained on the PREA requirements, was 154.
- C.** Current employees have received training, and the facility has provided each employee with refresher training annually to ensure that all employees know the facility's current sexual abuse and sexual harassment policies and procedures. The directive requires additional training for investigators, health practitioners, and mental health staff to receive additional training specific to their areas of responsibility.
- D.** The facility documents, through employee signature and electronic verification, staff understanding of the training they have received. The LCF documents staff training using the

Training Acknowledgement Form and a training roster, which requires the staff and instructor signature, date and job title.

Interview Results:

- Fourteen (14) security staff representing the facilities day and night shift, that could articulate most of the topics covered in the PREA training. One hundred percent (100%) of the security staff reported being knowledgeable of the topics they had been trained in. The staff could describe the training on zero tolerance, resident and staff rights, dynamics of sexual abuse and sexual harassment, prevention and response protocol as well supportive services available to inmates. The staff was able to describe specific details on what they learned on communicating effectively with LGBTI residents and identifying signs of victimization. Staff reported that they received PREA related training when initially hired and annual in-service.
- Interview with MTC Assistant Agency PREA Coordinator; the following was stated. During the weeks of August 27-31, and September 4-7, 2018, MTC provided a wide variety of training to staff at its facilities through the Zoom video platform, including the session described below. This platform is intended to be used to deliver more frequent and topical training to a wider audience. MTC anticipate delivering training on fresh topics semi-annually. This training is not intended to be substitute for facility delivered pre-service or in-services training as required by MTC or customer agencies.
 - a. Trauma and Victim Responses (1 hour), by Viki Sharp and Mike Atchison
 - i. Understand the short- and long-term impact of trauma on victims.
 - ii. Identify how trauma can affect a victim's cooperation in an investigation.
 - iii. Learn how an investigator can facilitate a victim's willingness to cooperate with an investigation.
 - b. Adult Interviewing Techniques (2 hours, 15 minutes), by Mike Atchison
 - i. The objective for this module is to go over the best practice techniques for interviewing and interrogating people during investigations of sexual abuse in confinement settings. The majority of this presentation, which was developed by the PRC and The Moss Group, Inc., remains intact. However, there have been modification and enhancements to the original. The curriculum is designed specifically for an audience of correctional investigators, but it is beneficial to those who oversee investigations, first responders and

other. The presentation is only 1 of the 9 modules packaged relating to investigating sexual abuse in prisons.

Standard 115.32: Volunteer and contractor training

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.32 (a)

- Has the agency ensured that all volunteers and contractors who have contact with inmates have been trained on their responsibilities under the agency's sexual abuse and sexual harassment prevention, detection, and response policies and procedures? Yes No

115.32 (b)

- Have all volunteers and contractors who have contact with inmates been notified of the agency's zero-tolerance policy regarding sexual abuse and sexual harassment and informed how to report such incidents (the level and type of training provided to volunteers and contractors shall be based on the services they provide and level of contact they have with inmates)? Yes No

115.32 (c)

- Does the agency maintain documentation confirming that volunteers and contractors understand the training they have received? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews, and Observations

1. TDCJ Acknowledgement of Volunteer Training/Orientation
2. TDCJ Volunteer Services Handbook
3. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1, B1-2, C1)–August 1, 2017

4. Pre-Audit Questionnaire/Adult Prisons & Jails
5. MTC Policy 901D.02 Training Requirements (A1, B1-2, C1)
6. Interviews:
 - a. Volunteer
 - b. Contractor

- A. The LCF trains all volunteers and contractors who have contact with inmates on their responsibilities under the facility’s sexual abuse and sexual harassment prevention, detection, and response policies and procedures.
- B. Interviews and documentation indicated that the levels and types of training provided to volunteers and contractors are based on the services they provide and the contact they have with inmates. All volunteers and contractors are notified of the facility’s zero-tolerance policy regarding sexual abuse and sexual harassment and informed how to report alleged incidents.
- C. The facility maintains documentation confirming that volunteers and contractors understand the training they received. LCF documents volunteer and contractor training using the Training Acknowledgement Form and rosters, which requires the volunteers, contractors and instructor signature and date.

Interview Results:

- Two (2) contractors and three (3) volunteers’ staff were interviewed. The interviewed staff reported they have been trained on their responsibilities regarding sexual abuse and sexual harassment prevention, intervention, detection, and response. All staff reported they received the initial training and receive refresher training annually. Staff when probed would be able to articulate that the training consisted of how to report and the steps and procedures for reporting. Staff indicated that they would report allegations of sexual abuse and sexual harassment immediately. Staff noted they would report any allegation to the PREA compliance manager or another supervisor and write a statement.

Standard 115.33: Inmate education

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.33 (a)

- During intake, do inmates receive information explaining the agency’s zero-tolerance policy regarding sexual abuse and sexual harassment? Yes No
- During intake, do inmates receive information explaining how to report incidents or suspicions of sexual abuse or sexual harassment? Yes No

115.33 (b)

- Within 30 days of intake, does the agency provide comprehensive education to inmates either in person or through video regarding: Their rights to be free from sexual abuse and sexual harassment? Yes No
- Within 30 days of intake, does the agency provide comprehensive education to inmates either in person or through video regarding: Their rights to be free from retaliation for reporting such incidents? Yes No
- Within 30 days of intake, does the agency provide comprehensive education to inmates either in person or through video regarding: Agency policies and procedures for responding to such incidents? Yes No

115.33 (c)

- Have all inmates received such education? Yes No
- Do inmates receive education upon transfer to a different facility to the extent that the policies and procedures of the inmate's new facility differ from those of the previous facility? Yes No

115.33 (d)

- Does the agency provide inmate education in formats accessible to all inmates including those who are limited English proficient? Yes No
- Does the agency provide inmate education in formats accessible to all inmates including those who are deaf? Yes No
- Does the agency provide inmate education in formats accessible to all inmates including those who are visually impaired? Yes No
- Does the agency provide inmate education in formats accessible to all inmates including those who are otherwise disabled? Yes No
- Does the agency provide inmate education in formats accessible to all inmates including those who have limited reading skills? Yes No

115.33 (e)

- Does the agency maintain documentation of inmate participation in these education sessions? Yes No

115.33 (f)

- In addition to providing such education, does the agency ensure that key information is continuously and readily available or visible to inmates through posters, inmate handbooks, or other written formats? Yes No

Auditor Overall Compliance Determination

Exceeds Standard (*Substantially exceeds requirement of standards*)

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

Does Not Meet Standard (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

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Documents, Interviews and Observations:

1. TDCJ Texas Legislature Zero Tolerance Policy (English)
2. TDCJ Texas Legislature Zero Tolerance Policy (Spanish)
3. TDCJ Inmates: Safe Prisons/PREA Program (English and Spanish)
4. Posters:
 - a. Break the Silence of Abuse
 - b. Extortion
 - c. Do Not Live in Darkness. Shine the Light on Sexual Abuse and Sexual Harassment
 - d. Sexual Abuse Is an Act of Violence
5. LCF Distinct Count of Inmate Arrivals
6. LCF Offender Sexual Abuse Awareness Education/Cold and Heath Weather Training
7. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1, C3, D1, E1, F1)–August 1, 2017
8. Pre-Audit Questionnaire/Adult Prisons & Jails
9. MTC Language Line Contact / Language Line Solutions – (D1)
 - a. Interpretation Attachment A1
10. Inmate Handbook English (C1)
11. Inmate Handbook Spanish (C1)
12. PREA Poster English (F1)
13. PREA Poster Spanish (F1)
14. Interviews:
 - a. Random Inmates
 - b. Intake Staff

A. Staff interviews and documentation reviewed indicated that during the intake process, inmates receive information explaining the facility's zero-tolerance policy regarding sexual abuse and sexual harassment and how to report incidents or suspicions of sexual abuse or sexual harassment. The facility included the following in the inmate education:

- Free from the threat of sexual misconduct for all inmates.
- A program of prevention, detection, response, investigation.
- All allegations of sexual misconduct and/or sexual harassment shall be administratively and/or criminally investigated.

- You have the right not to be sexually abused or harassed.
- Incidents or suspicions of sexual abuse, sexual harassment and retaliation can be reported to any staff member:
 - a. Verbally – Tell the Case Manager, Chaplain, Reporting to any staff member
 - b. In Writing – Grievance System and completing an inmate request
 - c. Ombudsman Office (Third Party Reporting)
 - d. OIG
 - e. Outside Agency Hot Line
 - f. Bureau Chief of the Office of Quality Assurance and Improvement

During intake, inmates are given the inmate handbook. During orientation, additional PREA related information is provided, and the PREA video is shown. The staff conducting intake/orientation gives inmates the opportunity to ask questions to clarify anything they do not understand. Inmate's acknowledgment statements were provided for receiving PREA information.

A review of the Pre-Audit Questionnaire Adult Prisons & Jails and confirmed by staff interviews:

- The number of inmates admitted during the past 12 months who were given PREA education information at intake was 1,523.
- B.** The facility provides comprehensive education to inmates in person and through video regarding their rights to be free from sexual abuse and sexual harassment and to be free from retaliation for reporting such incidents. This information is provided to the inmates within 30 days.

A review of the Pre-Audit Questionnaire Adult Prisons & Jails and confirmed by staff interviews:

- The number of inmates during the past 12 months (whose length of stay in the facility was for 30 days or more) who received comprehensive education on their rights to be free from both sexual abuse and sexual harassment and retaliation for reporting such incidents and on agency policies and procedures for responding to incidents within 30 days of intake was 1,523.
- C.** All inmates at the LCF received and had been educated on PREA. Inmates that transfer to the facility also receive the required PREA Education.

Inmate interviews confirmed that the facility provides inmate education in formats accessible to all inmates, including limited English proficient, deaf, visually impaired, disabled, as well as to inmates who have limited reading skills. Staff and inmate interviews reveal that the facility provides the PREA Education in English and Spanish, to include inmate handbooks and posters. The video is used during orientation as well as in the dorm setting.

- D. The facility maintains documentation of inmate participation in the education sessions by using the Inmate Orientation Checklist. The checklist requires the inmate to sign and date and is witnessed by staff signature.

In addition to providing PREA education, the facility ensures that key information is continuously and readily available and visible to inmates through posters, inmate handbooks, and other written formats.

Interview Results:

- Thirty-one (31) random inmates were interviewed. All inmates reported they received information upon intake and orientation regarding sexual abuse and sexual harassment. The information was provided to them during orientation, within the first week at the facility. (Note: Orientation is every Thursday according to all interviewed inmates) Even inmates who had been housed at the facility for more than a year reported that received information on sexual abuse and sexual harassment within the last few years.

Upon probing, all inmates reported being aware of the 3rd party reporting system. The inmates reported that the 3rd party reporting information (Ombudsman) contact information was posted/painted on the walls in the housing area. The inmates are provided information regarding sexual abuse and harassment in the facility handbook.

- One (1) intake staff was interviewed. The intake staff reported that immediately upon arrival at the facility, the inmate is provided a handbook. The handbook covers facility rules to include but not limited to PREA. The handbook provides information on internal and external ways to report. Medical will ask additional questions related to prior history of sexual abuse. Inmates are placed in an orientation unit for a week. During that time medical goes over more information related to PREA and they watch a PREA video. Inmates sign an Inmate Orientation Checklist form, acknowledging understanding and receipt of information.

The inmates are provided information regarding sexual abuse and harassment in the facility handbook, with the PREA hotline number and videos.

Standard 115.34: Specialized training: Investigations

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.34 (a)

- In addition to the general training provided to all employees pursuant to §115.31, does the agency ensure that, to the extent the agency itself conducts sexual abuse investigations, its investigators have received training in conducting such investigations in confinement settings?

(N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.21(a).) Yes No NA

115.34 (b)

- Does this specialized training include techniques for interviewing sexual abuse victims? [N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.21(a).] Yes No NA
- Does this specialized training include proper use of Miranda and Garrity warnings? [N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.21(a).] Yes No NA
- Does this specialized training include sexual abuse evidence collection in confinement settings? [N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.21(a).] Yes No NA
- Does this specialized training include the criteria and evidence required to substantiate a case for administrative action or prosecution referral? [N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.21(a).] Yes No NA

115.34 (c)

- Does the agency maintain documentation that agency investigators have completed the required specialized training in conducting sexual abuse investigations? [N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.21(a).] Yes No NA

115.34 (d)

- Auditor is not required to audit this provision.

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

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Documents, Interviews and Observations:

1. TDCJ Investigator Trainee Position Description
2. LCF – Specialized Training: Investigating Sexual Abuse in a Correctional Setting
3. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1, C1)–August 1, 2017
4. Pre-Audit Questionnaire/Adult Prisons & Jails
5. NIC Training Certificates/PREA Investigating Sexual Abuse in Correctional Settings (C1)
6. Interviews:
 - a. Warden
 - b. Facility Investigator

- A. In addition to the general PREA training provided to all employees, LCF ensures that its Facility Investigators have received training in conducting investigations in confinement settings. Interviews and documentation reveal that specialized training was completed.
- B. The Investigators completed the NIC Specialized training. Specialized training includes techniques for interviewing sexual abuse victims, proper use of Miranda and Garrity warnings, sexual abuse evidence collection in confinement settings, and the criteria and evidence required to substantiate a case for administrative action and prosecution referral.
- C. The facility maintains a list of investigators having completed the required specialized training in conducting sexual abuse investigations. The facility indicated that they provided the PREA requirements for serving as a PREA Investigator.

A review of the Pre-Audit Questionnaire Adult Prisons & Jails and confirmed by staff interviews:

- The number of investigators currently employed who have completed the required training was 4.

Interview Results:

- Interviews with the Facility Investigators indicated that all investigators received NIC online training specific to conducting sexual abuse investigations in confinement settings.
- Interviews with the Facility Investigators indicated that policy requires that all allegations of sexual abuse or sexual harassment be referred for investigation with the legal authority to conduct criminal investigations unless the allegation does not involve potentially criminal behavior.
- Interview with MTC Assistant Agency PREA Coordinator; the following was stated. During the weeks of August 27-31, and September 4-7, 2018, MTC provided a wide variety of training to staff at its facilities through the Zoom video platform, including the session

described below. This platform is intended to be used to deliver more frequent and topical training to a wider audience. MTC anticipate delivering training on fresh topics semi-annually. This training is not intended to be substitute for facility delivered pre-service or in-services training as required by MTC or customer agencies.

- a. Trauma and Victim Responses (1 hour), by Viki Sharp and Mike Atchison
 - i. Understand the short- and long-term impact of trauma on victims.
 - ii. Identify how trauma can affect a victim's cooperation in an investigation.
 - iii. Learn how an investigator can facilitate a victim's willingness to cooperate with an investigation.

- b. Adult Interviewing Techniques (2 hours, 15 minutes), by Mike Atchison
 - i. The objective for this module is to go over the best practice techniques for interviewing and interrogating people during investigations of sexual abuse in confinement settings. The majority of this presentation, which was developed by the PRC and The Moss Group, Inc., remains intact. However, there have been modification and enhancements to the original. The curriculum is designed specifically for an audience of correctional investigators, but it is beneficial to those who oversee investigations, first responders and other. The presentation is only 1 of the 9 modules packaged relating to investigating sexual abuse in prisons.

Standard 115.35: Specialized training: Medical and mental health care

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.35 (a)

- Does the agency ensure that all full- and part-time medical and mental health care practitioners who work regularly in its facilities have been trained in how to detect and assess signs of sexual abuse and sexual harassment? Yes No

- Does the agency ensure that all full- and part-time medical and mental health care practitioners who work regularly in its facilities have been trained in how to preserve physical evidence of sexual abuse? Yes No

- Does the agency ensure that all full- and part-time medical and mental health care practitioners who work regularly in its facilities have been trained in how to respond effectively and professionally to victims of sexual abuse and sexual harassment? Yes No

- Does the agency ensure that all full- and part-time medical and mental health care practitioners who work regularly in its facilities have been trained in how and to whom to report allegations or suspicions of sexual abuse and sexual harassment? Yes No

115.35 (b)

- If medical staff employed by the agency conduct forensic examinations, do such medical staff receive appropriate training to conduct such examinations? (N/A if agency medical staff at the facility does not conduct forensic exams.) Yes No NA

115.35 (c)

- Does the agency maintain documentation that medical and mental health practitioners have received the training referenced in this standard either from the agency or elsewhere? Yes No

115.35 (d)

- Do medical and mental health care practitioners employed by the agency also receive training mandated for employees by §115.31? Yes No
- Do medical and mental health care practitioners contracted by and volunteering for the agency also receive training mandated for contractors and volunteers by §115.32? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. LCF Medical Safe Prisons/PREA Training
2. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1, C1) –August 1, 2017
3. Pre-Audit Questionnaire/Adult Prisons & Jails
4. Interviews:
 - a. Facility PREA Compliance Manager
 - b. Medical Staff
 - c. Mental Health Staff

- A.** Interview with LCF medical/mental health staff indicated that all full- and part-time medical and mental health care practitioners who work regularly in the facilities had been trained around:
- How to detect and assess signs of sexual abuse and sexual harassment,
 - How to preserve physical evidence of sexual abuse,
 - How to respond effectively and professionally to victims of sexual abuse and sexual harassment; and
 - How and to whom to report allegations or suspicions of sexual abuse and sexual harassment.
- B.** The medical staff at LCF does not conduct forensic examinations. The local hospital conducts all emergency care or treatment to include Sexual Assault Forensic Examinations. The local hospital examiners are qualified SAFE and SANE practitioners that comply with the National Protocol for Sexual Assault Medical Forensic Examinations.
- C.** The facility maintains documentation that medical/mental health practitioners have received the training referenced in this standard. Training rosters and staff meetings sign-in sheets were submitted to the Auditor.

