

**Prison Rape Elimination Act (PREA) Audit Report
Community Confinement Facilities**

Interim Final

Date of Report May 8, 2019

Auditor Information

Name: Robin M. Bruck	Email: robin.bruck@state.nm.us
Company Name: Click or tap here to enter text.	
Mailing Address: P.O. Box 639	City, State, Zip: Las Cruces, NM 88004
Telephone: 1-575-523-3303	Date of Facility Visit: October 16, 2018

Agency Information

Name of Agency: Washington State Department of Corrections	Governing Authority or Parent Agency (If Applicable): State of Washington, Office of the Governor		
Physical Address: 7345 Linderson Way, SE	City, State, Zip: Tumwater, WA 98511		
Mailing Address: PO Box 41100	City, State, Zip: Olympia, WA 98504-1100		
Telephone: 360-725-8213	Is Agency accredited by any organization? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
The Agency Is:	<input type="checkbox"/> Military	<input type="checkbox"/> Private for Profit	<input type="checkbox"/> Private not for Profit
<input type="checkbox"/> Municipal	<input type="checkbox"/> County	<input checked="" type="checkbox"/> State	<input type="checkbox"/> Federal
Agency mission: Working together for safe communities			
Agency Website with PREA Information: www.doc.wa.gov/corrections/prea/default.htm			

Agency Chief Executive Officer

Name: Stephen Sinclair	Title: Secretary
Email: sdsinclair@doc1.wa.gov	Telephone: 360-725-8810

Agency-Wide PREA Coordinator

Name: Beth Schubach	Title: Agency PREA Coordinator
Email: blschubach1@doc1.wa.gov	Telephone: 360-725-8789
PREA Coordinator Reports to: Scott Russell, Deputy Director of Adult Prisons Command A	Number of Compliance Managers who report to the PREA Coordinator 0

Facility Information

Name of Facility: Tri-Cities Work/Training Release
Physical Address: 524 E. Bruneau Avenue, Kennewick, WA 99336
Mailing Address (if different than above): same
Telephone Number: 509-585-2200

The Facility Is:	<input type="checkbox"/> Military	<input type="checkbox"/> Private for Profit	<input type="checkbox"/> Private not for Profit
<input type="checkbox"/> Municipal	<input type="checkbox"/> County	<input checked="" type="checkbox"/> State	<input type="checkbox"/> Federal

Facility Type:	<input type="checkbox"/> Community treatment center	<input type="checkbox"/> Halfway house	<input type="checkbox"/> Restitution center
	<input type="checkbox"/> Mental health facility	<input type="checkbox"/> Alcohol or drug rehabilitation center	
	<input checked="" type="checkbox"/> Other community correctional facility		

Facility Mission: Tri-Cities Work/Training Release is a highly motivated team that specializes in successful reintegration of offenders into society.

Facility Website with PREA Information: www.doc.wa.gov

Have there been any internal or external audits of and/or Accreditations by any other organization? X Yes No

Director

Name: Winnie Chan	Title: Community Corrections Supervisor
Email: Winnie.chan@DOC1.WA.GOV	Telephone: 509-585-2201

Facility PREA Compliance Manager

Name: Winnie Chan	Title: Community Corrections Supervisor
Email: winnie.chan@doc.wa.gov.	Telephone: 509-585-2201

Facility Health Service Administrator

Name: N/A	Title: Click or tap here to enter text.
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Email: Click or tap here to enter text.	Telephone: Click or tap here to enter text.
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Facility Characteristics

Designated Facility Capacity: 40	Current Population of Facility: 30
Number of residents admitted to facility during the past 12 months	86
Number of residents admitted to facility during the past 12 months who were transferred from a different community confinement facility:	86
Number of residents admitted to facility during the past 12 months whose length of stay in the facility was for 30 days or more:	85
Number of residents admitted to facility during the past 12 months whose length of stay in the facility was for 72 hours or more:	85
Number of residents on date of audit who were admitted to facility prior to August 20, 2012:	0
Age Range of Population:	<input checked="" type="checkbox"/> Adults 19 -76 years
	<input type="checkbox"/> Juveniles N/A
	<input type="checkbox"/> Youthful residents N/A
Average length of stay or time under supervision:	4.8 months
Facility Security Level:	MI1
Resident Custody Levels:	Minimum
Number of staff currently employed by the facility who may have contact with residents:	18
Number of staff hired by the facility during the past 12 months who may have contact with residents:	6
Number of contracts in the past 12 months for services with contractors who may have contact with residents:	0

Physical Plant

Number of Buildings: 1	Number of Single Cell Housing Units: 0
Number of Multiple Occupancy Cell Housing Units:	20
Number of Open Bay/Dorm Housing Units:	0

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.):

The facility currently has thirteen (13) cameras. There are five (5) on the outside of the facility and eight (8) are located within the facility. The DVD retention is 18 calendar days. Cameras can be viewed in the duty station (staff only) Recording lasts for ten (10) days.