Interview Results:

- One medical and one mental health staff was interviewed. Both staffs indicated that they do not conduct forensic examinations. The interviewed mental health staff reported that they receive PREA training from their contracted vendor. Additionally, the mental health staff serve as trainers, providing PREA related training to facility correctional officers.
- The interviewed mental health staff reported that their PREA related training is more in depth, covering treatment plans, follow up services, and counseling. They were also trained on why an inmate should not take a bath and the necessity to preserve evidence.
- The interviewed medical staff also serves as the site supervisor for mental health staff. She reported that she has not received specialized training regarding sexual abuse and sexual harassment. The onsite medical staff would not conduct any forensic exams and that the inmate would be taken to an offsite location for a forensic medical exam.
- Interviewed healthcare staff confirmed the specialized training received by medical.
- Interviewed healthcare staff confirmed that the facility does not conduct forensic examinations.

SCREENING FOR RISK OF SEXUAL VICTIMIZATION AND ABUSIVENESS

Standard 115.41: Screening for risk of victimization and abusiveness

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.41 (a)

- Are all inmates assessed during an intake screening for their risk of being sexually abused by other inmates or sexually abusive toward other inmates? Yes No
- Are all inmates assessed upon transfer to another facility for their risk of being sexually abused by other inmates or sexually abusive toward other inmates? Yes No

115.41 (b)

- Do intake screenings ordinarily take place within 72 hours of arrival at the facility? Yes No

115.41 (c)

- Are all PREA screening assessments conducted using an objective screening instrument? Yes No

115.41 (d)

- Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (1) Whether the inmate has a mental, physical, or developmental disability? Yes No
- Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (2) The age of the inmate? Yes No
- Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (3) The physical build of the inmate? Yes No
- Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (4) Whether the inmate has previously been incarcerated? Yes No
- Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (5) Whether the inmate's criminal history is exclusively nonviolent? Yes No
- Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (6) Whether the inmate has prior convictions for sex offenses against an adult or child? Yes No

- Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (7) Whether the inmate is or is perceived to be gay, lesbian, bisexual, transgender, intersex, or gender nonconforming (the facility affirmatively asks the inmate about his/her sexual orientation and gender identity AND makes a subjective determination based on the screener's perception whether the inmate is gender nonconforming or otherwise may be perceived to be LGBTI)? Yes No
- Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (8) Whether the inmate has previously experienced sexual victimization? Yes No
- Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (9) The inmate's own perception of vulnerability? Yes No
- Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (10) Whether the inmate is detained solely for civil immigration purposes? Yes No

115.41 (e)

- In assessing inmates for risk of being sexually abusive, does the initial PREA risk screening consider, when known to the agency: prior acts of sexual abuse? Yes No
- In assessing inmates for risk of being sexually abusive, does the initial PREA risk screening consider, when known to the agency: prior convictions for violent offenses? Yes No
- In assessing inmates for risk of being sexually abusive, does the initial PREA risk screening consider, when known to the agency: history of prior institutional violence or sexual abuse? Yes No

115.41 (f)

- Within a set time period not more than 30 days from the inmate's arrival at the facility, does the facility reassess the inmate's risk of victimization or abusiveness based upon any additional, relevant information received by the facility since the intake screening? Yes No

115.41 (g)

- Does the facility reassess an inmate's risk level when warranted due to a: Referral? Yes No
- Does the facility reassess an inmate's risk level when warranted due to a: Request? Yes No
- Does the facility reassess an inmate's risk level when warranted due to a: Incident of sexual abuse? Yes No
- Does the facility reassess an inmate's risk level when warranted due to a: Receipt of additional information that bears on the inmate's risk of sexual victimization or abusiveness? Yes No

115.41 (h)

- Is it the case that inmates are not ever disciplined for refusing to answer, or for not disclosing complete information in response to, questions asked pursuant to paragraphs (d)(1), (d)(7), (d)(8), or (d)(9) of this section? Yes No

115.41 (i)

- Has the agency implemented appropriate controls on the dissemination within the facility of responses to questions asked pursuant to this standard in order to ensure that sensitive information is not exploited to the inmate's detriment by staff or other inmates? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. TDCJ Offender Assessment Screening
 - a. General Information
 - b. File Review
 - c. History of Sexual Abuse
 - d. Committee review
 - e. Offender
 - f. Re-Assessment Screening
2. LCF Statement of Fact: Reassessed Inmates
3. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1, B1, C1, F1) –August 1, 2017
4. Pre-Audit Questionnaire/Adult Prisons & Jails
5. MTC Offender Data System
 - a. Current Housing Assignment
6. MTC Screening for Risk of Victimization and Abusiveness (A, C)
 - a. At Risk of Victimization (D8, D9, D2, D3, D1, D7, D4, D6)
 - b. At Risk of Abusiveness (D6, D5, E)
 - c. Staff Signature and Date (B)

7. MTC Automatic Email – Reassess the inmate’s risk of victimization or abusiveness based upon information from the investigation (G)
8. Interviews:
 - a. Agency PREA Coordinator
 - b. Facility PREA Compliance Manager
 - c. Staff Who Perform Screening for Risk of Victimization and Abusiveness
 - d. Random Inmates

- A. The facility assesses all inmates during intake screening to include inmates that transfer from other prisons for risk of being sexually abused.
- B. Interviews and documentation revealed that intake screenings are taking place within 72 hours of arrival at the LCF. Also, during intake screening, procedures require that staff review available documentation (judgment and sentence, commitment orders, criminal records, investigation reports, field and medical files) for any indication that an inmate has a history of sexually aggressive behavior. Housing assignments are made accordingly.

A review of the Pre-Audit Questionnaire Adult Prisons & Jails and confirmed by staff interviews:

- The number of inmates entering the facility within the past 12 months whose length of stay in the facility was for 72 hours or more; who were screened for risk of sexual victimization or risk of sexually abusing other inmates within 72 hours of their entry into the facility was 1,523.
- C. The facility uses the agency Screening Form and the Screening for Risk of Victimization and Abusiveness as the objective screening instruments. Staff interviews for conducting Screening for Risk of Victimization and Abusiveness indicated that the facility uses the agency for mand the PREA Intake Objective Screening Instrument to document this process. The PREA Intake Objective Screening Instrument has all of the required criteria. The results of the assessment are documented on the Intake Screening Form whether the inmate is vulnerable or sexually aggressive.
 - D. Staff interviews and documentation review reveal that the Screening for Risk of Victimization and Abusiveness include the following:
 - Whether the inmate has a mental, physical, or developmental disability;
 - The age of the inmate;
 - The physical build of the inmate;
 - Whether the inmate has previously been incarcerated;
 - Whether the inmate’s criminal history is exclusively nonviolent;
 - Whether the inmate has prior convictions for sex offenses against an adult or child;
 - Whether the inmate is or is perceived to be gay, lesbian, bisexual, transgender, intersex, or gender nonconforming;

- Whether the inmate has previously experienced sexual victimization;
 - The inmate's own perception of vulnerability; and
 - Whether the inmate is detained solely for civil immigration purposes.
- E. Agency policy requires that the facility reassess each inmate's risk of victimization or abusiveness within a set time period, not to exceed 30 days after the inmate's arrival at the facility, based upon any additional, relevant information received by the facility since the intake screening.

Interviews and documentation reviewed indicated that the staff reassesses the inmate's risk level for sexual victimization or sexual abusiveness whenever warranted and within 30 days of arrival at the institution if the inmate is identified at risk for victimization or for being at risk for being sexually abusive.

- F. Inmates are not disciplined for refusing to answer, or for not disclosing complete information in response to any questions as stated in section (d).
- G. The agency implements appropriate controls on the dissemination within the facility of responses to questions asked under this standard to ensure that sensitive information is not exploited to the inmate's detriment by staff or other inmates as described above.

MTC Offender Data System (ODS) Generated Automated Email: Email B – from ODS notifying the facility PREA Manager that a determination has been made on a PREA investigation and the specific action which is required:

- a. Reassess the inmate's risk of victimization or abusiveness based upon information from the investigation. 114.41.
- b. For substantiated or unsubstantiated sexual abuse allegations, initiate a Sexual Abuse incident Review within 30 days of determination. 115.86
- c. Inform the inmate and document the notification, as to whether the allegation has been determined to be substantiated, unsubstantiated, or unfounded. 115.73

Interview Results:

- Nineteen (19) interviewed inmates were placed at the facility within the last 12-15 months. All inmates recalled being asked questions regarding prior history of sexual abuse, or whether they identified as being gay, lesbian, or bisexual. These questions were asked upon arrival or during the intake/orientation process. One (1) inmate recalled being asked similar questions again since their arrival at the facility by her counselor as she reported she has changed her sexual identity status to bisexual.

- The Agency PREA Coordinator indicated that each facility has developed local policy and/or subscribes to the customer agency policy related to the handling of sensitive information. Information goes into the inmate’s unit file and is disseminated on a “need to know” basis. MTC policy (903E.02) restricts access consistent with state statute, professional licensure, and ethical standards. Information is secured while not in use.
- Staff interviews and during the review of PREA Screenings and reassessments, it was noted that all the PREA Screenings has been completed.
- Interviewed staff indicated that the initial risk screening assessment considers all the requirements listed in this standard.
- Interviewed staff indicated that the process for conducting the initial screening is a checklist and a written format using a point system.

Standard 115.42: Use of screening information

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.42 (a)

- Does the agency use information from the risk screening required by § 115.41, with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Housing Assignments? Yes No
- Does the agency use information from the risk screening required by § 115.41, with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Bed assignments? Yes No
- Does the agency use information from the risk screening required by § 115.41, with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Work Assignments? Yes No
- Does the agency use information from the risk screening required by § 115.41, with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Education Assignments? Yes No

- Does the agency use information from the risk screening required by § 115.41, with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Program Assignments? Yes No

115.42 (b)

- Does the agency make individualized determinations about how to ensure the safety of each inmate? Yes No

115.42 (c)

- When deciding whether to assign a transgender or intersex inmate to a facility for male or female inmates, does the agency consider on a case-by-case basis whether a placement would ensure the inmate's health and safety, and whether a placement would present management or security problems (NOTE: if an agency by policy or practice assigns inmates to a male or female facility on the basis of anatomy alone, that agency is not in compliance with this standard)? Yes No
- When making housing or other program assignments for transgender or intersex inmates, does the agency consider on a case-by-case basis whether a placement would ensure the inmate's health and safety, and whether a placement would present management or security problems? Yes No

115.42 (d)

- Are placement and programming assignments for each transgender or intersex inmate reassessed at least twice each year to review any threats to safety experienced by the inmate? Yes No

115.42 (e)

- Are each transgender or intersex inmate's own views with respect to his or her own safety given serious consideration when making facility and housing placement decisions and programming assignments? Yes No

115.42 (f)

- Are transgender and intersex inmates given the opportunity to shower separately from other inmates? Yes No

115.42 (g)

- Unless placement is in a dedicated facility, unit, or wing established in connection with a consent decree, legal settlement, or legal judgment for the purpose of protecting lesbian, gay, bisexual, transgender, or intersex inmates, does the agency always refrain from placing: lesbian, gay, and bisexual inmates in dedicated facilities, units, or wings solely on the basis of such identification or status? Yes No
- Unless placement is in a dedicated facility, unit, or wing established in connection with a consent decree, legal settlement, or legal judgment for the purpose of protecting lesbian, gay, bisexual, transgender, or intersex inmates, does the agency always refrain from placing: transgender inmates in dedicated facilities, units, or wings solely on the basis of such identification or status? Yes No

- Unless placement is in a dedicated facility, unit, or wing established in connection with a consent decree, legal settlement, or legal judgment for the purpose of protecting lesbian, gay, bisexual, transgender, or intersex inmates, does the agency always refrain from placing intersex inmates in dedicated facilities, units, or wings solely on the basis of such identification or status? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

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Documents, Interviews and Observations:

1. TDCJ Offender Assessment Screening
 - a. General Information
 - b. File Review
 - c. History of Sexual Abuse
 - d. Committee review
 - e. Offender
 - f. Re-Assessment Screening
2. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1, B1, C1)–August 1, 2017
3. Pre-Audit Questionnaire/Adult Prisons & Jails
4. MTC Offender Data System
 - a. Current Housing Assignment
 - b. Separate Report
5. PREA Report by Dorm
6. Interviews:
 - a. Agency PREA Coordinator
 - b. Agency Assistant PREA Coordinator
 - c. Facility PREA Compliance Manager
 - d. Staff Who Perform Screening for Risk of Victimization and Abusiveness
 - e. Transgender and Intersex Inmates (None)
 - f. Gay or Bisexual Inmates (None)

- A.** MTC Policy 903E.02, Ensuring Safe Prisons B.17, Use of Screening Information, (a), requires the LCF to use information from the risk screening required to inform housing, bed, work, education

and program assignments with the goal of keeping separate those inmates at high risk for being sexually victimized from those at high risk of being sexually abusive. Individualized determinations about how to ensure the safety of each inmate will be made according to staff interviewed.

- B. LCF does not have transgender inmates during the audit period. If the facility were to receive a transgender inmate, in deciding whether to assign a transgender or intersex inmate to which female living unit and in making other programming assignments, the facility will consider on a case-by-case basis whether a placement would ensure the inmate's health and safety and whether the placement would present management or security problems.
- C. Staff interviews indicated that when making placement and programming assignments for each transgender or intersex inmate, the facility reassesses them at least twice each year to review any threats to safety experienced by the inmate.
- D. Staff interviews also indicated that transgender or intersex inmate's views concerning safety is given serious consideration.
- E. Transgender and intersex inmates are given the opportunity to shower separately from other inmates.
- F. Interview with the Facility PREA Compliance Manager indicated that the facility would not place lesbian, gay, bisexual, transgender, or intersex inmates in dedicated facilities, units, or wings solely based on identification status for protecting such inmates.

Interview Results:

- The Agency PREA Coordinator indicated that the process of assigning inmates to various facilities is performed by the customer agency classification process. However, when LGBTI inmates are assigned to an MTC facility, the initial inmate screening process is used simply to inform housing assignments with the goal of keeping separate those inmates at high risk of being sexually victimized from those that at high risk of being sexually abusive. It is MTC's policy that housing assignments for transgender or intersex inmates are made on a case by case basis.
- Three (3) targeted inmates interviewed identified as being gay or bisexual. Overall the targeted inmates reported feeling safe at the facility. All the targeted inmates stated that there is not an isolated housing area for LGBTI inmates, and that any inmate can shower by themselves if requested. Generally, several inmates shower at the same time on any given day.

- Interview with the Facility PREA Compliance Manager indicated that the facility would not place lesbian, gay, bisexual, transgender, or intersex inmates in dedicated facilities, units, or wings solely based on identification status for protecting such inmates.
- Interviewed staff indicated that the facility is not subject to a consent decree, legal settlement, or legal judgment. Staff indicated that the facility ensures against placing lesbian, gay, bisexual, transgender, or intersex inmates in dedicated facilities, units, or wings solely by their sexual orientation, genital status, or gender identity. They are housed in the general population unless requested by the inmate for special housing for safety issues.