Medical

Type of Medical Facility:	N/A
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Forensic sexual assault medical exams are conducted at:	Kadlec Hospital
Other	
Number of volunteers and individual contractors, who may have contact with residents, currently authorized to enter the facility:	0
Number of investigators the agency currently employs to investigate allegations of sexual abuse:	631

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 Prison Rape Elimination Act (PREA) site review of Tri-Cities Work/Training Release (TCWTR), located in Kennewick, Washington was originally conducted by Jillian Shane, U.S. Department of Justice Certified Auditor for adult facilities on October 1, 2018. Due to unforeseen circumstances, an auditor change had to be made after the completion of the site review. In discussions with the PREA Management Office, Washington Corrections Department Leadership, to include the State PREA Coordinator, New Mexico Corrections Department Leadership to include Robin Bruck, a U.S. Department of Justice Certified PREA Auditor for adult facilities, and the decision was made that Ms. Bruck would continue the audit of TCWTR and a site review was conducted on November 7, 2018. The PREA Management Office granted extensions for submission of the interim and final reports, as Ms, Bruck was conducting other several audits within the State of Washington. Ms. Bruck will be referred to as “the auditor” and author of this report.

In January 2018 an Intergovernmental Agreement was entered into between the New Mexico Corrections Department (NMCD) and the Washington Department of Corrections (WADOC), both parties are members of the Western Consortium. The purpose of the audit is to determine compliance with the Federal Prison Rape Elimination Act standards. The auditor was assisted by support staff Jodi Upshaw (NMCD Compliance Officer).

As the reader, continues to read this audit report, please note the following definitions, acronyms and systems currently utilized by facility, as they will be referenced throughout the report.

Community Corrections Supervisor (CCS)

IDOC- is the internal website for the WADOC staff.

Learning Management System (LMS)-is an internet-hosted tool that centralizes and automates the learning management process, making administrative of learning and development both effective and efficient.

Offender Management Network Information (OMNI)-The Offender Management Network Information system is the system used by Washington Department Corrections. The system is the effective management of facilities, treatment, sentencing, movement, discipline, PREA Assessments and other important data on offenders.

Revised Code of Washington (RCW) - is the compilation of all permanent laws now in force. It is a collection of Session Laws (enacted by the Legislature, and signed by the Governor, or enacted via the imitative process), arranged by topic, with amendments added and repealed laws removed.

Sexual Assault Nurse Examiner (SANE) is a qualification for forensic nurses who have received special training to conduct sexual assault evidentiary exams for rape victims.

Washington Administrative Code (WAC) - Also known as “rules” or “administrative rules.” Agency rules are designed to help the public comply with state laws, processes and other requirements.

Pre-On-site Audit Phase

The WADOC PREA Coordinator was the established point of contact for Washington Department of Corrections and the Community Corrections Supervisor was the established point of contract for Tri-Cities Work/Training Release. A discussion was had with the WADOC PREA Coordinator regarding use of laptops and cell phones while on-site. All necessary forms were completed by the auditor and her support staff. WADOC completed a background check on both the auditor and her support staff and both signed PREA Acknowledgments, prior to entering the facility.

Tri-Cities Work/Training Release was instructed to post the auditor notice, on October 24, 2018, abundantly and in all areas of the facility that is visible to the residents. On October 24, 2018, the auditor was sent confirmation of the posting in the form of time stamped photographs. It should be noted that an auditor notice was posted for six weeks prior to the site review conducted by Jillian Shane. Ms. Shane did not receive any letters from the residents during the six week posting or after the site review. During Ms. Shane’ absence all mail sent to her office has been forwarded to Ms. Bruck. The auditor notice was posted for fifteen (15) days prior to the site review conducted by Robin Bruck. The auditor did not receive any letters from staff, residents or visitors prior to the site review or after the site review. The posting read as follows:

NOTICE OF PREA AUDIT

During the following period, this facility will be undergoing an audit for compliance with the U.S. Department of Justice’s National PREA Standards to Prevent, Detect, and Respond to Prison Rape under the Prison Rape Elimination Act (PREA) Standards for Prisons and Jails:

November 7, 2018

Any persons with information relevant to this compliance audit may confidentially* correspond with the auditor by writing to:

**Robin Bruck
P.O. Box 639
Las Cruces, NM 88004**

***CONFIDENTIALITY: All written and verbal correspondence and disclosures provided to the auditor are confidential and will not be disclosed unless required by law. There are exceptions when confidentially must legally be breached. Exceptions include, but are not limited to:**

- 1) If a person is in immediate danger to her/himself or others (e.g., suicide, homicide)**
- 2) Allegations of suspected child abuse, neglect or mistreatment**
- 3) In legal proceedings where information has been subpoenaed by a court in the proper jurisdiction.**

Any correspondence shall be clearly identified as “Legal Mail” and handled per DOC 450.100 Mail for Prison Offenders/ DOC 450.110 Mail for Work Release Offenders.

WADOC defines “Legal Mail” as follows:

- Any Court or opposing attorney/party, the Washington State Bar Association, the Board, the Washington State Department of Enterprise Services Office of Risk Management, PREA auditors certified by the United States Department of Justice, the Headquarters PREA Coordinator, and/or the Headquarters Ombudsman.
- PREA auditor leads certified by the United States Department of Justice when related to an audit in process at the offender’s facility.

The auditor conducted an internet search of the facility. No relevant articles could be found regarding the sexual safety of the residents. The auditor reviewed the WADOC official website, which included a review of Tri-Cities Work/Training Release’ past PREA audit, conducted by Charles Owens in November 2015. The internet search also included a review of the Washington’s mandatory reporting laws. The auditor is a mandated reporter in the State of Washington regarding any form of abuse on a child or a vulnerable adult. The Auditor reviewed the Revised Code of Washington 72-02-0410, as it relates to the law regarding a child under the age of eighteen convicted of a felony.

As a test for another facility audit within the State of Washington, on Friday, September 15, 2018, the auditor filed a report of an allegation, utilizing the “report” function located on the agency website. It was requested that the agency complete the process of the report, as they would for any PREA allegation, received via the website. This was completed as a test to determine if the reports of an allegation are received and appropriate steps are taken in a timely manner. On September 18, 2018 the auditor received confirmation that the report had been received by the DOC PREA Triage.

WADOC has an agreement in place with the Colorado Department of Corrections for external reporting. To test the system during an audit for another Washington facility, the auditor sent a letter utilizing the form attached to the MOU, to the Colorado Department of Corrections, on September 15, 2018. On September 18, 2018, the auditor received an email from the WADOC PREA Coordinator, stating that WADOC recently learned that the form attached to the MOU did not reflect the correct address. The letter sent by the auditor had been returned “undeliverable” When Colorado had an address change the MOU was not amended, however all forms on the agency’s internal website and all forms provided to the residents along with pre-addressed stamped envelopes were updated and contain the current address. A second letter was sent to the current address and on September 24, the auditor received notification that the letter had been received by the WADOC PREA triage.

Just Detention International (JDI) is a health and human rights organization that seeks to end sexual abuse in all forms of detention. Founded in 1980, JDI is the only organization in the world dedicated exclusively to ending sexual abuse behind bars. On January 8, 2019, the auditor sent an email to JDI inquiring about any/all reports that had been received from or regarding the Tri-Cities Work/Training Release. A response was received on January 9, 2019, indicating that a search had been completed on the JDI database and no correspondence had been received regarding the facility during the reporting period.

Office of Crime Victim Advocacy (OCVA) serves as a voice within government for the needs of crime victims in Washington State. Established in 1990, OCVA serves the state by advocating on behalf of victims obtaining needed services and resources. On October 9, 2018, the auditor spoke to an advocate with OCVA. Contact was made utilizing the same number that is provided in the brochures to offenders at the facility. The advocate stated that there is an interagency agreement in place with the WADOC to provide a hotline for offenders to obtain advocacy services. The advocate felt the two parties had a very good working relationship with no issues.

As there was a change in auditors, the auditor did not review the facility documentation prior to arriving site review.

On-Site Audit Phase

The auditor and support staff arrived at the Tri-Cities Work/Training Release at approximately 0830 hours on the morning of November 7, 2018. The auditors signed into the facility and were escorted into a small conference room.

The audit team briefly met with the Community Corrections Supervisor and the Work Release Oversight and Compliance Administrator. After opening remarks and introductions, the auditor was given an opportunity to discuss the logistics and an overview of the audit process. Timelines and milestones were discussed regarding the completion of the post-audit phase, the interim report and the final report. The auditor briefly discussed the purpose of corrective action and if warranted would enhance the current procedures and create a safer environment for residents and staff. Each participant was given an opportunity to ask questions regarding the audit.

Site Review

The site review began by the duty station located just inside the entrance to the facility. The duty station had one (1) officer present, and the officer could view the camera system from her station. The duty station was in the middle of square. To the left were the urinalysis room and the laundry. The inside of the laundry room could be seen from the duty station, as there were windows. Next to the laundry room was a linen room. The linen room was found to be locked and had to be opened with a key. This room was used to store the resident's linen as well as property, when they first arrive at the facility.

Straight ahead of the duty station was the recreation room, where the residents could play games or the facility used it for meeting with the residents. There was a door leading to the back outside area, where the residents could enjoy the outdoors or utilize the smoking area. The facility did have cameras installed in this area that is monitored by the officer in the duty station. The yard also had a utility shed to store lawn equipment, including the lawn mower. The area was off limits to the residents.

On the right side of the duty station were two TV rooms, one for the female residents and one for the male residents. Both female and male residents were prohibited from entering the opposite genders TV room. Also located on this side of the duty station was a multi-purpose room which was being utilized as an indoor exercise area. The dining area was next. The male and female residents had designated tables to sit as comingling during meal time was prohibited. The kitchen was off of the dining room. The kitchen had a door leading to outside, in a fenced area. The wood shop and the electrical room were located in this area. This area was off limits to the residents.

Directly behind the duty station was the visitor area. This area had a bathroom for visitors, which was off limits to the residents. There was also a door that led to an L-shaped mechanical room that also led to the outside. The camera system would sound an alarm at the duty officer station, if someone entered the room.

The male resident rooms were located on the left side of the building. There are seventeen (17) rooms, which included one (1) ADA room. The male residents shared a large bathroom with stalls and separate showers. During a resident interview, he stated that the shower curtains were too low and they were exposed while showering. The auditor did view the shower curtains and they were too low. The facility purchased new shower curtains and they were installed prior to the audit team leaving the facility.

The female resident rooms were located to the right, off of the TV rooms. There were three (3) female rooms. There was one shared bathroom which included stall and separate showers. The shower curtains were a good height and did not need to be replaced.

The camera system is designed to alert the duty officer when someone was accessing the hallways of both the male and female rooms, allowing the officer at the duty station to visualize anyone entering the hallway.

Administrative offices were located to the left of the duty station, which included a conference room, the CCS office, the staff break room, the Sergeant office and the CCO's offices. Residents were allowed in this area, if they were escorted.

During the site review, the audit team observed the "PREA Bulletin board, the resident phones and the camera system.