Standard 115.43: Protective Custody

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.43 (a)

- Does the facility always refrain from placing inmates at high risk for sexual victimization in involuntary segregated housing unless an assessment of all available alternatives has been made, and a determination has been made that there is no available alternative means of separation from likely abusers? Yes No
- If a facility cannot conduct such an assessment immediately, does the facility hold the inmate in involuntary segregated housing for less than 24 hours while completing the assessment? Yes No

115.43 (b)

- Do inmates who are placed in segregated housing because they are at high risk of sexual victimization have access to: Programs to the extent possible? Yes No
- Do inmates who are placed in segregated housing because they are at high risk of sexual victimization have access to: Privileges to the extent possible? Yes No
- Do inmates who are placed in segregated housing because they are at high risk of sexual victimization have access to: Education to the extent possible? Yes No
- Do inmates who are placed in segregated housing because they are at high risk of sexual victimization have access to: Work opportunities to the extent possible? Yes No
- If the facility restricts access to programs, privileges, education, or work opportunities, does the facility document: The opportunities that have been limited? Yes No
- If the facility restricts access to programs, privileges, education, or work opportunities, does the facility document: The duration of the limitation? Yes No
- If the facility restricts access to programs, privileges, education, or work opportunities, does the facility document: The reasons for such limitations? Yes No

115.43 (c)

- Does the facility assign inmates at high risk of sexual victimization to involuntary segregated housing only until an alternative means of separation from likely abusers can be arranged? Yes No
- Does such an assignment not ordinarily exceed a period of 30 days? Yes No

115.43 (d)

- If an involuntary segregated housing assignment is made pursuant to paragraph (a) of this section, does the facility clearly document: The basis for the facility's concern for the inmate's safety? Yes No
- If an involuntary segregated housing assignment is made pursuant to paragraph (a) of this section, does the facility clearly document: The reason why no alternative means of separation can be arranged? Yes No

115.43 (e)

- In the case of each inmate who is placed in involuntary segregation because he/she is at high risk of sexual victimization, does the facility afford a review to determine whether there is a continuing need for separation from the general population EVERY 30 DAYS? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. LCF Statement of Fact: Involuntary Segregated Housing Assignment
2. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1, E1)–August 1, 2017
3. Pre-Audit Questionnaire/Adult Prisons & Jails

4. MTC Automatic Email: Every 30 days, the facility shall afford each such inmate a review to determine whether there is a continuing need for separation from the general population.
5. Interviews:
 - a. Facility PREA Compliance Manager
 - b. Staff Who Supervise Inmate in Segregated Housing
 - c. Inmates Placed in Segregated Housing (None)

- A.** Interviews and documentation review at LCF indicated that inmates at high risk for sexual victimization are prohibited from being placed in involuntary segregated housing unless an assessment of all available alternatives has been made and a determination has been made that there are no available alternative means of separation from likely abusers. Interviews also revealed that if an assessment cannot be immediately completed, the facility will hold the inmate in involuntary segregated housing for less than 24 hours while completing the assessment.
- B.** Staff interviews indicated that if an inmate is placed in segregated housing, they will be provided with access to programs, privileges, education, and work opportunities.

If LCF assigns inmates to involuntary segregated housing, policy requires them to be housed only until an alternative means of separation from likely abusers can be arranged, and assignment does not exceed 30 days.

If the facility places an inmate in involuntary segregated housing, the facility will document as required by this provision.

A review of the Pre-Audit Questionnaire Adult Prisons & Jails and confirmed by staff interviews:

- The inmates at risk of sexual victimization who were held in involuntary segregated housing in the past 12 months for one to 24 hours awaiting completion of assessment was 0.
- The number of inmates at risk of sexual victimization who were assigned to involuntary segregated housing in the past 12 months for longer than 30 days while awaiting alternative placement was 0.
- From a review of case files of inmates at risk of sexual victimization who were held in involuntary segregated housing in the past 12 months, the number of case files that include both (a) a statement of the basis for facility's concern for the inmate's safety, and (b) the reason or reasons why alternative means of separation could not be arranged reported was 0.

MTC Offender Data System (ODS) Generated Automated Email: Email A – from ODS notifying the facility PREA Manager that a new PREA Allegation has been assigned for investigation making sure assigned staff implement actions which ensure the involved offender (s) and/or staff protected from retaliation. Also, any use of involuntary segregated housing for the inmate who alleged suffering sexual abuse shall only be used after an assessment determines there is no available alternative means of separation from likely abusers. The reasons need to be documented within 24 hours of placement.

- a. Protect inmates and /or staff from retaliation for at least 90 days in accordance with standard 115.67 and MTC policy 903E.02.
- b. Document any use of involuntary segregated housing within 24 hours in accordance with standard 115.68, 115.43 and MTC policy 903E.02.

Interview Results:

- o The Warden and the Facility PREA Compliance Manager, in an interview, stated the use of involuntary restricted housing would be a last resort, and if used, an assessment would be conducted documenting that less restrictive means were not available.

REPORTING

Standard 115.51: Inmate reporting

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.51 (a)

- Does the agency provide multiple internal ways for inmates to privately report: Sexual abuse and sexual harassment? Yes No
- Does the agency provide multiple internal ways for inmates to privately report: Retaliation by other inmates or staff for reporting sexual abuse and sexual harassment? Yes No
- Does the agency provide multiple internal ways for inmates to privately report: Staff neglect or violation of responsibilities that may have contributed to such incidents? Yes No

115.51 (b)

- Does the agency also provide at least one way for inmates to report sexual abuse or sexual harassment to a public or private entity or office that is not part of the agency? Yes No

- Is that private entity or office able to receive and immediately forward inmate reports of sexual abuse and sexual harassment to agency officials? Yes No
- Does that private entity or office allow the inmate to remain anonymous upon request? Yes No
- Are inmates detained solely for civil immigration purposes provided information on how to contact relevant consular officials and relevant officials at the Department of Homeland Security? Yes No

115.51 (c)

- Does staff accept reports of sexual abuse and sexual harassment made verbally, in writing, anonymously, and from third parties? Yes No
- Does staff promptly document any verbal reports of sexual abuse and sexual harassment? Yes No

115.51 (d)

- Does the agency provide a method for staff to privately report sexual abuse and sexual harassment of inmates? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

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Documents, Interviews and Observations:

1. TDCJ Texas Legislature Zero Tolerance Policy (English)
2. TDCJ Texas Legislature Zero Tolerance Policy (Spanish)
3. TDCJ Inmates: Safe Prisons/PREA Program (English and Spanish)

4. Posters:
 - a. Break the Silence of Abuse
 - b. Extortion
 - c. Do Not Live in Darkness. Shine the Light on Sexual Abuse and Sexual Harassment
 - d. Sexual Abuse Is an Act of Violence
5. TDCJ Administrative Incident Review
6. TDCJ Inmate Brochure
7. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1 B1, C1, C2, D1, D2)- August 1, 2017
8. Pre-Audit Questionnaire/Adult Prisons & Jails
9. Inmate Handbook English (A1, B1, C1)
10. Inmate Handbook Spanish (A1, B1, C1)
11. PREA Poster English (A1)
12. PREA Poster Spanish (A1)
13. MTC ShoreWare Voice Mail – ShoreTelVM@mtctrains.com (Inmate Reporting)
14. Interviews:
 - a. Facility PREA Compliance Manager
 - b. Random Staff (Officers)
 - c. Random Inmates

A. Interviews with staff and documentation review indicated that the facility had established procedures allowing for multiple internal ways for inmates to report privately to LCF and MTC officials regarding sexual abuse and sexual harassment, retaliation by other inmates or staff, to include staff neglect or violation of responsibilities that may contribute to PREA incidents. The following are internal reporting ways:

- Grievance System
- Telling the Case Manager
- Chaplain
- Reporting to any staff member either verbally or in writing
- Ombudsman Office (Third party reporting)
- OIG
- Writing an inmate request
- Hotline
- Writing an anonymous note

B. Interviews with staff and documentation indicated that the facility has established at least one way for inmates to report abuse or harassment to a public or private entity that is not part the agency, and they can receive and immediately forward inmate reports of sexual abuse and sexual harassment to agency officials, allowing the inmate to remain anonymous upon request.

Policy requires inmates detained solely for civil immigration purposes be provided information on how to contact relevant consular officials and relevant officials of the Department of Homeland Security.

- C. The agency policy mandates that staff accept reports of sexual assault and sexual harassment made verbally, in writing, anonymously, and from third parties. Staff is required to document verbal reports immediately, but always before leaving the shift. Staff can report sexual assaults and harassments privately and the agency informs staff through shift briefing, management meetings and PREA training.

Interview Results:

- One hundred percent of the interviewed inmates stated that they can report sexual abuse or sexual harassment by tell a staff member. They also reported that the address for reporting sexual harassment if on the wall. Most of the inmates felt that they could make a report in a confidential manner. Most of the inmates were aware of multiple ways to report to include but not limited to; telling a trusted staff member, notify a relative, telling the lieutenant (PREA compliance manager), or writing a letter and giving it to staff.
- One hundred percent (100%) of the interviewed staff reported that they have multiple means to privately report sexual abuse or harassment. Such reporting opportunities included notify the shift supervisor and completing an incident report or reporting through the address provided to the staff.
- The interviewed line staff reported that the inmates can privately report by using an inmate statement form, PREA compliance manager, staff, or family. Such reports can be made verbally or in writing. All the interviewed line staff reported that if an inmate verbally or in writing reports sexual abuse or harassment the allegations are responded to immediately. When probed, staff reported that the verbal report would be documented on an incident report. Such documentation must be completed immediately.
- One inmate disclosed that they have reported to authorities, either in person or in writing, that they had been sexually harassed while at the Lockhart Correctional Facility.
- An interview with the staff indicated that LCF is tasked with the obligation to house adult female criminal inmates. The facility does not detain inmates solely for civil immigration purposes. However, if they receive an inmate solely for civil immigration purposes, the facility will provide the inmate with information on how to contact relevant consular officials and relevant officials at the Department of Homeland Security.

Standard 115.52: Exhaustion of administrative remedies

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.52 (a)

- Is the agency exempt from this standard? NOTE: The agency is exempt ONLY if it does not have administrative procedures to address inmate grievances regarding sexual abuse. This does not mean the agency is exempt simply because an inmate does not have to or is not ordinarily expected to submit a grievance to report sexual abuse. This means that as a matter of explicit policy, the agency does not have an administrative remedies process to address sexual abuse. Yes No NA

115.52 (b)

- Does the agency permit inmates to submit a grievance regarding an allegation of sexual abuse without any type of time limits? (The agency may apply otherwise-applicable time limits to any portion of a grievance that does not allege an incident of sexual abuse.) (N/A if agency is exempt from this standard.) Yes No NA
- Does the agency always refrain from requiring an inmate to use any informal grievance process, or to otherwise attempt to resolve with staff, an alleged incident of sexual abuse? (N/A if agency is exempt from this standard.) Yes No NA

115.52 (c)

- Does the agency ensure that: An inmate who alleges sexual abuse may submit a grievance without submitting it to a staff member who is the subject of the complaint? (N/A if agency is exempt from this standard.) Yes No NA
- Does the agency ensure that: Such grievance is not referred to a staff member who is the subject of the complaint? (N/A if agency is exempt from this standard.) Yes No NA

115.52 (d)

- Does the agency issue a final agency decision on the merits of any portion of a grievance alleging sexual abuse within 90 days of the initial filing of the grievance? (Computation of the 90-day time period does not include time consumed by inmates in preparing any administrative appeal.) (N/A if agency is exempt from this standard.) Yes No NA
- If the agency claims the maximum allowable extension of time to respond of up to 70 days per 115.52(d)(3) when the normal time period for response is insufficient to make an appropriate decision, does the agency notify the inmate in writing of any such extension and provide a date by which a decision will be made? (N/A if agency is exempt from this standard.) Yes No NA
- At any level of the administrative process, including the final level, if the inmate does not receive a response within the time allotted for reply, including any properly noticed extension, may an inmate consider the absence of a response to be a denial at that level? (N/A if agency is exempt from this standard.) Yes No NA

115.52 (e)

- Are third parties, including fellow inmates, staff members, family members, attorneys, and outside advocates, permitted to assist inmates in filing requests for administrative remedies relating to allegations of sexual abuse? (N/A if agency is exempt from this standard.) Yes
 No NA
- Are those third parties also permitted to file such requests on behalf of inmates? (If a third-party files such a request on behalf of an inmate, the facility may require as a condition of processing the request that the alleged victim agree to have the request filed on his or her behalf, and may also require the alleged victim to personally pursue any subsequent steps in the administrative remedy process.) (N/A if agency is exempt from this standard.) Yes No NA
- If the inmate declines to have the request processed on his or her behalf, does the agency document the inmate's decision? (N/A if agency is exempt from this standard.) Yes No NA

115.52 (f)

- Has the agency established procedures for the filing of an emergency grievance alleging that an inmate is subject to a substantial risk of imminent sexual abuse? (N/A if agency is exempt from this standard.) Yes No NA
- After receiving an emergency grievance alleging an inmate is subject to a substantial risk of imminent sexual abuse, does the agency immediately forward the grievance (or any portion thereof that alleges the substantial risk of imminent sexual abuse) to a level of review at which immediate corrective action may be taken? (N/A if agency is exempt from this standard.) Yes No NA
- After receiving an emergency grievance described above, does the agency provide an initial response within 48 hours? (N/A if agency is exempt from this standard.) Yes No NA
- After receiving an emergency grievance described above, does the agency issue a final agency decision within 5 calendar days? (N/A if agency is exempt from this standard.) Yes No NA
- Does the initial response and final agency decision document the agency's determination whether the inmate is in substantial risk of imminent sexual abuse? (N/A if agency is exempt from this standard.) Yes No NA
- Does the initial response document the agency's action(s) taken in response to the emergency grievance? (N/A if agency is exempt from this standard.) Yes No NA
- Does the agency's final decision document the agency's action(s) taken in response to the emergency grievance? (N/A if agency is exempt from this standard.) Yes No NA

115.52 (g)

- If the agency disciplines an inmate for filing a grievance related to alleged sexual abuse, does it do so ONLY where the agency demonstrates that the inmate filed the grievance in bad faith? (N/A if agency is exempt from this standard.) Yes No NA

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. TDCJ Inmate Brochure
 2. LFC Statement of Fact: Facility has not filed for a PREA Investigation Extension
 3. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A, B1, B3, D1, E1, E2, F2, F1, G) –August 1, 2017
 4. Pre-Audit Questionnaire/Adult Prisons & Jails
 5. Interviews:
 - a. Facility PREA Compliance Manager
 - b. Inmate Who Reported Sexual Abuse
- A.** The facility has an administrative process to address inmate grievances. However, if an inmate uses the grievance process, the grievance coordinator immediately submits the grievance to PREA investigations. Thus, ending the grievance process and beginning the PREA investigation process.
- B.** The facility does not impose a time limit on when an inmate may submit a grievance regarding an allegation of sexual abuse. An inmate can submit a grievance at any time regardless of when the incident is alleged to have occurred. The agency has timelines on other portion of the grievance process that does not relate to sexual abuse. However, the agency does not require inmates to file informal grievances or attempt to resolve alleged incident of sexual abuse with the staff member.
- C.** The facility has a process in place for inmates who allege sexual abuse to submit a grievance without submitting it to the staff member who is involved in the complaint, or referred to a staff member who is the subject of the complaint.
- D.** When a staff received a grievance that is PREA related it is immediately report to the PREA investigator. This ends the grievance process and begins the investigation process. However, if

the grievance process moves forward, the facility issues a final decision on the merits of any portion of allegations within 90 days of the initial filing.

The facility will claim an extension of time to respond, of up to 70 days, if the normal time period for response is insufficient to make an appropriate decision.

- E.** According to interviews, third parties, including fellow inmates, staff members, family members, attorneys, and outside advocates, are permitted to assist inmate in filing requests for administrative remedies relating to allegations of sexual abuse, and also permitted to file requests on behalf of inmates.

If a third-party file a request on behalf of an inmate, the facility will require as a condition of processing the request that the alleged victim agree to have the request filed on his or her behalf, and may also require the alleged victim to personally pursue any subsequent steps in the administrative remedy process. If the inmate declines to have the request processed on his/her behalf, the facility documents the inmate's decision.

- F.** The facility has established procedures for filing emergency grievances alleging that an inmate is subject to a substantial risk of imminent sexual abuse.

According to interviews, when the facility receives an emergency grievance alleging an inmate is at substantial risk of imminent sexual abuse, the staff immediately forwards the grievance for investigations.

- G.** Inmate's documentation indicated that the facility may discipline an Inmate for filing a grievance related to alleged sexual abuse when the Inmate filed the grievance in bad faith.

A review of the Pre-Audit Questionnaire Adult Prisons & Jails and confirmed by staff interview:

- In the past 12 months, the number of grievances filed that alleged sexual abuse reported was 0.
- In the past 12 months, the number of grievances alleging sexual abuse that reached final decision within 90 days after being filed reported was 0.
- The number of grievances alleging sexual abuse filed by inmates in the past 12 months in which the inmate declined third-party assistance, containing documentation of the inmate's decision to decline reported was 0.
- The number of emergency grievances alleging substantial risk of imminent sexual abuse that was filed in the past 12 months reported was 0.

- The number of grievances alleging substantial risk of imminent sexual abuse filed in the past 12 months that reached final decisions within five days reported was 0.
- In the past 12 months, the number of inmate grievances alleging sexual abuse that resulted in disciplinary action by the agency against the inmate for having filed the grievance in bad faith reported was 0.

Interview Results:

- o One (1) inmate reported sexual harassment while housed at Lockhart Correctional Facility. She reported that she was told the results of the investigation and stated that the staff “resigned.”