Offender Interviews

On the first day of the site review the facility reported resident population as twenty-eight (28). The PREA Auditor Handbook requires a minimum of at least ten (10) resident interviews be conducted, which includes five (5) random resident interviews and five (5) targeted resident interviews. The auditor and support staff conducted nine (9) random resident interviews, and two (2) targeted interviews. During a random interview one (1) resident stated that he had reported an incident. This resident was interviewed as a random resident and interviewed utilizing the 'resident who reported protocol'. A second resident was interviewed who had reported an allegation at another facility. There were no other reported offenders from specific categories housed at the facility, at the time of the site review. The auditor instructed the audit support staff to be mindful of the categories and note if they interviewed an resident that could be considered a targeted resident from one of the categories and adjust the interview protocols if necessary. A total of eleven (11) residents were interviewed.

Inmate Category	Number of Inmates
Random Inmates	9
Targeted Inmates	2
Total Inmates Interviewed	11
Targeted Inmate Categories	
▪ Youthful Inmates	0
▪ Inmates with a Physical Disability	0
▪ Inmates who are Blind, Deaf, or Hard of Hearing	0
▪ Inmates who are LEP	0
▪ Inmates with a Cognitive Disability	0
▪ Inmate who identify LGBTI	0
▪ Inmate who reported abuse	2
▪ Inmates who reported victimization during risk screening	0

All resident interviews were conducted in a private office. The residents were asked specific questions, derived from the PREA Resource Center's Interview Guide. The questions are designed to determine their knowledge of PREA protections and specifically their knowledge of reporting sexual abuse and sexual harassment. All residents interviewed participated willingly in the process and appeared to be well informed on PREA.

Staff Interviews

TCWTR reported eighteen, (18) DOC Staff are employed at the facility. Several staff performed multiple roles and was interviewed separately for each role. Specialized staff was chosen from the list of specialty staff provided by the facility. The random staff members were chosen from the lists provided by the facility and were from all shifts to include male and female officers, administration staff, and classification staff. The facility does not have medical or mental health services; therefore specialty staffs from the categories were not interviewed. They are broken down as follows:

Staff Category	Number of Interviews Conducted
Random staff (Total)	5
Specialized Staff (Total)	12
Total Staff Interviewed	17
Administration and Agency Leadership Categories	
▪ Agency head or designee	1
▪ Warden/facility director/superintendent/Appointing Authority	1
▪ CCS (PCM)	1
▪ PREA coordinator	1
Specialized Staff Categories	
▪ Agency contract administrator	1
▪ Investigative Staff	1
▪ Staff who perform risk screening	1
▪ Administrative (human resources) staff (manager)	1
▪ Incident review team	1
▪ First Responder	1
▪ Victim Advocates OCVA/SARC	2
▪ Contract Staff	0
▪	

All staff interviews were conducted in a private office. The staff members were asked specific questions, derived from the PREA Resource Center's Interview Guide. The questions are designed to determine their knowledge of the agency's zero tolerance policy, reporting mechanisms that are available to residents and their level of understanding of the PREA standards. All random staff was knowledgeable and stated that they understood all of the training they had received.

File Review

The audit team reviewed seven (7) employee personnel files, which included training documentation, six (6) resident files, one (1) investigation that had closed during the reporting period. The auditor did not review medical or mental health files, as the facility does not have medical or mental health services on-site. The auditor reviewed the files, utilizing the PREA Resource Employee, Inmate Files/Record and Investigation Documentation Review forms. The files were randomly chosen from the staff roster and resident roster provided to the auditor.

Investigations

Case Number	Date Opened	Date Closed	Category	Finding
18-17845	5-16-2018	10-30-2018	Offender on Offender Sexual Assault	Substantiated

Post On-site Audit Phase

After the site review, Tri-Cities Work/Training Release and the auditor, continued to communicate with each other. The facility remained cooperative throughout the audit process, with answering additional questions, and additional requests for documentation, from the auditor.

On February 1, 2019, a conference call was held with the facility administration, to include the PREA Compliance Manager and the WADOC PREA Coordinator. The purpose of the call was to discuss issues of non-compliance and to develop a plan of corrective action, in order to bring the facility into compliance with all of the standards. On February 14, 2019, the auditor issued the facility Interim Report, which outlined one (1) standard in corrective action. Tri-Cities Work/Training Release completed each milestone set in place by the corrective action plan and has satisfactorily met the auditor's requirements to demonstrate proof of practice.

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.

Tri-Cities Work/Training Releasing is a minimum-security facility, which opened in June of 1999. It is the one of three state-operated Work Releases in Washington State that is solely staffed by the Department of Corrections employees. It is a single level, 12,500 square foot building on a 1.37 acres, located one block south of the Columbia River in east downtown Kennewick. Currently, this work release population is comprised of up to 24 male and 6 female residents in this facility. However, the building is built for capacity for forty residents. Each wing accommodates handicap accessible living quarters. The facility includes a recreation room, laundry room, separate male and female television rooms, fitness center, large industrial kitchen and dining room, and a visitation room for family and friends.



Tri-Cities Work/Training Release

Most residents find employment in the food service, agribusiness, warehouse, production and

construction. Residents utilize the Work Source job training program and job fairs to assist in their employment searching. Many established Tri-Cities businesses regularly employ the work release residents.

The facility does not have medical or mental health services. If the residents need these services they would be referred to an agency within the community.

Participant Requirements

- In-house Work Detail
- Room and board \$13.50 daily
- Pay Income Tax
- Crime Victim Compensation
- Restitution
- Gain and Maintain Full-time employment
- Required Programming

Facility Services

- On-site Programming
- Community Speakers
- Supportive Staff
- Recreational Outings
- Laundry Room
- Visiting Room
- TV Room

Education and Treatment Programs

- Aftercare Treatment
- Intensive Outpatient Treatment
- Chemical Dependency Assessment
- Stress and Anger Management
- GED Classes
- Thinking for a Change
- Risk needs assessment

Treatment and Self Help Programs

Educational/self-help classes and programming is offered at Tri-Cities Work Training Release. Residents can be referred to community agencies for chemical dependency treatment, domestic violence treatment, parenting classes, mental health counseling/co-occurring disorder groups, relicensing program, and sober support meetings.