Standard 115.53: Inmate access to outside confidential support services

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.53 (a)

- Does the facility provide inmates with access to outside victim advocates for emotional support services related to sexual abuse by giving inmates mailing addresses and telephone numbers, including toll-free hotline numbers where available, of local, State, or national victim advocacy or rape crisis organizations? Yes No
- Does the facility provide persons detained solely for civil immigration purposes mailing addresses and telephone numbers, including toll-free hotline numbers where available of local, State, or national immigrant services agencies? Yes No
- Does the facility enable reasonable communication between inmates and these organizations and agencies, in as confidential a manner as possible? Yes No

115.53 (b)

- Does the facility inform inmates, prior to giving them access, of the extent to which such communications will be monitored and the extent to which reports of abuse will be forwarded to authorities in accordance with mandatory reporting laws? Yes No

115.53 (c)

- Does the agency maintain or attempt to enter into memoranda of understanding or other agreements with community service providers that are able to provide inmates with confidential emotional support services related to sexual abuse? Yes No
- Does the agency maintain copies of agreements or documentation showing attempts to enter into such agreements? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. TDCJ Texas Legislature Zero Tolerance (English & Spanish)
2. TDCJ PREA Ombudsman Office Brochure
3. HCWC Sexual Assault and Abuse Services
4. TDCJ Statement of Fact: Memoranda of Understanding with Hays-Caldwell Woman's Center
5. LCF Agreement: Hays-Caldwell Women's Center Working Agreement with LCF
6. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1, B1-2, C1,2,4)–August 1, 2017
7. Pre-Audit Questionnaire/Adult Prisons & Jails
8. Inmate Handbook English (B1)
9. Inmate Handbook Spanish (B1)
10. PREA Poster English (A1)
11. PREA Poster Spanish (A1)
12. Interviews:
 - a. Facility PREA Compliance Manager
 - b. Random Inmates
 - c. Inmate Who Reported Sexual Abuse

- A.** The LCF provides inmates with access to outside victim advocates for emotional support services related to sexual abuse by giving inmates the mailing address to the Rape Crisis Center. An interview with the Facility PREA Compliance Manager indicated that the LCF is a private contract facility tasked with the obligation to house adult female inmates.
- B.** The LCF informs inmates prior to them communicating with outside organizations that phone calls may be monitored and that reports of sexual abuse or sexual violence will be forwarded to authorities by mandatory reporting laws. Inmates receive this information in their Admission and Orientation Booklet. However, inmate interviews indicated concerns about not being able to report outside the facility confidentially on the phone without being recorded.

- C. The facility maintains memoranda of understanding (MOU) or other agreements with community providers that are able to provide inmates with emotional support services related to sexual abuse.

Interview Results:

- Eighty percent (80%) of the inmates reported being aware of services available to deal with sexual abuse outside of the facility if needed. After probing they could recall seeing information in about counseling or victim services but could not specifically state what or when to access victim advocacy or emotional supportive services.
- A review and upon observation, the resident handbook provided mailing addresses and telephone numbers for outside victim advocacy and support, the local rape crisis center, and immigrant services. The handbook format clearly delineated how the inmates could access outside supportive services in a confidential manner.
- All of the inmates reported having open access to the PREA number. Several inmates expressed concern that they do not know if the calls are private and confidential.
- No interviewed inmate reported being sexually abused while at the facility.

Standard 115.54: Third-party reporting

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.54 (a)

- Has the agency established a method to receive third-party reports of sexual abuse and sexual harassment? Yes No
- Has the agency distributed publicly information on how to report sexual abuse and sexual harassment on behalf of an inmate? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. TDCJ Texas Board of Criminal Justice PREA Ombudsman
 2. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1, A2) - August 1, 2017
 3. Pre-Audit Questionnaire/Adult Prisons & Jails
 4. PREA Poster English (A2)
 5. MTC PREA Website
 6. Interviews:
 - a. Facility PREA Compliance Manager
- A.** Lockhart Correctional Facility (LCF) uses the MTC website page as their method of third-party reporting of sexual abuse and sexual harassment. The public is made aware through a visitor's information package.
- B.** Third party information is being provided to all visitors regarding their family members that are incarcerated at Lockhart Correctional Center by an agency website. If at any time an inmate makes an allegation of being a victim of a sexual assault or sexual harassment and does not feel comfortable telling, writing, or using the posted hotline, the family member can make an official report on the inmate's behalf by contacting assigned staff. All sexual abuse or sexual harassment reports are done discreetly to not compromise the offender.

OFFICIAL RESPONSE FOLLOWING AN INMATE REPORT

Standard 115.61: Staff and agency reporting duties

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.61 (a)

- Does the agency require all staff to report immediately and according to agency policy any knowledge, suspicion, or information regarding an incident of sexual abuse or sexual harassment that occurred in a facility, whether or not it is part of the agency? Yes No
- Does the agency require all staff to report immediately and according to agency policy any knowledge, suspicion, or information regarding retaliation against inmates or staff who reported an incident of sexual abuse or sexual harassment? Yes No
- Does the agency require all staff to report immediately and according to agency policy any knowledge, suspicion, or information regarding any staff neglect or violation of responsibilities

that may have contributed to an incident of sexual abuse or sexual harassment or retaliation?
 Yes No

115.61 (b)

- Apart from reporting to designated supervisors or officials, does staff always refrain from revealing any information related to a sexual abuse report to anyone other than to the extent necessary, as specified in agency policy, to make treatment, investigation, and other security and management decisions? Yes No

115.61 (c)

- Unless otherwise precluded by Federal, State, or local law, are medical and mental health practitioners required to report sexual abuse pursuant to paragraph (a) of this section? Yes No
- Are medical and mental health practitioners required to inform inmates of the practitioner's duty to report, and the limitations of confidentiality, at the initiation of services? Yes No

115.61 (d)

- If the alleged victim is under the age of 18 or considered a vulnerable adult under a State or local vulnerable persons statute, does the agency report the allegation to the designated State or local services agency under applicable mandatory reporting laws? Yes No

115.61 (e)

- Does the facility report all allegations of sexual abuse and sexual harassment, including third-party and anonymous reports, to the facility's designated investigators? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1, A2, A3, B1) –August 1, 2017
 2. Pre-Audit Questionnaire/Adult Prisons & Jails
 3. Interviews:
 - a. Agency PREA Coordinator
 - b. Warden
 - c. Facility PREA Compliance Manager
 - d. Medical Staff
 - e. Mental Health Staff
 - f. Random Staff (Officers)
- A.** Policy requires staff to report immediately any knowledge, suspicion, or information regarding an incident of sexual abuse or sexual harassment that occurred in a facility, whether it is part of the agency; retaliation against inmates or staff who reported the incident; as well as staff neglect or violation of responsibilities that contributed to the incident or retaliation. This policy information was confirmed by staff interviews.
- B.** When sexual abuse incidents occur at LCF, staff interviews indicated that the facility would report all allegations of sexual abuse and sexual harassment, including third-party and anonymous reports, initially to the facility’s designated investigators. Apart from reporting to designated supervisors or officials and designated state or local services agencies, policy prohibits staff from revealing any information related to a sexual abuse report to anyone other than to the extent necessary to make treatment, investigation, and other security and management decisions.
- C.** The staff at Lockhart Correctional Facility understands that they are required to report sexual abuse and to inform inmates of practitioner’s duty to report and the limitations of confidentiality when services are provided.
- D.** The facility does not house youthful inmates under the age of 18; however, if they did house a youthful inmate and vulnerable adults, they would report the allegation to the designated State or local services agency under applicable mandatory reporting laws.
- E.** Interview with the PREA Compliance Manager indicated that the facility staff reports all allegations of sexual abuse and sexual harassment, including third party and anonymous reports to the facility PREA Investigator.

Interview Results:

- The Agency PREA Coordinator indicated that, although MTC does not confine persons under the age of 18, if an allegation of sexual abuse or sexual harassment is made by someone considered to be a vulnerable adult under state or local law, or perceived to be a vulnerable adult, we would report the allegation to the designated State or

local services agency and investigative authority under applicable mandatory reporting laws.

- One hundred percent (100%) of the staff interviewed reported being aware of the agencies procedure for reporting any information related to an inmate sexual abuse. Interviewed staff could clearly articulate the necessity to report any incident or alleged incident of sexual abuse or harassment immediately. They are aware of various methods of reporting in writing or verbally to include but not limited to; reporting to shift supervisor and/or PREA compliance manager.
- The interviewed medical and mental health staff reported that the inmates are provided information at the initiation of services regarding the limitations of confidentiality and their duty to report. It was also reported that the inmates are required to sign a consent form. The interviewed medical and mental health staff reported that they are required to report any knowledge, suspicion, or information regarding an incident of sexual abuse or sexual harassment. The reports are made to the immediate supervisor and the PREA compliance manager. Both interviewed medical and mental health staff stated that they have made reports of allegations of sexual abuse or sexual harassment.
- Interview with the Warden indicated that all allegations of sexual abuse and sexual harassment to include third party and anonymous sources are reported directly to the Facility Investigators and the Office of Investigations.

Standard 115.62: Agency protection duties

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.62 (a)

- When the agency learns that an inmate is subject to a substantial risk of imminent sexual abuse, does it take immediate action to protect the inmate? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Supporting Documents, Interviews and Observations:

1. LCF Statement of Fact: Facility has not learned of an offender that is subject to substantial risk of imminent sexual abuse
2. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A2) –August 1, 2017
3. Pre-Audit Questionnaire/Adult Prisons & Jails
4. Interviews:
 - a. Agency Head
 - b. Warden
 - c. Facility PREA Compliance Manager
 - d. Random Staff (Officers)

- A.** When LCF learns that an inmate is at substantial risk of imminent sexual abuse, it takes immediate action by offering the inmate the opportunity to move to special housing or protective custody until the matter is resolved.

A review of the Pre-Audit Questionnaire Adult Prisons & Jails and confirmed by staff interviews:

- In the past 12 months, the number of times the agency or facility determined that an inmate was subject to a substantial risk of imminent sexual abuse reported was 0.

Interview Results:

- The Agency Head indicated when MTC learns that an inmate is subject to a substantial risk of imminent sexual abuse, MTC requires the facility to take immediate actions to protect the inmate (i.e., it takes some action to assess appropriate protective measures without unreasonable delay). Efforts will be made to:
 - At least temporarily, separate the inmate who is reportedly subject to a substantial risk of imminent sexual abuse from the general population,
 - Notify supervisory staff in a confidential manner,
 - Document observation and information, and
 - Investigate the nature and scope of risk to the offender, taking action consistent with the facts derived and customer agency policy.
- One Hundred percent (100%) interviewed staff could articulate the response process if an inmate is at risk of imminent sexual abuse. The staff reported that action is taken immediately to address an inmate who is at risk of sexual abuse by privately talking to the

person who may be at risk, immediately notifying the supervisor and separate the victim and perpetrator. Separation may include moving someone to a different unit or placing the victim in a room closer to the shift office. All the staff reported that information would only be shared with necessary parties. More specifically, staff described not sharing information with other inmates or unnecessary staff. Also note that, the staff are given cards to keep with them at all times, that outlines to process if an inmate is at risk of imminent sexual abuse.

- Interview with the Warden indicated that when they learn that an inmate is subject to a substantial risk of imminent sexual abuse, the inmate maybe protected by moving to another housing unit or transferring the abuser.

Standard 115.63: Reporting to other confinement facilities

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.63 (a)

- Upon receiving an allegation that an inmate was sexually abused while confined at another facility, does the head of the facility that received the allegation notify the head of the facility or appropriate office of the agency where the alleged abuse occurred? Yes No

115.63 (b)

- Is such notification provided as soon as possible, but no later than 72 hours after receiving the allegation? Yes No

115.63 (c)

- Does the agency document that it has provided such notification? Yes No

115.63 (d)

- Does the facility head or agency office that receives such notification ensure that the allegation is investigated in accordance with these standards? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. LCF Statement of Fact: The facility has not sent an allegation that an offender was sexually abused while confined.
2. LCF Statement of Fact: Has not received an allegation that an offender was sexually abused while confined at another facility.
3. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1, B1, C1, D1) –August 1, 2017
4. Pre-Audit Questionnaire/Adult Prisons & Jails
5. Interviews:
 - a. Agency Head
 - b. Warden
 - c. Facility PREA Compliance Manager

- A.** LCF has not received an allegation that an inmate was sexually abused while confined at another facility. Per staff interviews, the facility will notify the head of the facility or appropriate office of the agency where the alleged abuse occurred. Policy requires the Warden or designated staff to provide notification to the other facility head as soon as possible but always in 72 hours after receiving the allegation with documentation of reporting.

The facility provided a process that they would use if an inmate alleged sexual assault or sexual harassment at another facility.

A review of the Pre-Audit Questionnaire Adult Prisons & Jails and confirmed by staff interviews:

- During the past 12 months, the number of allegations the facility received that an inmate was abused while confined at another facility was 0.

- B.** Staff interviews indicated that when receiving allegations reported from other facilities, they would complete an incident report and send for investigations.

A review of the Pre-Audit Questionnaire Adult Prisons & Jails and confirmed by staff interviews:

- During the past 12 months, the number of allegations of sexual abuse the facility received from other facilities was 0.

Interview Results:

- The Agency Head indicated that the facility head/warden is the designated point of contact in accordance with MTC policy 903E.02.
- The Agency Head indicated that the facility ensures that the allegation is investigated in accordance with MTC and State policy. There are no examples of such allegations being reported from another facility or agency.
- Interview with the Warden indicated when and if the facility receives an allegation from another facility or agency that an incident of sexual abuse or sexual harassment occurred at their facility involving staff, they would put that staff on no-contact. If it involves an inmate, they will monitor that inmate until the investigation is completed.

Standard 115.64: Staff first responder duties

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.64 (a)

- Upon learning of an allegation that an inmate was sexually abused, is the first security staff member to respond to the report required to: Separate the alleged victim and abuser? Yes No
- Upon learning of an allegation that an inmate was sexually abused, is the first security staff member to respond to the report required to: Preserve and protect any crime scene until appropriate steps can be taken to collect any evidence? Yes No
- Upon learning of an allegation that an inmate was sexually abused, is the first security staff member to respond to the report required to: Request that the alleged victim not take any actions that could destroy physical evidence, including, as appropriate, washing, brushing teeth, changing clothes, urinating, defecating, smoking, drinking, or eating, if the abuse occurred within a time period that still allows for the collection of physical evidence? Yes No
- Upon learning of an allegation that an inmate was sexually abused, is the first security staff member to respond to the report required to: Ensure that the alleged abuser does not take any actions that could destroy physical evidence, including, as appropriate, washing, brushing teeth, changing clothes, urinating, defecating, smoking, drinking, or eating, if the abuse occurred within a time period that still allows for the collection of physical evidence? Yes No

115.64 (b)

- If the first staff responder is not a security staff member, is the responder required to request that the alleged victim not take any actions that could destroy physical evidence, and then notify security staff? Yes No

Auditor Overall Compliance Determination

Exceeds Standard (*Substantially exceeds requirement of standards*)

- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Supporting Documents, Interviews and Observations:

1. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1, B1) –August 1, 2017
2. Pre-Audit Questionnaire/Adult Prisons & Jails
3. Interviews:
 - a. Security Staff Who Have Acted as First Responder
 - b. Non-Security Staff Who Acted as First Responder
 - c. Inmate Who Reported Sexual Abuse

- A.** Interviews with staff and staff training indicated when staff learn of an allegation that an inmate is sexually abused, the first security staff to respond separates the victim and abuser; preserves and protects the crime scene; and if the incident occurred within the appropriate period for the collection of physical evidence, they will request that the alleged victim not take actions that could destroy physical evidence, to include washing, brushing teeth, changing clothes, urinating, defecating, smoking, drinking, or eating.
- B.** According to non-security staff, if they are the first responder, they will request that the alleged victim not take any actions that could destroy physical evidence, and notify security staff.

A review of the Pre-Audit Questionnaire Adult Prisons & Jails and confirmed by staff interviews:

- In the past 12 months, the number of allegations that an inmate was sexually abused was 0.
- Of these allegations, the number of times the first security staff member to respond to the report separated the alleged victim and abuser was 0.
- In the past 12 months, the number of allegations where staff was notified within a period that still allowed for the collection of physical evidence was 0.

- Of the allegations that an inmate was sexually abused made in the past 12 months, the number of times non-security staff member was the first responder was 0.

Interview Results:

- The first responder staff that were interviewed, were able to describe the actions they would take as a first responder. Such actions included but was not limited to: separating the victim and perpetrator, place on segregation, report immediately to the supervisor, take to medical for a healthcare assessment, encourage the inmate not to shower or brush teeth, place “suspect” in isolation so they won’t contaminate the scene, secure the crime scene, and bag and tag evidence. When probed one of the first responders could not clearly articulate or was not aware of the process to collect evidence.
- One (1) inmate disclosed that they have reported to authorities, either in person that they had been sexually harassed while at the facility. She reported that the staff responded met with her the same day she reported and began an investigation with the “next few days.”

Standard 115.65: Coordinated response

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.65 (a)

- Has the facility developed a written institutional plan to coordinate actions among staff first responders, medical and mental health practitioners, investigators, and facility leadership taken in response to an incident of sexual abuse? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor’s analysis and reasoning, and the auditor’s conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. TDCJ Sexual Abuse Response and Investigation
2. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1) –August 1, 2017
3. Pre-Audit Questionnaire/Adult Prisons & Jails
4. Interviews:
 - a. Warden
 - b. Facility PREA Compliance Manager

- A. The facility policy response protocol provided guidelines for staff a written plan to coordinate actions taken in response to an incident of sexual abuse, among staff were first responders, medical and mental health practitioners, investigators, and facility leadership. The MTC Institutional Policy gives details for the Inmate Sexual Abuse Coordinated Response Plan.