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: 2

- 115.211 Zero Tolerance of sexual abuse and sexual harassment; PREA Coordinator
- 115.251 Inmate Reporting

Number of Standards Met: 41

- 115.212 Contracting with other entities for the confinement of inmates
- 115.213 Supervision and monitoring
- 115.214 Youthful offenders
- 115.215 Limits to cross gender viewing and searches
- 115.216 Inmates with disabilities and inmates who are limited English proficient
- 115.217 Hiring and promotion decisions
- 115.218 Upgrades to facilities and technology
- 115.221 Evidence protocol and forensic medical examinations
- 115.222 Policies to ensure referrals of allegations for investigations
- 115.231 Employee training
- 115.232 Volunteer and contractor training
- 115.233 Inmate education
- 115.234 Specialized training: investigations
- 115.235 Specialized training: Medical and mental health
- 115.241 Screening for risk of victimization and abusiveness
- 115.242 Use of screening information
- 115.243 Protective custody
- 115.252 Exhaustion of administrative remedies
- 115.253 Inmate access to outside confidential support service
- 115.254 Third party reporting
- 115.261 Staff and agency reporting duties
- 115.262 Agency protection duties
- 115.263 Reporting to other confinement facilities
- 115.264 Staff first responder duties
- 115.264 Staff first responder duties
- 115.265 Coordinated response
- 115.266 Preservation of ability to protect inmates from contact with abusers

- 115.268 Post-allegation protective custody
- 115.267 Agency protection against retaliation
- 115.271 Criminal and administrative agency investigations
- 115.272 Evidentiary standard for administrative investigation
- 115.273 Reporting to inmates
- 115.276 Disciplinary sanctions for staff
- 115.277 Corrective action for contractors and volunteers
- 115.278 Disciplinary sanctions for inmates
- 115.281 Medical and mental health screenings; history of sexual abuse
- 115.282 Access to emergency medical and mental health services
- 115.283 Ongoing medical and mental health care for sexual abuse victims and abusers
- 115.286 Sexual abuse incident reviews
- 115.287 Data collection
- 115.288 Data review for corrective action
- 115.289 Data storage, publication and destruction

Number of Standards Not Met: 0

Summary of Corrective Action (if any)

Issues determined during the site review and prior to the Interim Audit Report.

115.215

The top of the shower curtains in the men’s hall are see- though and do not provide adequate privacy while showering.

Corrections made:

Prior to the auditor leaving the facility, the facility had replaced all the shower curtains. The replacement curtains provide adequate privacy.

115.213

The door to the mechanical shop (outside the fenced area) did not have signage to identify staff only or out of bounds to residents.

Corrections made:

A temporary sign was put in place and a permanent sign was ordered and installed.

The auditor recommended that an audible alarm be enabled in the visitation area. There is a storage room off of visitation that is a blind spot. The visitation room is equipped with cameras, however if the officer is busy and is not watching the camera, activity could go unnoticed. The audible alarm notifies the officer someone entered the visitation area.

Corrections made:

The audible alarm was enabled by the security company.

115.264

The facility's *Aggravated Sexual Assault Checklist* states that the first responder will request that the victim and the perpetrator not to destroy physical evidence on their bodies. This is not in compliance with this standard.

Corrections made:

The facility's *Aggravated Sexual Assault Checklist* was updated to reflect the standard language.

115.213

Corrective Action Recommended:

The facility shall develop a staffing plan utilizing the agency staffing plan template. The development of the staffing plan shall be documented, to include all staff involved in the development and that an analysis of each element is considered.

PREVENTION PLANNING

Standard 115.211: Zero tolerance of sexual abuse and sexual harassment; PREA coordinator

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

115.211 (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

115.211 (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

Auditor Overall Compliance Determination

- X **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.

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to Auditor
- 3) Policy:
 - a. WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (17 pages)
 - b. WADOC 490.850 *Prison Rape Elimination Act Response* (11 pages)
- 4) WADOC Organizational Chart
- 5) Position Description for the Agency PREA Coordinator
- 6) Interview with the following: PREA Coordinator

(by Subsection):

Subsection (a): The facility indicated in their response to the Pre-Audit Questionnaire that the agency has a written policy mandating zero tolerance to all forms of sexual abuse and sexual harassment. The facility further indicated that the agency employs a PREA Coordinator with sufficient time and authority.

WADOC 490.800, *Prison Rape Elimination Act (PREA) Prevention and Reporting*, Section 1 (A), (p. 2) states "The Department has zero tolerance for all forms of sexual misconduct. The department will impose disciplinary sanctions for such conduct, up to and including dismissal for staff. Incidents of sexual misconduct will be referred for criminal prosecution when appropriate."

WADOC 490.800 Attachment 1, *Prison Rape Elimination Act (PREA) Definitions* of the policy includes all the definitions of sexual misconduct as well as the definitions described in §115.6 of the PREA Standards.