Interview Results:

- Warden interview indicated that the MTC policy requires a written plan to coordinate actions taken in response to an incident of sexual abuse.

Standard 115.66: Preservation of ability to protect inmates from contact with abusers

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.66 (a)

- Are both the agency and any other governmental entities responsible for collective bargaining on the agency's behalf prohibited from entering into or renewing any collective bargaining agreement or other agreement that limits the agency's ability to remove alleged staff sexual abusers from contact with any inmates pending the outcome of an investigation or of a determination of whether and to what extent discipline is warranted? Yes No

115.66 (b)

- Auditor is not required to audit this provision.

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. LCF Statement of Fact: Facility does not have the authority to collectively bargain on the agency's behalf.
 2. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons – August 1, 2017
 3. Pre-Audit Questionnaire/Adult Prisons & Jails
 4. Interviews:
 - a. Agency Head
 - b. Warden
 - c. Facility PREA Compliance Manager
- A.** Staff interviews and documentation indicated that LCF current relationship with union or collective bargaining agreements do not limit LCF ability to remove alleged staff sexual abusers from contact with inmates.
- B.** Because there is no collective bargaining agreement, the conduct of the disciplinary process is not affected and investigation information will not be expunged from or retained in the staff member's personnel file following a determination that the allegation of sexual abuse is not substantiated.

Interview Results:

- The Agency Head confirmed that two (2) of the 25 correctional facilities has an existing collective bargaining agreement (CBA) with the Federal Contract Guards of America International Union (FCGOA). However, this facility is not under the collective bargaining agreement or union.
- The Agency Head indicated yes that MTC can verify that the CBA permits the agency, via MTC, to remove alleged staff sexual abusers from contact with any inmates pending an investigation or a determination of whether and to what extent discipline is warranted. There were and are no provisions in the CBA which limits the Management's Right clause specifically to management's right of removal of an employee from contact with inmates.

- Interview with the Warden and Facility PREA Compliance Manager indicated that the LCF does not belong to a union.

Standard 115.67: Agency protection against retaliation

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.67 (a)

- Has the agency established a policy to protect all inmates and staff who report sexual abuse or sexual harassment or cooperate with sexual abuse or sexual harassment investigations from retaliation by other inmates or staff? Yes No
- Has the agency designated which staff members or departments are charged with monitoring retaliation? Yes No

115.67 (b)

- Does the agency employ multiple protection measures, such as housing changes or transfers for inmate victims or abusers, removal of alleged staff or inmate abusers from contact with victims, and emotional support services for inmates or staff who fear retaliation for reporting sexual abuse or sexual harassment or for cooperating with investigations? Yes No

115.67 (c)

- Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor the conduct and treatment of inmates or staff who reported the sexual abuse to see if there are changes that may suggest possible retaliation by inmates or staff? Yes No
- Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor the conduct and treatment of inmates who were reported to have suffered sexual abuse to see if there are changes that may suggest possible retaliation by inmates or staff? Yes No
- Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Act promptly to remedy any such retaliation? Yes No
- Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor any inmate disciplinary reports? Yes No
- Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor inmate housing changes? Yes No
- Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor inmate program changes? Yes No

- Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor negative performance reviews of staff? Yes No
- Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor reassignments of staff? Yes No
- Does the agency continue such monitoring beyond 90 days if the initial monitoring indicates a continuing need? Yes No

115.67 (d)

- In the case of inmates, does such monitoring also include periodic status checks? Yes No

115.67 (e)

- If any other individual who cooperates with an investigation expresses a fear of retaliation, does the agency take appropriate measures to protect that individual against retaliation? Yes No

115.67 (f)

- Auditor is not required to audit this provision.

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1, A2) –August 1, 2017
2. MTC Policy - Rules of Conduct
3. MTC Annual Report
 - a. MTC Offender Data System
 - b. Demographics of MTC Operated Facilities

- c. Summary of Facilities Reports
- d. Agency Progress Assessment
- e. MTC Offender Data System (ODS) Generated Automated Emails
- 4. MTC Automatic Email: Protect inmates and/or staff from retaliation for least 90 days.
- 5. Pre-Audit Questionnaire/Adult Prisons & Jails
- 6. Interviews:
 - a. Agency Head
 - b. Warden
 - c. Facility PREA Compliance Manager
 - d. Designated Staff Member Charged with Monitoring Retaliation
 - e. Inmates Placed in Segregated Housing

- A.** MTC prohibits retaliatory behavior by inmates or staff in regards to the reporting of sexual abuse, sexual harassment or cooperation with investigators as it relates PREA related incidents and allegations. Inmate's rights documentation and staff policy establish expected conduct. The facility PREA Compliance Manager is responsible for monitoring retaliation along with supervisors to monitor inmates as it relates to PREA allegations and incidents.
- B.** The facility has several protection and reporting measures, for inmates. They can utilize the Grievance Program to document retaliatory acts or other PREA related concerns and issues. The process is overseen by the facility PREA Compliance Manager who works in concert with the facility administrators and investigators to ensure privacy and policy compliance. The facility has the option to change inmate housing or transfer inmate victims or abusers, removal of alleged staff or inmate abusers from contact with victims, and emotional support services for inmates or staff who fear retaliation for reporting sexual abuse or sexual harassment or for cooperating with investigations.

The facility reported that there is no retaliation for this audit reporting period. However, if the facility were to have issues with retaliation, the policy will guide them on this standard. For example, for at least 90 days following a report of sexual abuse, the facility monitors the conduct and treatment of inmates or staff who reported the sexual abuse; and of inmates who were reported to have suffered sexual abuse to see if there are changes that may suggest possible retaliation by inmates or staff; and act promptly to remedy any retaliation. Items the facility should monitor include inmate disciplinary reports, housing, or program changes, or negative performance reviews or reassignments of staff. The facility continues monitoring beyond 90 days if the initial monitoring indicates a continuing need.

MTC Offender Data System (ODS) Generated Automated Email: Email A – from ODS notifying the facility PREA Manager that a new PREA Allegation has been assigned for investigation making sure assigned staff implement actions which ensure the involved offender(s) and/or staff protected from retaliation. Also, any use of involuntary segregated housing for the inmate who alleged suffering sexual abuse shall only be used after an assessment determines there is

no available alternative means of separation from likely abusers. The reasons need to be documented within 24 hours of placement.

- a. Protect inmates and /or staff from retaliation for at least 90 days in accordance with standard 115.67 and MTC policy 903E.02.
- b. Document any use of involuntary segregated housing within 24 hours in accordance with standard 115.68, 115.43 and MTC policy 903E.02.

A review of the Pre-Audit Questionnaire Adult Prisons & Jails and confirmed by staff interviews:

- The number of times an incident of retaliation occurred in the past 12 months was 0.

Interview Results

- The Agency Head indicated that for all cases, both inmates and staff, MTC policy prohibits retaliation against those that allege sexual abuse or harassment. Staff violation of policy is subject to MTC's progressive disciplinary process. Inmate retaliation is subject to inmate disciplinary process. Placement in protective custody or restrictive housing pending investigation or pending transfer is used to protect the inmate after all other alternatives for protection have been considered.
- The Agency Head indicated that the initiate targeted monitoring techniques on both the informant and those inmates perceived as a threat. These could include: video and direct monitoring, listening to phone calls, reading mail, watching commissary spend, etc...
- Interviewed staff indicated that when preventing retaliation against inmates and staff who report sexual abuse or sexual harassment or who cooperate with sexual abuse or sexual harassment, investigations would change inmate housing or transfer an inmate, remove alleged abusers, and refer inmate to counseling for services. When preventing retaliation against staff, they would change the staff shift or change the staff work details.
- Interviewed staff indicated that they would monitor the inmate at least weekly. However, this process would end around 90 days.

Standard 115.68: Post-allegation protective custody

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.68 (a)

- Is any and all use of segregated housing to protect an inmate who is alleged to have suffered sexual abuse subject to the requirements of § 115.43? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observation:

1. LCF Statement of Fact: Facility has not placed any offenders in Post-allegation protective custody.
 2. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons – August 1, 2017
 3. Pre-Audit Questionnaire/Adult Prisons & Jails
 4. MTC Annual Report
 - a. MTC Offender Data System
 - b. Demographics of MTC Operated Facilities
 - c. Summary of Facilities Reports
 - d. Agency Progress Assessment
 - e. MTC Offender Data System (ODS) Generated Automated Emails
 - i. MTC Automatic Email: Protect inmates and/or staff from retaliation for least 90 days.
 - ii. MTC Automatic Email B
 - iii. MTC Automatic Email C
 - iv. MTC Automatic Email E
 5. PREA Audit: Pre-Audit Questionnaire/Adult Prisons & Jails
 6. MTC Automatic Email: Every 30 days, the facility shall afford each inmate a review to determine whether there is a continuing need for separation from the general population.
 7. Interviews:
 - a. Warden
 - b. Facility PREA Compliance Manager
 - c. Staff Who Supervise Inmate in Segregated Housing
 - d. Inmates Placed in Segregated Housing (None)
- A.** The facility's use of segregated housing to protect an inmate who is alleged to have suffered sexual abuse is based on the requirements of standard 115.43. Interviews and documentation reviewed at LCF indicated that inmates at high risk for sexual victimization are prohibited from

being placed in involuntary segregated housing unless an assessment of all available alternatives has been made and a determination has been made that there are no available alternative means of separation from likely abusers. Interviews also revealed that if an assessment cannot be immediately completed, the facility will hold the inmate in involuntary segregated housing for less than 24 hours while completing the assessment.

A review of the Pre-Audit Questionnaire Adult Prisons & Jails and confirmed by staff interviews:

- The number of inmates who alleged to have suffered sexual abuse who were held in involuntary segregated housing in the past 12 months for one to 24 hours awaiting completion of assessment was 0.
- The number of inmates who allege to have suffered sexual abuse who were assigned to involuntary segregated housing in the past 12 months for longer than 30 days while awaiting alternative placement was 0.
- From a review of inmates who allege to have suffered sexual abuse who were held in involuntary segregated housing in the past 12 months, the number of case files that include both a statement of the basis for facility's concern for the inmate's safety, and the reason or reasons why alternative means of separation could not be arranged was 0.

Interview Results

- Interviewed staff indicated that there were no inmates during the audit period that was placed in segregation for protection from sexual abuse or after having alleged sexual abuse; however, staff did understand that if an inmate was placed in segregation for protection they would ensure that the inmate received programs, privileges, and education and work opportunities.
- Interview with the Warden indicated that policy prohibits placing inmates at high risk for sexual victimization or who have alleged sexual abuse in involuntary segregated housing instead of other housing areas unless an assessment has determined there are no available alternative means of separation from potential abusers. It was also indicated that inmates at high risk for sexual victimization or who have alleged sexual abuse placed in involuntary segregated housing only until an alternative means of separation from likely abusers could be arranged.
- Interview with the Warden indicated that the facility management team conducts sexual abuse incident review team meetings. The team includes upper-level management and allow for input from line supervisors, investigator, medical and counseling staff. The team considers all requirements listed in the standard.

INVESTIGATIONS

Standard 115.71: Criminal and administrative agency investigations

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.71 (a)

- When the agency conducts its own investigations into allegations of sexual abuse and sexual harassment, does it do so promptly, thoroughly, and objectively? [N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations. See 115.21(a).] Yes No NA
- Does the agency conduct such investigations for all allegations, including third party and anonymous reports? [N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations. See 115.21(a).] Yes No NA

115.71 (b)

- Where sexual abuse is alleged, does the agency use investigators who have received specialized training in sexual abuse investigations as required by 115.34? Yes No

115.71 (c)

- Do investigators gather and preserve direct and circumstantial evidence, including any available physical and DNA evidence and any available electronic monitoring data? Yes No
- Do investigators interview alleged victims, suspected perpetrators, and witnesses? Yes No
- Do investigators review prior reports and complaints of sexual abuse involving the suspected perpetrator? Yes No

115.71 (d)

- When the quality of evidence appears to support criminal prosecution, does the agency conduct compelled interviews only after consulting with prosecutors as to whether compelled interviews may be an obstacle for subsequent criminal prosecution? Yes No

115.71 (e)

- Do agency investigators assess the credibility of an alleged victim, suspect, or witness on an individual basis and not on the basis of that individual's status as inmate or staff? Yes No
- Does the agency investigate allegations of sexual abuse without requiring an inmate who alleges sexual abuse to submit to a polygraph examination or other truth-telling device as a condition for proceeding? Yes No

115.71 (f)

- Do administrative investigations include an effort to determine whether staff actions or failures to act contributed to the abuse? Yes No
- Are administrative investigations documented in written reports that include a description of the physical evidence and testimonial evidence, the reasoning behind credibility assessments, and investigative facts and findings? Yes No

115.71 (g)

- Are criminal investigations documented in a written report that contains a thorough description of the physical, testimonial, and documentary evidence and attaches copies of all documentary evidence where feasible? Yes No

115.71 (h)

- Are all substantiated allegations of conduct that appears to be criminal referred for prosecution? Yes No

115.71 (i)

- Does the agency retain all written reports referenced in 115.71(f) and (g) for as long as the alleged abuser is incarcerated or employed by the agency, plus five years? Yes No

115.71 (j)

- Does the agency ensure that the departure of an alleged abuser or victim from the employment or control of the agency does not provide a basis for terminating an investigation? Yes No

115.71 (k)

- Auditor is not required to audit this provision.

115.71 (l)

- When an outside entity investigates sexual abuse, does the facility cooperate with outside investigators and endeavor to remain informed about the progress of the investigation? (N/A if an outside agency does not conduct administrative or criminal sexual abuse investigations. See 115.21(a).) Yes No NA

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's

conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (H1, I1, K1) –August 1, 2017
 2. MTC Annual Report
 - a. MTC Offender Data System
 - b. Demographics of MTC Operated Facilities
 - c. Summary of Facilities Reports
 - d. Agency Progress Assessment
 - e. MTC Offender Data System (ODS) Generated Automated Emails
 - i. MTC Automatic Email: Protect inmates and/or staff from retaliation for least 90 days.
 - ii. MTC Automatic Email B
 - iii. MTC Automatic Email C
 - iv. MTC Automatic Email E
 3. Pre-Audit Questionnaire/Adult Prisons & Jails
 4. Interviews:
 - a. Agency PREA Coordinator
 - b. Warden
 - c. Facility PREA Compliance Manager
 - d. Facility Investigator
 - e. Inmate Who Reported Sexual Abuse
- A.** Interviews with the Facility PREA Investigator indicated that when they conduct investigations into allegations of sexual abuse and sexual harassment, they do so promptly, thoroughly, and objectively for all allegations, including third-party and anonymous reports.
- B.** The LCF uses investigators who have received special training in sexual abuse investigations. The Facility PREA Investigator and Agency Investigators have completed the NIC online training.
- C.** Investigators gather and preserve direct and circumstantial evidence, including any available physical and DNA evidence and any available electronic monitoring data; interview alleged victims, suspected perpetrators, and witnesses; review prior complaints and reports of sexual abuse involving the suspected perpetrator. When a case has been substantiated allegations of conduct that appear to be criminal it is referred for prosecution and the facility consults with the prosecutor. Because an outside agency is investigating the facility cooperates and remains informed about the progress of the investigation.
- D.** Interviewed staff and completed investigation reports revealed that all PREA investigations, Administrative or Criminal, are documented in written format. Administrative investigations include an effort to determine whether staff actions or failures to act contributed to the abuse and documented description of the physical and testimonial evidence, and investigative facts

and findings. According to policy, the agency keeps these cases as long as the alleged abuser is incarcerated or employed by the agency, plus five years.

A review of the Pre-Audit Questionnaire Adult Prisons & Jails and confirmed by staff interviews:

- The number of substantiated allegations of conduct that appear to be criminal that were referred for prosecution since the last PREA audit was 0.

Interview Results:

- The Agency PREA Coordinator indicated that typically, once the investigation is referred and an investigation has been performed, the investigating authority reports the results of the investigation to the facility warden. If results are not obtained within a reasonable time, the investigating agency will be contacted by the facility personnel periodically until the results of the investigation are known.
- One (1) inmates reported sexual harassment while housed at Lockhart Correctional Facility. The inmates reported that they were not required to take a polygraph test.
- Interviewed staff indicated that the outside agency that investigates criminal sexual abuse keeps the facility informed of the progress of the investigation thru emails and the release of the final investigation report.
- Interviewed Investigator described that direct and circumstantial evidence gather in an investigation of an incident of sexual abuse consisted of collecting physical and DNA evidence, electronic monitoring data, interviews, and prior complaints and reports of sexual abuse.
- Interviewed Investigator indicated that when evidence is discovered that a prosecutable crime may have taken place; it is turned in for review then the prosecutor is consulted. According to the Investigator cases for prosecution are referred when there are substantiated allegations of conduct that appear to be criminal.
- Interviewed Investigator indicated when a staff alleged to have committed sexual abuse terminates employment prior to a completed investigation into the conduct; the investigator continues the investigation until completion.
- Interviewed Investigator indicated all investigations are documented. The documentation includes descriptions of physical, testimonial, and documentary evidence, as well as attached copies of documentary evidence.