The agency has a written comprehensive policy mandating zero tolerance towards all forms of sexual abuse and sexual harassment in the facilities it operates, both directly under their control,

as well as all under contract. The agency policy includes the definitions of prohibited behaviors, as outlined in §115.6. The policy outlines how it will implement the agency's approach to prevent and detect sexual abuse and sexual harassment. Prevention is evident in the following ways:

- Appointing a department wide PREA Coordinator
- Appointing PREA Compliance Managers for all facilities
- Background checks on all staff and contracted staff prior to employment
- Employee, contractor and volunteer education
- Resident education, to include those with disabilities
- Reviewing all incidents of sexual abuse to determine ways to prevent in the future.

Detection is evident in the following ways:

- Supervision of Staff and Residents
- Screening residents for risk of sexual victimization and abusiveness
- Providing multiple ways for residents to report

WADOC 490.850, *Prison Rape Elimination Act (PREA) Response*, outlines the agency's approach to reporting and responding to all allegations. This is evident in the following ways:

- The facility's Coordinated Response Plan
- Staff, Contractor and Volunteers duty to report
- Prohibition of Retaliation
- Referrals to Law Enforcement when there is a criminal nexus.
- Contract with Victim Advocacy

All policy's are readily available on the department's website, and can be accessed by all staff and the general public.

In addition during the site review, PREA posters could be seen in the facility stating "Washington State Department of Corrections has a zero tolerance policy regarding prison, rape, sexual misconduct and victimization."

Subsection (b): The facility indicated in their response to the Pre-Audit Questionnaire that the agency employs a full time upper-level agency-wide PREA Coordinator with sufficient time and authority to develop, implement, and oversee agency efforts to comply with the PREA standards. The PREA Coordinator position is in the WADOC organizational structure.

WADOC employs a full time upper-level agency-wide PREA Coordinator. In review of the position description and the agency's organizational chart, the PREA Coordinator position reports directly to a Deputy Director of Prisons. It is evident that the PREA Coordinator position falls into the upper level hierarchy within the Department and has the authority to develop, implement and oversee the agency's efforts to comply with the PREA standards at all of its facilities. The responsibilities of the PREA Coordinator can be found listed in WADOC 490.800, *Prison Rape Elimination Act (PREA) Prevention and Reporting*, (p. 3 and 4).

WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (page 5) states “A PREA Compliance Manager will be identified by the Superintendent for each Prison, and the Work Release Administrator will assign a PREA Compliance Manager for each Work Release.”

During an interview with the PREA Coordinator she confirmed she has the authority and time to oversee the agency’s efforts to comply with the PREA standards. She stated that in 2012 Washington State put in place a statewide implementation team, made up of all participants from all facilities. This team is charged with implementing the standards and improving the culture in the facilities. Although she reports to the Deputy Director of Prisons, she can approach the Secretary of Corrections for any issues she may have, and he is very responsive.

In addition, all Work Release facilities within the WADOC are required by policy to identify a PREA Compliance Manager within each facility. In Tri-Cities Work/Training Release, the Community Corrections Supervisor has been identified as the PREA Compliance Manager.

Finding: The agency has a comprehensive detailed policy mandating zero tolerance of all forms of sexual abuse. The policy outlines the agency’s approach to preventing, detecting and responding to such conduct. The agency employs a State PREA Coordinator, who stated in an interview that she has time and authority to oversee the agency’s efforts to comply with the PREA Standards. Although the standard does not require the agency to designate a PREA Compliance Manager at the Community Correction Center, WADOC has exceeded this standard, with the designation of a Statewide PREA Coordinator, a Statewide PREA Implementation Team and PREA Compliance Manager at each prison facility and the community correction centers.

The facility exceeds this standard.

Standard 115.212: Contracting with other entities for the confinement of residents

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

115.212 (a)

- If this agency is public and it contracts for the confinement of its residents 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 residents.) X Yes No NA

115.212 (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 residents OR the response to 115.212(a)-1 is "NO".) X Yes No NA

115.212 (c)

- If the agency has entered into a contract with an entity that fails to comply with the PREA standards, did the agency do so only in emergency circumstances after making all reasonable attempts to find a PREA compliant private agency or other entity to confine residents? (N/A if the agency has not entered into a contract with an entity that fails to comply with the PREA standards.) Yes No NA
- In such a case, does the agency document its unsuccessful attempts to find an entity in compliance with the standards? (N/A if the agency has not entered into a contract with an entity that fails to comply with the PREA standards.) 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.

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release’s completed Pre-Audit Questionnaire
- 2) Memo to Auditor
- 3) Policy:
 - a. WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (17 pages)
- 4) Contract shell for all applicable facilities demonstrating the language included in all applicable contracts
- 5) Email regarding DOJ Ruling regarding Pioneer Human Services Residential Treatment Centers not falling under the standards
- 6) Memo from Secretary Department of Corrections
- 7) Revised Code of Washington (RCW) 72.02.410 providing statutory authority for the housing of youthful residents
- 8) Memo from the PREA Coordinator-documentation of DOJ PREA Audits for each contract
- 9) Contracts with the following:

- a. American Behavioral Health System Contract K8254- Amendment #12- effective August 1, 2013.
 - b. Juvenile Rehabilitation Administration
 - c. Yakima County Contract K10470-Amendment #1-effective February 1, 2014
 - d. Clark County Department of Corrections
 - e. GEO Group Contract K10825-effective May 1, 2015
- 10) Interview with the Contract Administrator

(by Subsection):

Subsection (a): The facility indicated in their response to the Pre-Audit Questionnaire that the agency has entered into new contracts. In addition, it is reported that all contracts require the contractor to adopt and comply with the PREA Standards.

WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting*, (page 9), states “Any new or renewed contracts for the confinement of residents will include the requirement that the contracted facility comply with federal PREA standards and allow the Department to monitor PREA Compliance.”