Standard 115.72: Evidentiary standard for administrative investigations

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.72 (a)

- Is it true that the agency does not impose a standard higher than a preponderance of the evidence in determining whether allegations of sexual abuse or sexual harassment are substantiated? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1) –August 1, 2017
 2. Pre-Audit Questionnaire/Adult Prisons & Jails
 3. Interviews:
 - a. Warden
 - b. Facility PREA Compliance Manager
 - c. Facility Investigator
- A. The investigators impose no standard higher than a preponderance of the evidence in determining whether allegations of sexual abuse or sexual harassment are substantiated.

Interview Results:

- Interviewed Facility Investigators confirmed the standard to determine whether an allegation is substantiated is the preponderance of the evidence.
- Interviewed Warden and Facility PREA Compliance Manager confirmed the standard to determine whether an allegation is substantiated is the preponderance of the evidence.

Standard 115.73: Reporting to inmates

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.73 (a)

- Following an investigation into an inmate's allegation that he or she suffered sexual abuse in an agency facility, does the agency inform the inmate as to whether the allegation has been determined to be substantiated, unsubstantiated, or unfounded? Yes No

115.73 (b)

- If the agency did not conduct the investigation into an inmate's allegation of sexual abuse in an agency facility, does the agency request the relevant information from the investigative agency in order to inform the inmate? (N/A if the agency/facility is responsible for conducting administrative and criminal investigations.) Yes No NA

115.73 (c)

- Following an inmate's allegation that a staff member has committed sexual abuse against the inmate, unless the agency has determined that the allegation is unfounded, or unless the inmate has been released from custody, does the agency subsequently inform the inmate whenever: The staff member is no longer posted within the inmate's unit? Yes No
- Following an inmate's allegation that a staff member has committed sexual abuse against the inmate, unless the agency has determined that the allegation is unfounded, or unless the inmate has been released from custody, does the agency subsequently inform the inmate whenever: The staff member is no longer employed at the facility? Yes No
- Following an inmate's allegation that a staff member has committed sexual abuse against the inmate, unless the agency has determined that the allegation is unfounded, or unless the inmate has been released from custody, does the agency subsequently inform the inmate whenever: The agency learns that the staff member has been indicted on a charge related to sexual abuse in the facility? Yes No
- Following an inmate's allegation that a staff member has committed sexual abuse against the inmate, unless the agency has determined that the allegation is unfounded, or unless the inmate has been released from custody, does the agency subsequently inform the inmate whenever: The agency learns that the staff member has been convicted on a charge related to sexual abuse within the facility? Yes No

115.73 (d)

- Following an inmate's allegation that he or she has been sexually abused by another inmate, does the agency subsequently inform the alleged victim whenever: The agency learns that the alleged abuser has been indicted on a charge related to sexual abuse within the facility? Yes No
- Following an inmate's allegation that he or she has been sexually abused by another inmate, does the agency subsequently inform the alleged victim whenever: The agency learns that the alleged abuser has been convicted on a charge related to sexual abuse within the facility? Yes No

115.73 (e)

- Does the agency document all such notifications or attempted notifications? Yes No

115.73 (f)

- Auditor is not required to audit this provision.

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. TDCJ Offender Notification Brochure
 2. TDCJ Administrative Incident Reviews
 3. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1, B1, D1, E1) –August 1, 2017
 4. Pre-Audit Questionnaire/Adult Prisons & Jails
 5. MTC Annual Report
 - a. MTC Offender Data System
 - b. MTC Offender Data System (ODS) Generated Automated Emails
 - i. MTC Automatic Email: Inform the inmate and document the notification, as to whether the allegation has been determined to be substantiated, unsubstantiated, or unfounded (A, E)
 6. Interviews:
 - a. Warden
 - b. Facility PREA Compliance Manager
 - c. Facility Investigator
 - d. Inmate Who Reported Sexual Abuse
- A.** Policy 903.3.E.02 – Ensuring Safe Prisons, requires that following an investigation into an inmate's allegation that he suffered sexual abuse; a facility informs the inmate as to whether the allegation has been determined to be substantiated, unsubstantiated or unfounded. In those cases, in which the PREA Unit did not conduct the investigation, the relevant information will be requested from the investigative agency to inform the inmate. The facility obligation to an inmate terminates if the inmate is released from department's custody.

- B.** Following an inmate’s allegation that a staff member has committed sexual abuse against the inmate, the facility will subsequently notify the inmate (unless the allegation has been determined to be unfounded or unsubstantiated) when: 1) the staff member is no longer in the inmate’s housing unit; 2) the staff member is no longer employed at the facility; 3) the facility learns that the staff member has been arrested on a charge related to sexual abuse within the facility; or 4) the facility learns that the staff member has been convicted on a charge related to sexual abuse within the facility. All notifications are documented. The facility’s obligation to report under this standard terminates if the alleged victim is released from the department’s custody.

When LCF notifies inmates, it uses the Notification of Outcome of Investigation letter as its documentation located on the investigation paper work.

MTC Offender Data System (ODS) Generated Automated Emails: Email B – from ODS notifying the facility PREA Manager that a determination has been made on a PREA investigation and the specific action which is required:

- a. Reassess the inmate’s risk of victimization or abusiveness based upon information from the investigation. 114.41.
- b. For substantiated or unsubstantiated sexual abuse allegations, initiate a Sexual Abuse incident Review within 30 days of determination. 115.86
- c. Inform the inmate and document the notification, as to whether the allegation has been determined to be substantiated, unsubstantiated, or unfounded. 115.73

Email C – from ODS notifying the facility HR Manager that a determination has been made on a PREA investigation and the specific action which is required.

- d. Follow standards and policy related to disciplinary sanctions for staff as detailed below (115.76).
- e. Follow standards and policy related to hiring and promotion decisions as detailed below (115.17).
- f. Inform the inmate and document the notification, consistent with standards 115.73, unless the allegation, following an investigation, was unfounded. (This can be performed by the PREA Manager depending on facility direction).

Email E – from ODS notifying the PREA Manager to contact the investigative agency to obtain the results of the PREA case identified below. (115.73).

- g. Contact investigative agency and document status.

A review of the Pre-Audit Questionnaire Adult Prisons & Jails and confirmed by staff interviews:

- The number of criminal and administrative investigations of alleged inmate sexual abuse that were completed by the agency/facility in the past 12 months was 3.
- Of the alleged sexual abuse investigations that were completed in the past 12 months, the number of inmates who were notified, verbally or in writing, of the results of the investigation was 0.
- The number of investigations of alleged inmate sexual abuse in the facility that were completed by an outside agency in the past 12 months was 0.
- Of the outside agency investigations of alleged sexual abuse that were completed in the past 12 months, the number of inmates alleging sexual abuse in the facility who were notified verbally or in writing of the results of the investigation was 0.

Interview Results

- One (1) inmates reported sexual harassment while housed at Lockhart Correctional Facility. She reported that she was told the results of the investigation and that shortly after the investigation started the staff resigned.
- Interview with Warden indicated that the facility will notify inmates who make an allegation of sexual abuse when the allegation has been determined to be substantiated, unsubstantiated, or unfounded following an investigation.
- Interviewed Investigator indicated that an inmate who makes an allegation of sexual abuse must be informed as to the whether the allegation has been determined to be substantiated, unsubstantiated, or unfounded following an investigation. The information is shared with the facility to inform the inmate.
- Interviewed staff and documentation indicated that LCF had no staff member removed from their post or/and terminated due to an allegation or investigation of sexual abuse within the past year. No staff members have been indicated or convicted of a charge related to sexual abuse within the facility within the past year.

DISCIPLINE

Standard 115.76: Disciplinary sanctions for staff

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.76 (a)

- Are staff subject to disciplinary sanctions up to and including termination for violating agency sexual abuse or sexual harassment policies? Yes No

115.76 (b)

- Is termination the presumptive disciplinary sanction for staff who have engaged in sexual abuse? Yes No

115.76 (c)

- Are disciplinary sanctions for violations of agency policies relating to sexual abuse or sexual harassment (other than actually engaging in sexual abuse) commensurate with the nature and circumstances of the acts committed, the staff member's disciplinary history, and the sanctions imposed for comparable offenses by other staff with similar histories? Yes No

115.76 (d)

- Are all terminations for violations of agency sexual abuse or sexual harassment policies, or resignations by staff who would have been terminated if not for their resignation, reported to: Law enforcement agencies (unless the activity was clearly not criminal)? Yes No
- Are all terminations for violations of agency sexual abuse or sexual harassment policies, or resignations by staff who would have been terminated if not for their resignation, reported to: Relevant licensing bodies? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Supporting Documents, Interviews and Observations:

1. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (B1, C1, D1) –August 1, 2017
2. Pre-Audit Questionnaire/Adult Prisons & Jails
3. MTC Policy 203.1 Rules of Conduct (A1)
4. MTC Employee Handbook – Rules of Conduct/Discipline (A1)
5. Interviews:
 - a. Warden
 - b. Facility PREA Compliance Manager

A. Policy 903.3.E.02 – Ensuring Safe Prisons, states that staff is subject to disciplinary sanctions up to and including termination for violating agency inmate sexual abuse and harassment policies. The directive indicates that termination is the presumptive disciplinary sanction for staff that has been found to have engaged in sexual abuse. All terminations for violations of agency inmate sexual abuse or harassment policies or resignations by staff that would have been terminated before their resignation, will be reported to law enforcement agencies, unless the activity was not criminal, and to any relevant licensing bodies.

Policy 903.3.E.02 – Ensuring Safe Prisons, identifies several offenses related to sexual abuse and inappropriate or undue familiarity with an inmate who is in the jurisdiction of the department for which dismissal is normally the sanction.

MTC Offender Data System (ODS) Generated Automated Email: Email C – from ODS notifying the facility HR Manager that a determination has been made on a PREA investigation and the specific action which is required.

- a. Follow standards and policy related to disciplinary sanctions for staff as detailed below (115.76).
- b. Follow standards and policy related to hiring and promotion decisions as detailed below (115.17).
- c. Inform the inmate and document the notification, consistent with standards 115.73, unless the allegation, following an investigation, was unfounded. (This can be performed by the PREA Manager depending on facility direction).

A review of the Pre-Audit Questionnaire Adult Prisons & Jails and confirmed by staff interviews:

- In the past 12 months, the number of staffs from the facility who has violated agency sexual abuse or sexual harassment policies was 0.
- In the past 12 months, the number of staffs from the facility who have been terminated (or resigned prior to termination) for violating agency sexual abuse or sexual harassment policies was 0.

- In the past 12 months, the number of staffs from the facility which has been disciplined, short of termination, for violation of agency sexual abuse or sexual harassment policies reported were 0.
- In the past 12 months, the number of staffs from the facility that has been reported to law enforcement or licensing boards following their termination (or resignation prior to termination) for violating agency sexual abuse or sexual harassment policies reported was 0.

Interview Results

- o Interviews with the Warden confirmed staff violating agency sexual abuse policies would be disciplined and that termination is the presumptive action and referral for prosecution where indicated.

Standard 115.77: Corrective action for contractors and volunteers

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.77 (a)

- Is any contractor or volunteer who engages in sexual abuse prohibited from contact with inmates? Yes No
- Is any contractor or volunteer who engages in sexual abuse reported to: Law enforcement agencies (unless the activity was clearly not criminal)? Yes No
- Is any contractor or volunteer who engages in sexual abuse reported to: Relevant licensing bodies? Yes No

115.77 (b)

- In the case of any other violation of agency sexual abuse or sexual harassment policies by a contractor or volunteer, does the facility take appropriate remedial measures, and consider whether to prohibit further contact with inmates? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. LCF Statement of Fact: Facility has had no Contractors or Volunteers that have violated the agency's sexual abuse or sexual harassment policies.
2. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1, A2, B1) –August 1, 2017
3. Pre-Audit Questionnaire/Adult Prisons & Jails
4. Interviews:
 - a. Warden
 - b. Facility PREA Compliance Manager

- A.** Policy 903.3.E.02 – Ensuring Safe Prisons, identifies sanctions for contractors, vendors, and volunteers who engage in sexual abuse will be prohibited from contact with inmates and will be reported to law enforcement agencies, unless the activity was not criminal, and to relevant licensing bodies. The facility will take appropriate remedial measures and will consider whether to prohibit further contact with inmates, in the case of any other violation of agency inmate sexual abuse or sexual harassment policies by a contractor or volunteer.

Volunteers and contractors are advised during their orientation that any contractor or a volunteer who engages in sexual abuse shall be prohibited from contact with inmates and will be reported to law enforcement agencies, unless the activity was not criminal, and to relevant licensing bodies. This information is provided in the Handbook provided to all contractors and volunteers.

A review of the Pre-Audit Questionnaire Adult Prisons & Jails and confirmed by staff interviews:

- In the 12 months, the number of contractors or volunteers reported to law enforcement for engaging in sexual abuse of inmates was 0.

Interview Results

- Interviewed Warden and Facility PREA Compliance Manager confirmed that contractors, vendors, and volunteers who engage in sexual abuse will be prohibited from contact with inmates and will be reported to law enforcement agencies.

Standard 115.78: Disciplinary sanctions for inmates

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.78 (a)

- Following an administrative finding that an inmate engaged in inmate-on-inmate sexual abuse, or following a criminal finding of guilt for inmate-on-inmate sexual abuse, are inmates subject to disciplinary sanctions pursuant to a formal disciplinary process? Yes No

115.78 (b)

- Are sanctions commensurate with the nature and circumstances of the abuse committed, the inmate's disciplinary history, and the sanctions imposed for comparable offenses by other inmates with similar histories? Yes No

115.78 (c)

- When determining what types of sanction, if any, should be imposed, does the disciplinary process consider whether an inmate's mental disabilities or mental illness contributed to his or her behavior? Yes No

115.78 (d)

- If the facility offers therapy, counseling, or other interventions designed to address and correct underlying reasons or motivations for the abuse, does the facility consider whether to require the offending inmate to participate in such interventions as a condition of access to programming and other benefits? Yes No

115.78 (e)

- Does the agency discipline an inmate for sexual contact with staff only upon a finding that the staff member did not consent to such contact? Yes No

115.78 (f)

- For the purpose of disciplinary action does a report of sexual abuse made in good faith based upon a reasonable belief that the alleged conduct occurred NOT constitute falsely reporting an incident or lying, even if an investigation does not establish evidence sufficient to substantiate the allegation? Yes No

115.78 (g)

- Does the agency always refrain from considering non-coercive sexual activity between inmates to be sexual abuse? (N/A if the agency does not prohibit all sexual activity between inmates.) Yes No NA

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)

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

Does Not Meet Standard (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. LCF Statement of Fact: Facility has had no disciplinary cases written for offender sexual conduct with staff.
 2. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1, D1-2, E1, F1, G1-2) –August 1, 2017
 3. Pre-Audit Questionnaire/Adult Prisons & Jails
 4. MTC Annual Report
 - a. MTC Offender Data System
 - b. Demographics of MTC Operated Facilities
 - c. Summary of Facilities Reports
 - d. Agency Progress Assessment
 - e. MTC Offender Data System (ODS) Generated Automated Emails
 - i. MTC Automatic Email D
 5. Interviews:
 - a. Warden
 - b. Facility PREA Compliance Manager
 - c. Medical Staff
 - d. Mental Health Staff
- A.** The LCF has a formal inmate disciplinary process when an inmate is subject to a disciplinary sanction following an administrative finding that the inmate engaged in inmate-on-inmate sexual abuse or following a criminal finding of guilt for inmate-on-inmate sexual abuse.
- B.** The disciplinary process allows sanctions to commensurate with the nature and circumstances of the abuse committed, the inmate's disciplinary history, and the sanctions imposed for comparable offenses by other inmates with similar histories within the facility.
- C.** The Inmate Discipline Process considers whether an inmate's mental disabilities or mental illness contributed to his behavior when determining what type of sanction, if any, should be imposed. The facility offers counseling and other interventions designed to address and correct underlying reasons or motivations for the abuse, the facility consider whether to require the offending inmate to participate in such interventions as a condition of access to programming or other benefits.

- D. Staff interviews indicated for disciplinary action, a report of sexual abuse made in good faith based upon a reasonable belief that the alleged conduct occurred shall not constitute falsely reporting an incident or lying, if an investigation does not establish evidence sufficient to substantiate the allegation.

MTC Offender Data System (ODS) Generated Automated Email: Email D – from ODS notifying the facility Disciplinary Hearing Officer that a determination has been made on a PREA investigation involving an inmate (s) and specific action is required.