In a memo to the auditor, TCWTR stated WADOC currently has contracts with multiple agencies for the housing of residents. All contracts include the requirement to comply with PREA Standards along with the ability of WADOC to monitor for compliance.

Below are the entities with which WADOC contracts to house offenders and current monitoring status:

1. American Behavior Health Systems

- The Organization operates three (3) facilities for residential substance abuse treatment. Residents in the community can be sanctioned to participate in this program and failure to complete the program will result in field supervision violation with possible incarceration as a sanction for the violation.
- The current contract expires June 2019.
- Information about PREA is included in the organization’s public website at <https://www.americanbehaviorhealth.net/prea>. The information includes background, reporting, investigation, annual report and audit report information.
- The organization has completed DOJ audits in all three facilities. Final reports document 100% compliance has been received and is posted to the organizational public website.
 - Chehalis Facility- last audit January 2018 with a final report issued July 18, 2018.
 - Mission Facility-last audit September 2015 with a final report issued November 1, 2015. (Audit scheduled for fall of 2018)
 - Cozza Facility-last audit January 2016 with a final report issued February 21, 2016. (Audit scheduled in Spring of 2019)

2) Rehabilitation Administration

- The state agency operates multiple facilities for housing juveniles who have been adjudicated as delinquent. The agency also houses those residents under the age of 18 who have been sentenced as adults under an interagency agreement with WADOC that

currently has no expiration date. Additionally housing of these youthful residents is driven by the Revised Code of Washington (RCW) 72.01.410 *Children under eighteen convicted of crime amounting to felony*.

- These youthful residents may be housed in any facility operated by or contracted for operation by the Rehabilitation Administration.
- The agency maintains PREA-related information on their public website, to include agency policy, data review, reporting procedures, contact information, and audit reports. <https://www.dshs.wa.gov/ra/juvenile-rehabilitation/prison-rape-elimination-act-compliance>
- The agency has completed audits by DOJ certified PREA auditors in all of its facilities.
 - Camp Outlook- final report issued May 26, 2015, facility closed in May 2015.
 - Canyon View Community Facility- final report issued January 21, 2018
 - Echo Glen Children’s Center- final report issued July 12, 2017
 - Green Hill School- final report issued August 31, 2016
 - The facility was found to be non-compliant on one (1) standard. An appeal was submitted to DOJ. The WADOC PREA Coordinated conducted several on-site visits and the facility remained in non-compliance. A new audit was conducted in August 2018, results are pending.
 - Naselle Youth Camp- final report issued August 12, 2018
 - The facility was found to be in non-compliance of several standards. WADOC currently has one (1) youthful resident housed at this facility. Due to state law, WADOC has no authority regarding the placement until his 21st birthday. An informal agreement with the agencies has been made, and there will be no placements at this facility for the next 90 days, until a plan can be made moving forward.
 - Oakridge Community Facility- final report issued July 12, 2017
 - Park Creek Community Facility- final report issued August 27, 2016
 - Pioneer Reentry Skills Center- final report issued November 5, 2015
 - Ridgeview Community Facility- final report issued July 12, 2017
 - Sunrise Community Facility- final report issued January 21, 2018
 - Touchstone Community Facility – final report issued January 21, 2018
 - Twin Rivers Community Facility- final report issued July 6, 2016
 - Woodinville Community Facility- final report issued November 30, 2015

5) Yakima County Jail

- The agency currently houses female residents transferred from the Washington Corrections Center for Women in an overflow bed capacity. The contract expired in June 2018, but has since been amended to continue through December 2018.
- The agency maintains PREA-related information on their public website, to include reporting contact information, and the 2015 final audit report; <http://yakimacounty.us/1141/Prison-Rape-Elimination-Act> .
- The agency recently had a DOJ audit and is currently in corrective action on several standards. It is anticipated that the agency will be brought into full compliance during the corrective action period.

The auditor reviewed all contracts and verified that they contain language that requires the contractors to adopt and comply with the federal PREA standards and provide for the ability of WADOC to monitor for compliance.

Subsection (b)(c): WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting*, (page 9), states “Any new or renewed contracts for the confinement of offenders will include the requirement that the contracted facility comply with federal PREA standards and allow the Department to monitor PREA Compliance.”

During an interview with the Contract Administrator, she stated that there have been no new contracts and all of the contracts currently in place contain the required PREA language. The contract facilities are required to adhere to all PREA standards. If non-compliance is determined the contract monitor will complete on-site visits until compliance has been achieved. If the facility were to remain in non-compliance status, the state offenders would be immediately removed from the facility. The auditor did confirm that all state offenders were removed from the Clark County Work Release until they have become PREA compliant.

Finding: The agency has required that all contractor facilities adopt and comply with the PREA standards. The agency currently contracts with three (3) private facilities. All contracts contained the required language as per this standard. During an interview with the Contract Administrator she explained the steps that are taken to ensure that each contracted facility is meeting those requirements.

The facility is in compliance with this standard.