- a. Follow standards and policy related to disciplinary sanctions for inmates as detailed below (115.78)

Interview Results

- o The interviewed mental health staff indicated that the mental health staff would develop a treatment plan and offer services as needed. It was reported that they have various interventions on working with sexual assault. When services are provided, group participation is not mandatory but encouraged. The interviewed medical staff also reported that individual and group counseling is offered; along with education on how to avoid becoming a victim.
- o Interviewed Warden and Facility PREA Compliance Manager confirmed that a formal inmate disciplinary process for inmates that are subject to a disciplinary sanction following an administrative finding that the inmate engaged in inmate-on-inmate sexual abuse or sexual harassment.

MEDICAL AND MENTAL CARE

Standard 115.81: Medical and mental health screenings; history of sexual abuse

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.81 (a)

- If the screening pursuant to § 115.41 indicates that a prison inmate has experienced prior sexual victimization, whether it occurred in an institutional setting or in the community, do staff ensure that the inmate is offered a follow-up meeting with a medical or mental health practitioner within 14 days of the intake screening? Yes No

115.81 (b)

- If the screening pursuant to § 115.41 indicates that a prison inmate has previously perpetrated sexual abuse, whether it occurred in an institutional setting or in the community, do staff ensure that the inmate is offered a follow-up meeting with a mental health practitioner within 14 days of the intake screening? (N/A if the facility is not a prison.) Yes No NA

115.81 (c)

- If the screening pursuant to § 115.41 indicates that a jail inmate has experienced prior sexual victimization, whether it occurred in an institutional setting or in the community, do staff ensure that the inmate is offered a follow-up meeting with a medical or mental health practitioner within 14 days of the intake screening? Yes No

115.81 (d)

- Is any information related to sexual victimization or abusiveness that occurred in an institutional setting strictly limited to medical and mental health practitioners and other staff as necessary to inform treatment plans and security management decisions, including housing, bed, work, education, and program assignments, or as otherwise required by Federal, State, or local law? Yes No

115.81 (e)

- Do medical and mental health practitioners obtain informed consent from inmates before reporting information about prior sexual victimization that did not occur in an institutional setting, unless the inmate is under the age of 18? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. Correctional Managed Health Care Policy Manual: Sexual Assault/Sexual Abuse
2. LCF Statement of Fact: Due to HIPA regulations, medical and mental health cannot release files.
3. LCF Offender Assessment Screening

4. LCF Statement of Fact: Facility has no offender who has previously perpetrated sexual abuse.
5. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1, A2, A4, B1) –August 1, 2017
6. Pre-Audit Questionnaire/Adult Prisons & Jails
7. Inmate Process Notes
8. Interviews:
 - a. Medical Staff
 - b. Mental Health Staff
 - c. Staff Who Perform Screening for Risk of Victimization and Abusiveness
 - d. Inmate Who Disclosed Sexual Victimization

- A. MTC Policy 903.E.02 – Ensuring Safe Prisons, require inmates who disclosed they had experienced prior sexual victimization or prior perpetration of sexual abuse, whether it occurred in an institutional setting or the community, are to be offered a follow-up meeting with a medical or mental health practitioner within 14 days of the initial screening.
- B. An inmate that has previously perpetrated sexual abuse in an institutional setting or community are offered a follow up meeting with a mental health staff within 14 days of the intake screening. An inmate that experienced prior sexual victimization in jail or that occurred in an institutional setting or the community is ensured a follow up meeting with a medical or mental health staff within 14 days of the intake screening.
- C. Information related to sexual victimization or abusiveness that occurred in an institutional setting will be strictly limited to medical and mental health practitioner and other staff, as necessary, to inform treatment plans and security and management decisions, including housing, bed, work, education and program assignments, or as otherwise required by Federal, State, or local law. Mental Health practitioners will obtain informed consent from inmates before reporting information about prior sexual victimization that did not occur in an institutional setting unless the inmate is under the age of 18.

Interview Results:

- Interviews with medical staff indicated inmates reporting prior sexual victimization or prior perpetration would be seen by a mental health professional within 14 days of the initial screening.
- One (1) inmate interviewed disclosed prior sexual victimization. The inmate recalled speaking with staff upon admission about prior victimization and she recalled being offered additional services to meet with mental health staff.
- The medical staff reported that informed consent is obtained before reporting about prior sexual victimization that occurred at other institutional settings. Inmates under the age of

18 are not housed at the Lockhart Correctional Facility therefore a separate informed consent form is not applicable.

Standard 115.82: Access to emergency medical and mental health services

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.82 (a)

- Do inmate victims of sexual abuse receive timely, unimpeded access to emergency medical treatment and crisis intervention services, the nature and scope of which are determined by medical and mental health practitioners according to their professional judgment? Yes No

115.82 (b)

- If no qualified medical or mental health practitioners are on duty at the time a report of recent sexual abuse is made, do security staff first responders take preliminary steps to protect the victim pursuant to § 115.62? Yes No
- Do security staff first responders immediately notify the appropriate medical and mental health practitioners? Yes No

115.82 (c)

- Are inmate victims of sexual abuse offered timely information about and timely access to emergency contraception and sexually transmitted infections prophylaxis, in accordance with professionally accepted standards of care, where medically appropriate? Yes No

115.82 (d)

- Are treatment services provided to the victim without financial cost and regardless of whether the victim names the abuser or cooperates with any investigation arising out of the incident? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. LCF Statement of Fact: Facility has had no request for emergency medical and mental health services
 2. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons – August 1, 2017
 3. Pre-Audit Questionnaire/Adult Prisons & Jails
 4. Interviews:
 - a. Warden
 - b. Facility PREA Compliance Manager
 - c. Medical Staff
 - d. Mental Health Staff
 - e. Security Staff Who Have Acted as First Responder
 - f. Non-Security Staff Who Acted as First Responder
- A.** At the LCF inmate victims of sexual abuse receive timely, unimpeded access to emergency medical treatment and crisis intervention services, the nature and scope of which are determined by medical and mental health practitioners according to their professional judgment. Alleged victims of sexual assault are promptly triaged at the Health Services Unit. Information is gathered, and a brief examination of physical injury will take place, taking care to preserve medical evidence. The Health Services staff person is consulted to determine if transfer to an emergency department is required.
- B.** When there is no qualified medical or mental health staff on duty at the time a report of abuse is made, the security staff first responder takes preliminary steps to protect the victim and immediately notify the appropriate medical and mental health staff. If the inmate is medically stable, the inmate is requested to consent to a full physical examination off-site after triaging. Written consent is required before the exam, a collection of evidence or treatment can begin. The inmate is then transferred by MTC to the local hospital. Rape crisis volunteers are also available if needed.
- C.** Inmate victims of sexual abuse, while incarcerated, are offered timely information about and timely access to emergency contraception and sexually transmitted infections prophylaxis, by professionally accepted standards of care, where medically appropriate. The facility offers prophylactic treatment and follow-up for sexually transmitted and other communicable diseases to all victims, as appropriate.

- D. Treatment services are provided to the victim without financial cost and regardless of whether the victim names the abuser or cooperates with any investigation arising out of the incident.

Interview Results:

- The interviewed medical and mental health staff both reported that inmates receive timely and unimpeded access to emergency medical treatment and crisis intervention services. Medical care is offered 24/7; however mental health staff are not always available. However, it was reported that because of a recent lawsuit, there would be an increase of weekend coverage for mental health services. Onsite mental health staff are tasked with providing onsite crisis intervention services.

Medical staff will request an offsite SANE nurse to conduct forensic medical examinations. Medical exams occur as soon as medical is notified of the incident. The interviewed medical staff stated that sometimes there is “lag time” with getting in touch with the sexual assault center to conduct the SANE examination. Since mental health staff is not available 24/7, mental health services may be delayed a day.

- The interviewed mental health and medical staff reported that professional judgement is used when delivering services. It was reported that often times the inmate will state that they do not want counseling services; however mental health staff will still follow up with them after an allegation of sexual abuse or sexual harassment. Both interviewed medical and mental health staff reported that inmate victims of sexual abuse are offered timely information about access to emergency contraception and sexually transmitted infection prophylaxis.
- Interviewed staff describes the following actions they would be taken as a first responder: Separate the alleged victim and abuser, preserving and protecting evidence on the victim, abuser, and the location where the incident occurred.
- Interviewed staff indicated that they would ask the alleged victim and abuser not to take any actions that could destroy physical evidence; washing, brushing teeth, changing clothes, urinating, defecating, drinking, eating, etc.
- Interviewed staff indicated that they would immediately notify their supervisor.
- Interviewed Health Care staff indicated that inmate victims of sexual abuse receive timely and unimpeded access to emergency medical treatment and crisis intervention services.
- Interviewed Health Care staff indicated that evaluation and treatment of inmates who have been victimized will receive follow-up services, treatment plans, and when necessary, referrals for continued care after leaving the facility.

Standard 115.83: Ongoing medical and mental health care for sexual abuse victims and abusers

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.83 (a)

- Does the facility offer medical and mental health evaluation and, as appropriate, treatment to all inmates who have been victimized by sexual abuse in any prison, jail, lockup, or juvenile facility? Yes No

115.83 (b)

- Does the evaluation and treatment of such victims include, as appropriate, follow-up services, treatment plans, and, when necessary, referrals for continued care following their transfer to, or placement in, other facilities, or their release from custody? Yes No

115.83 (c)

- Does the facility provide such victims with medical and mental health services consistent with the community level of care? Yes No

115.83 (d)

- Are inmate victims of sexually abusive vaginal penetration while incarcerated offered pregnancy tests? (N/A if all-male facility.) Yes No NA

115.83 (e)

- If pregnancy results from the conduct described in paragraph § 115.83(d), do such victims receive timely and comprehensive information about and timely access to all lawful pregnancy-related medical services? (N/A if all-male facility.) Yes No NA

115.83 (f)

- Are inmate victims of sexual abuse while incarcerated offered tests for sexually transmitted infections as medically appropriate? Yes No

115.83 (g)

- Are treatment services provided to the victim without financial cost and regardless of whether the victim names the abuser or cooperates with any investigation arising out of the incident? Yes No

115.83 (h)

- If the facility is a prison, does it attempt to conduct a mental health evaluation of all known inmate-on-inmate abusers within 60 days of learning of such abuse history and offer treatment when deemed appropriate by mental health practitioners? (NA if the facility is a jail.) Yes No NA

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1, D1, E1, F1, H1) –August 1, 2017
 2. Pre-Audit Questionnaire/Adult Prisons & Jails
 3. Interviews
 - a. Warden
 - b. Facility PREA Compliance Manager
 - c. Medical Staff
 - d. Mental Health Staff
 - e. Inmate Who Reported Sexual Abuse
-
- A. The LCF offers medical/mental health evaluation and provides services to all inmates who have been victimized by sexual abuse.
 - B. Staff interviews indicated that evaluations and services of victims include follow-up services, referrals for continued care following inmates transfer to, or placement in other facilities, or their release from custody.
 - C. The facility provides victims with medical/mental health services consistent with the community level of care.
 - D. Staff interviews indicated that inmate victims of sexual abuse while incarcerated are offered tests for sexually transmitted infections as medically appropriate.
 - E. MTC policy requires facility treatment services provided to victims without financial cost.
 - F. The facility conducts a medical/mental health evaluation of inmate-on-inmate abusers of learning of abuse history and offers treatment. If the inmate reports history of sexual abuse or abusiveness appears at risk for victimization, security and case management are notified.

Interview Results:

- The interviewed mental health staff reported that if an inmate is assigned to a counselor, that counselor will conduct an evaluation. If the assigned counselor is not available, the on-call crisis counselor will conduct the assessment. The first goal is to have the inmate work with the staff they are already assigned too. Facility mental health staff offer counseling services, however are not aware of the scope of outside services that is available to the inmate.
- Medical will provide services along with looking at past medical history to determine if there is a history of infectious diseases. The nature of the medical exam is dependent on if the allegation of sexual abuse and whether the incident was reported to medical within the 72-hour window. The onsite medical staff will conduct a brief medical exam, limiting the scope of services to ensure they do not disturb evidence or services provided by the SANE examiner. The onsite medical staff will draw blood for sexually infectious diseases, and respond to any identified follow up care.
- The interviewed mental health and medical staff reported that the services available in the community. Victims are not charged for services rendered as a result of an allegation of sexual abuse. The facility houses only female inmates, and have not had to provide services for pregnant inmates. The medical and mental health staff reported that they conduct mental health evaluations on all inmate on inmate abusers and offer treatment services if appropriate. It was reported that many of the inmates will continue to deny their involvement in an allegation of sexual abuse. When further probed it was identified that the mental health staff will look at prior history however there are not any groups specific to inmate on inmate sexual abuse.
- Interviewed staff stated that medical/mental health evaluations are provided to all inmates who have been victimized by sexual abuse.

DATA COLLECTION AND REVIEW

Standard 115.86: Sexual abuse incident reviews

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.86 (a)

- Does the facility conduct a sexual abuse incident review at the conclusion of every sexual abuse investigation, including where the allegation has not been substantiated, unless the allegation has been determined to be unfounded? Yes No

115.86 (b)

- Does such review ordinarily occur within 30 days of the conclusion of the investigation? Yes No

115.86 (c)

- Does the review team include upper-level management officials, with input from line supervisors, investigators, and medical or mental health practitioners? Yes No

115.86 (d)

- Does the review team: Consider whether the allegation or investigation indicates a need to change policy or practice to better prevent, detect, or respond to sexual abuse? Yes No
- Does the review team: Consider whether the incident or allegation was motivated by race; ethnicity; gender identity; lesbian, gay, bisexual, transgender, or intersex identification, status, or perceived status; gang affiliation; or other group dynamics at the facility? Yes No
- Does the review team: Examine the area in the facility where the incident allegedly occurred to assess whether physical barriers in the area may enable abuse? Yes No
- Does the review team: Assess the adequacy of staffing levels in that area during different shifts? Yes No
- Does the review team: Assess whether monitoring technology should be deployed or augmented to supplement supervision by staff? Yes No
- Does the review team: Prepare a report of its findings, including but not necessarily limited to determinations made pursuant to §§ 115.86(d)(1) - (d)(5), and any recommendations for improvement and submit such report to the facility head and PREA compliance manager? Yes No

115.86 (e)

- Does the facility implement the recommendations for improvement, or document its reasons for not doing so? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. SAFE Prisons/PREA Incident review
2. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1, B1, C1, D1, E1) –August 1, 2017
3. Pre-Audit Questionnaire/Adult Prisons & Jails
4. MTC Annual Report
 - a. MTC Offender Data System
 - b. Demographics of MTC Operated Facilities
 - c. Summary of Facilities Reports
 - d. Agency Progress Assessment
 - e. MTC Offender Data System (ODS) Generated Automated Emails
 - i. MTC Automatic Email A
 - ii. MTC Automatic Email B
 - iii. MTC Automatic Email C
 - iv. MTC Automatic Email D
 - v. MTC Automatic Email E
5. MTC Automatic Email: For substantiated or unsubstantiated sexual abuse allegations, initiate a sexual abuse incident review within 30 days of determination.
6. Interviews:
 - a. Warden
 - b. Facility PREA Compliance Manager
 - c. Incident Review Team Member

A. MTC Policy 903.E.02 – Ensuring Safe Prisons, reviewed by the facility of sexual abuse incidents, requires each facility to conduct a sexual abuse incident review at the conclusion of every sexual abuse investigation unless the incident has been determined to be unfounded. The review ordinarily occurs within 30 days of the conclusions of the investigation when they received the Investigation Report. The review team will include upper-level management officials, with input from line supervisors, investigators, and medical or mental health practitioners.

B. The review team is required to consider and complete the following:

- Whether the allegation or investigation indicates a need to change policy or practice to prevent better, detect or respond to sexual abuse;
- Whether the incident or allegation was motivated by race, ethnicity, gang affiliation, gender identity, status or perceived status as lesbian, gay, bisexual or intersex, or was motivated or caused by other group dynamics at the facility;
- Examine the area in the facility where the incident allegedly occurred to assess whether physical barriers in the area may enable abuse;
- Asses the adequacy of staffing levels in that area during different shifts;
- Assess whether monitoring technology should be deployed or augmented to supplement supervision by staff.

MTC Offender Data System (ODS) Generated Automated Email: Email B – from ODS notifying the facility PREA Manager that a determination has been made on a PREA investigation and the specific action which is required:

- a. Reassess the inmate’s risk of victimization or abusiveness based upon information from the investigation. 114.41.
 - b. For substantiated or unsubstantiated sexual abuse allegations, initiate a Sexual Abuse Incident Review within 30 days of determination. 115.86
 - c. Inform the inmate and document the notification, as to whether the allegation has been determined to be substantiated, unsubstantiated, or unfounded. 115.73
- C. The facility incident review team documents all recommendations, and the facility leadership follows through with implementation.

Interview Results:

- Interviews with staff confirmed they are aware of the process and were able to articulate how they would conduct a review. Staff indicated that the following are minimally the staff on the incident review team: Warden; Deputy Warden, PREA Compliance Manager, Counseling, Medical and additional staff appointed by the Warden. This team meets to review any incident, including any PREA related incidents.
- Interviewed staff indicated that they consider whether the incident or allegation was motivated by all the requirements listed in the standard, and when there is monitoring technology it is reviewed as a part of the review.

Standard 115.87: Data collection

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.87 (a)

- Does the agency collect accurate, uniform data for every allegation of sexual abuse at facilities under its direct control using a standardized instrument and set of definitions? Yes No

115.87 (b)

- Does the agency aggregate the incident-based sexual abuse data at least annually? Yes No

115.87 (c)

- Does the incident-based data include, at a minimum, the data necessary to answer all questions from the most recent version of the Survey of Sexual Violence conducted by the Department of Justice? Yes No

115.87 (d)

- Does the agency maintain, review, and collect data as needed from all available incident-based documents, including reports, investigation files, and sexual abuse incident reviews? Yes No

115.87 (e)

- Does the agency also obtain incident-based and aggregated data from every private facility with which it contracts for the confinement of its inmates? (N/A if agency does not contract for the confinement of its inmates.) Yes No NA

115.87 (f)

- Does the agency, upon request, provide all such data from the previous calendar year to the Department of Justice no later than June 30? (N/A if DOJ has not requested agency data.) Yes No NA

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Supporting Documents, Interviews, and Observations

1. LCF Statement of Fact: Facility is stored in the Offender Data System
2. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1, A2, B1, D1, F1) –August 1, 2017
3. Pre-Audit Questionnaire/Adult Prisons & Jails
4. MTC Investigations Incidents Reported
5. MTC PREA Annual Report (B1, C2, E1, E2, F1)
 - a. MTC Report of 2017 PREA Allegations and Investigation Results
 - b. MTC Report of 2016 PREA Allegations and Investigation Results
 - c. MTC Report of 2015 PREA Allegations and Investigation Results
 - d. MTC Report of 2014 PREA Allegations and Investigation Results
 - e. MTC Offender Data System
 - f. Demographics of MTC Operated Facilities

- g. Summary of Facilities Reports
 - h. Agency Progress Assessment
 - i. MTC Offender Data System (ODS) Generated Automated Emails
 - i. MTC Automatic Email A
 - ii. MTC Automatic Email B
 - iii. MTC Automatic Email C
 - iv. MTC Automatic Email D
 - v. MTC Automatic Email E
 - j. Note: The questions correspond with the Survey of Sexual Victimization conducted by the BJA/ Department of Justice.
6. Interviews:
- a. Warden
 - b. Facility PREA Compliance Manager

A. MTC collects accurate, uniform data for every allegation of sexual abuse at facilities under its direct control using a standardized instrument and set of definitions as required by MTC Policy, 903E.02, Ensuring Safe Prisons. The standardized instrument includes, at a minimum, the data necessary to answer all questions from the most recent version of the Survey of Sexual Violence (SSV) conducted by the Department of Justice. MTC aggregates the incident-based sexual abuse data at least annually and generates a comprehensive and informative annual report. Each MTC facility is required by policy to maintain, review and collect data as needed from all available incident-based documents, including reports, investigation files, and sexual abuse incident reviews.

Interviews indicated MTC has a very sophisticated data system enabling the company to collect and report accurate data to answer all questions on the Survey of Sexual Violence and the system is set up to answer them sequentially. Additionally, the system has the capability for generating valuable reports including the following: PREA Allegations and Investigations Summary Report, PREA Allegations and Investigations Report by Site, Investigations by Facility, Master Investigation Log, Master Investigation Log by Site and others.

B. The reviewed 2017 MTC Annual Report was comprehensive and detailed and included Demographics of MTC Operated Facilities as well as detailed PREA data. In 2016 MTC started using their Offender Data System (ODS). The system provides a platform which captures all data required for responses to the Survey of Sexual Victimization (SSV). In addition, incident reviews required by the PREA standards, are now able to be put into the system for review by management. Efforts have been made to provide additional structure within the Offender Data System by triggering automated email distribution following entries into the ODS PREA system. The purpose of the five emails (which include the specific PREA standards being attached to each email for reference/education and duties to be followed) are listed in the following paragraphs:

MTC Offender Data System (ODS) Generated Automated Emails:

Email A – from ODS notifying the facility PREA Manager that a new PREA Allegation has been assigned for investigation making sure assigned staff implement actions which ensure the involved offender (s) and/or staff protected from retaliation. Also, any use of involuntary segregated housing for the inmate who alleged suffering sexual abuse shall only be used after an assessment determines there is no available alternative means of separation from likely abusers. The reasons need to be documented within 24 hours of placement.

- Protect inmates and /or staff from retaliation for at least 90 days in accordance with standard 115.67 and MTC policy 903E.02.
- Document any use of involuntary segregated housing within 24 hours in accordance with standard 115.68, 115.43 and MTC policy 903E.02.

Email B – from ODS notifying the facility PREA Manager that a determination has been made on a PREA investigation and the specific action which is required:

- Reassess the inmate’s risk of victimization or abusiveness based upon information from the investigation. 114.41.
- For substantiated or unsubstantiated sexual abuse allegations, initiate a Sexual Abuse incident Review within 30 days of determination. 115.86
- Inform the inmate and document the notification, as to whether the allegation has been determined to be substantiated, unsubstantiated, or unfounded. 115.73

Email C – from ODS notifying the facility HR Manager that a determination has been made on a PREA investigation and the specific action which is required.

- Follow standards and policy related to disciplinary sanctions for staff as detailed below (115.76).
- Follow standards and policy related to hiring and promotion decisions as detailed below (115.17).
- Inform the inmate and document the notification, consistent with standards 115.73, unless the allegation, following an investigation, was unfounded. (This can be performed by the PREA Manager depending on facility direction).

Email D – from ODS notifying the facility Disciplinary Hearing Officer that a determination has been made on a PREA investigation involving an inmate (s) and specific action is required.

- Follow standards and policy related to disciplinary sanctions for inmates as detailed below (115.78)

Email E – from ODS notifying the PREA Manager to contact the investigative agency to obtain the results of the PREA case identified below. (115.73).

- Contact investigative agency and document status.

The agency aggregated incident-based sexual abuse data at least annually.

- C. The incident-based data collected includes, at a minimum, the data necessary to answer all questions from the most recent version of the Survey of Sexual Violence conducted by the Department of Justice.
- D. The agency maintains, reviews, and collects data as needed from all available incident- based documents, including reports, investigation files, and sexual abuse incident reviews.
- E. The agency also obtains incident-based and aggregated data from every private facility with which it contracts for the confinement of its inmates.
- F. Upon request, the agency will provide all such data from the previous calendar year to the Department of Justice no later than June 30.

Standard 115.88: Data review for corrective action

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.88 (a)

- Does the agency review data collected and aggregated pursuant to § 115.87 in order to assess and improve the effectiveness of its sexual abuse prevention, detection, and response policies, practices, and training, including by: Identifying problem areas? Yes No
- Does the agency review data collected and aggregated pursuant to § 115.87 in order to assess and improve the effectiveness of its sexual abuse prevention, detection, and response policies, practices, and training, including by: Taking corrective action on an ongoing basis? Yes No
- Does the agency review data collected and aggregated pursuant to § 115.87 in order to assess and improve the effectiveness of its sexual abuse prevention, detection, and response

policies, practices, and training, including by: Preparing an annual report of its findings and corrective actions for each facility, as well as the agency as a whole? Yes No

115.88 (b)

- Does the agency's annual report include a comparison of the current year's data and corrective actions with those from prior years and provide an assessment of the agency's progress in addressing sexual abuse? Yes No

115.88 (c)

- Is the agency's annual report approved by the agency head and made readily available to the public through its website or, if it does not have one, through other means? Yes No

115.88 (d)

- Does the agency indicate the nature of the material redacted where it redacts specific material from the reports when publication would present a clear and specific threat to the safety and security of a facility? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. MTC July 7, 2016 PREA Report
2. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (A1, B1, C1, C3, D1, D2) –August 1, 2017
3. Pre-Audit Questionnaire/Adult Prisons & Jails
4. MTC PREA Annual Report (B1, C2, E1, E2, F1)
 - a. MTC Report of 2017 PREA Allegations and Investigation Results
 - b. MTC Report of 2016 PREA Allegations and Investigation Results
 - c. MTC Report of 2015 PREA Allegations and Investigation Results
 - d. MTC Report of 2014 PREA Allegations and Investigation Results
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 - f. Demographics of MTC Operated Facilities
 - g. Summary of Facilities Reports

- h. Agency Progress Assessment
 - i. MTC Offender Data System (ODS) Generated Automated Emails
 - i. MTC Automatic Email A
 - ii. MTC Automatic Email B
 - iii. MTC Automatic Email C
 - iv. MTC Automatic Email D
 - v. MTC Automatic Email E
 - j. Note: The questions correspond with the Survey of Sexual Victimization conducted by the BJA/ Department of Justice.
5. MTC PREA Website (C1)
6. Interviews:
- a. Agency Head
 - b. Agency PREA Coordinator
 - c. Warden
 - d. Facility PREA Compliance Manager

- A. The MTC and the LCF review data collected and aggregated under § 115.87 to assess and improve the effectiveness of the facility's sexual abuse prevention, detection, and response policies, practices, and training, including by identifying problem areas, taking corrective action on an ongoing basis. Interviews reveal that the MTC prepares an annual report of its findings and corrective action that includes the LCF and the agency.
- B. The report includes a comparison of the current year's data and corrective actions with those from prior years and provides an assessment of the agency's progress in addressing sexual abuse.
- C. The report is approved by the MTC agency head and made readily available to the public through its website.
- D. The MTC redact specific material from the reports that would present a clear and specific threat to the safety and security of a facility.

Interview Results:

- The Agency Head indicated that the annual review has been conducted each year since MTC began publishing reports in 2012. MTC plan to publish the report for the 2018 calendar year prior to June 30, 2019. The Agency Head have designated the PREA Coordinator with the responsibility to:
 - Identify areas of noncompliance with policy,
 - Analyze trends in allegations of sexual abuse and harassment, as well as investigative determinations,
 - Collaborate on best practices,
 - Develop solutions based on consideration of various constraints,

- Provide the field with clarification through interpretive guidance, and
 - Oversee the implementation of agreed upon decisions related to necessary changes to policy, physical plant, staffing and/or training.
- The Agency Head indicated yes; he is approving authority for annual reports.
- The Agency PREA Coordinator indicated that MTC makes aggregate data available and redacts facility specific data. Should MTC have any personally identifiable information in the reports or material that presents a clear and specific threat to the safety and security of a facility, such information would be redacted. The nature of the redacted information will be noted.
- The Agency PREA Coordinator indicated yes to the agency reviewing data collected and aggregated. MTC annual review is scheduled to take place March 2019 for the 2018 calendar year. MTC have developed a data collection instrument that mirrors the DOJ Survey of Sexual Victimization.

When responding to the question of how does the agency ensure that data collected to 115.87 are securely retained? Weekly tapes will be encrypted and stored off-site at a secure facility. Prior to off-site storage, tapes are logged for accountability, and then transported in metal boxes to the facility. Backups are verified through daily reports (MTC Policy 600.6 Backup and Storage of Corporate Information).

- The Agency PREA Coordinator indicated yes when the agency will take correction actions on an ongoing basis on the data. Action is taken whenever there is an issue that requires remediation in accordance with 115.13.
- The Agency PREA Coordinator indicated yes to the agency preparing an annual report. MTC annual review was completed March 2019 for the 2018 calendar year.
- Interviewed staff indicated that the facility annual report of finding for its data review and any corrective actions is a part of the agency annual report.

Standard 115.89: Data storage, publication, and destruction

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.89 (a)

- Does the agency ensure that data collected pursuant to § 115.87 are securely retained? Yes
 No

115.89 (b)

- Does the agency make all aggregated sexual abuse data, from facilities under its direct control and private facilities with which it contracts, readily available to the public at least annually through its website or, if it does not have one, through other means? Yes No

115.89 (c)

- Does the agency remove all personal identifiers before making aggregated sexual abuse data publicly available? Yes No

115.89 (d)

- Does the agency maintain sexual abuse data collected pursuant to § 115.87 for at least 10 years after the date of the initial collection, unless Federal, State, or local law requires otherwise? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons (), – August 1, 2017
 2. Pre-Audit Questionnaire/Adult Prisons & Jails
 3. Interviews:
 - a. Warden
 - b. Facility PREA Compliance Manager
- A.** MTC's, the parent company, aggregates sexual abuse data from the LCF, and under its direct control is made readily available to the public at least annually through its website. Before making aggregated sexual abuse data publicly available MTC removes all personal identifiers
- B.** The agency maintains sexual abuse data collected for at least ten years after the date of initial collection.

AUDITING AND CORRECTIVE ACTION

Standard 115.401: Frequency and scope of audits

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.401 (a)

- During the three-year period starting on August 20, 2013, and during each three-year period thereafter, did the agency ensure that each facility operated by the agency, or by a private organization on behalf of the agency, was audited at least once? (N/A before August 20, 2016.) Yes No NA

115.401 (b)

- During each one-year period starting on August 20, 2013, did the agency ensure that at least one-third of each facility type operated by the agency, or by a private organization on behalf of the agency, was audited? Yes No

115.401 (h)

- Did the auditor have access to, and the ability to observe, all areas of the audited facility? Yes No

115.401 (i)

- Was the auditor permitted to request and receive copies of any relevant documents (including electronically stored information)? Yes No

115.401 (m)

- Was the auditor permitted to conduct private interviews with inmates, inmates, and detainees? Yes No

115.401 (n)

- Were inmates permitted to send confidential information or correspondence to the auditor in the same manner as if they were communicating with legal counsel? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons () – August 1, 2017
2. Agency Website
3. Interviews:
 - a. Agency Assistant PREA Coordinator

- A. The agency has ensured that each facility operated by the agency is audited at least once every three years. The agency ensures that a third of each facility type is audit every year as well.
- B. The agency and/or facility demonstrated compliance with the PREA standards by submitting policies, procedures, reports, internal and external audits, and accreditations of the most recent one-year period. The Auditor conducted on-site visit that included sampling of relevant documents, other records, additional information for the 12-month timeframe.
- C. During the on-site audit, the Auditor was given access to all areas of the facility, site observation; the Auditor requested and received copies of relevant documents to include electronically stored information.
- D. The Auditor has retained and preserves documentation used to make audit determinations and the documentation is available to the Department of Justice upon request.
- E. The Auditor interviewed representative samples listed below and was permitted to conduct all formal interviews privately.
 - Agency and Facility Leadership
 - Random Staff
 - Specialized Staff
 - Supervisor
 - Administrators
 - Random Inmates
 - Targeted Inmates
- F. The PREA Audit Notice was posted to permit inmates to send confidential information or correspondence to the Auditor. The Auditor reached out and attempted to communicate with community-based advocates who have insight into relevant conditions in the facility.

Interview Results:

- Interview with MTC has indicated that the agency has conducted the required PREA Audits every year. The agency has ensured that at least one-third of each type is audited.

Standard 115.403: Audit contents and findings

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.403 (f)

- The agency has published on its agency website, if it has one, or has otherwise made publicly available, all Final Audit Reports within 90 days of issuance by auditor. The review period is for prior audits completed during the past three years PRECEDING THIS AGENCY AUDIT. In the case of single facility agencies, the auditor shall ensure that the facility's last audit report was published. The pendency of any agency appeal pursuant to 28 C.F.R. § 115.405 does not excuse noncompliance with this provision. (N/A if there have been no Final Audit Reports issued in the past three years, or in the case of single facility agencies that there has never been a Final Audit Report issued.) Yes No NA

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Documents, Interviews and Observations:

1. Management and Training Corporation (MTC) Policy 903E.02 Ensuring Safe Prisons ()August 1, 2017
2. Agency Website
3. Interviews:
 - a. Agency Assistant PREA Coordinator
 - b. Warden
 - c. Facility PREA Compliance Manager

- A. This report describes in the narrative the methodology, sampling sizes, and the basis for the Auditor’s conclusions provide such information to the agency upon request, and may provide such information to the Department of Justice.

Interview Results:

- Interview with MTC and a review of the agency website indicated that the agency has made publicly available all PREA audits as required by standard.

AUDITOR CERTIFICATION

I certify that:

- The contents of this report are accurate to the best of my knowledge.
- No conflict of interest exists with respect to my ability to conduct an audit of the agency under review, and
- I have not included in the final report any personally identifiable information (PII) about any inmate or staff member, except where the names of administrative personnel are specifically requested in the report template.

Auditor Instructions:

Type your full name in the text box below for Auditor Signature. This will function as your official electronic signature. Auditors must deliver their final report to the PREA Resource Center as a searchable PDF format to ensure accessibility to people with disabilities. Save this report document into a PDF format prior to submission.¹ Auditors are not permitted to submit audit reports that have been scanned.² See the PREA Auditor Handbook for a full discussion of audit report formatting requirements.

Adam T. Barnett, Sr.

July 27, 2019

AuditorSignature

Date

¹See additional instructions here: <https://support.office.com/en-us/article/Save-or-convert-to-PDF-d85416c5-7d77-4fd6-a216-6f4bf7c7c110>.

²See *PREA Auditor Handbook*, Version 1.0, August 2017; Pages 68-69.