Standard 115.213: Supervision and monitoring

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

115.213 (a)

- Does the agency develop for each facility a staffing plan that provides for adequate levels of staffing and, where applicable, video monitoring, to protect residents against sexual abuse? X Yes No
- Does the agency document for each facility a staffing plan that provides for adequate levels of staffing and, where applicable, video monitoring, to protect residents against sexual abuse? X Yes No
- Does the agency ensure that each facility’s staffing plan takes into consideration the physical layout of each facility in calculating adequate staffing levels and determining the need for video monitoring? X Yes No
- Does the agency ensure that each facility’s staffing plan takes into consideration the composition of the resident population in calculating adequate staffing levels and determining the need for video monitoring? X 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? X 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? X Yes No

115.213 (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 X NA

115.213 (c)

- In the past 12 months, has the facility assessed, determined, and documented whether adjustments are needed to the staffing plan established pursuant to paragraph (a) of this section? X Yes No
- In the past 12 months, has the facility assessed, determined, and documented whether adjustments are needed to prevailing staffing patterns? X Yes No
- In the past 12 months, has the facility assessed, determined, and documented whether adjustments are needed to the facility's deployment of video monitoring systems and other monitoring technologies? X Yes No
- In the past 12 months, has the facility assessed, determined, and documented whether adjustments are needed to the resources the facility has available to commit to ensure adequate staffing levels? X Yes No

Auditor Overall Compliance Determination

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

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to Auditor
- 3) WADOC Policy
 - a. WADOC 110.100 *Prison Management Expectations* (5 pages)
 - b. WADOC 110.110 *Work Release Management Expectations* (5 pages)
 - c. WADOC 300.500 *Work Release Screening* (6 pages)
 - d. WADOC 400.200 *Post Orders/Operations Manuals and Post Logs* (7 pages)
 - e. WADOC 400.210 *Custody Roster Management* (7 pages)
 - f. WADOC 420.370 *Security Inspections* (6 pages)
 - g. WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (17 pages)
- 4) May 31, 2002 memorandum between the Washington Federation of State Employees and the Department of Corrections for minimum staffing for Community Corrections Officers and clerical staff
- 5) Current staffing plan
- 6) Letter from Community Corrections Supervisor to the Appointing Authority dated June 13, 2018
- 7) Master Staffing Plan Document
- 8) Annual Review of Staffing
- 9) Interviews Conducted
 - a. Community Corrections Supervisor
 - b. PREA Coordinator

Additional Documentation Reviewed:

2019 Staffing Plan

(by Subsection):

Subsection (a): Tri-Cities Work/Training Release reported in the Pre-Audit Questionnaire the WADOC requires each facility to develop, document and make its best efforts to comply on a regular basis with a staffing plan. The average daily number of residents is thirty (30).

WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting*, (page 7) states "Each Superintendent and Work Release Community Corrections Supervisor (CCS) will use the

PREA Compliant Staffing Plan template maintained on the PREA Audit SharePoint site to develop, maintain, and annually review a staffing plan that includes an objective analysis of the facility's staffing needs and established staffing model." The policy also states that the annual review of the Staffing Plan should be in conjunction with the post audit conducted in WADOC 400.210 Custody Roster Management.

WADOC 110.110 *Work Release Management Expectations*, (page 2) states, "The Community Corrections Supervisor (CCS) will: Annually review staffing levels to ensure adequate staffing plans are in place. When both males and females are housed in the facility, at least one male and one female employee/contract staff should be available at all times, within resources provided and in accordance with local collective bargaining agreements.

- When a shift has a staffing level of one, the CCS will develop a duty roster to ensure opposite gender staffing availability based on need.
- The CCS will develop a contingency plan for other instances in which both male and female employee/contract staff is not available. "

In a memo to the auditor, TCWTR stated "staffing plans for WADOC work release facilities were originally created based upon the staffing models used for minimum security camps. Offenders are screened in advance by staff in order to determine their eligibility for placement in a work release. In addition, the contracting agencies have agreed with the current staffing ratios and each year this ratio is reviewed.

Factors taken into account when reviewing staffing models at work release facilities include, but are not limited to, the following:

- Offender population including the number of offenders and whether or not the facility is co-ed;
- Physical size of each work release facility building;
- Annual review of past staffing plans;
- Regular reviews of statistics related to critical incidents, including sexual abuse, sexual assault and harassment investigations

Each work release facility has an annual audit per the Washington Administrative Code. During that audit the staffing pattern is reviewed to ensure staffing meets the work release staffing model developed for that facility. Any unique staffing deficiencies are identified and reviewed. Requests for additional positions are then requested as part of the budget proposal to the Washington State Legislature. Part of the annual audit and the PREA audit include a review of safety and security to include security camera systems with video capability. A component of the plan is a facility vulnerability assessment, completed to identify and address areas or processes creating risk."

TCWTR provided a copy of the May 31, 2002 memorandum between the Washington Federation of State Employees and the Department of Corrections for minimum staffing for Community Corrections Officers and clerical staff. This document was reviewed by the auditor.

The auditor reviewed a memo from the Community Corrections Supervisor requesting an addition FTE position for the day shift. "Since there is only one Correctional Officer on day shift, this presents some challenges in the ability to conduct all their job duties while monitoring the residents to deter PREA incidents."

A PREA Vulnerability Assessment was reviewed by this auditor. The staff to activity ratio was identified as a potentially high risk of vulnerability as cross-gender urinalysis and pat searches cannot occur.

Subsection (b): TCWTR reported in the Pre-Audit Questionnaire that there have been no deviations from the staffing plan.

During the review of the staffing plan the auditor did not note deviations from the plan.

Subsection (c): TCWTR reported in the Pre-Audit Questionnaire that at least once a year the facility/agency, in collaboration with the PREA Coordinator, reviews the staffing plan.

WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (page 7) states "Each Superintendent and Work Release Community Corrections Supervisor (CCS) will use the PREA Compliant Staffing Plan template maintained on the PREA Audit SharePoint site to develop, maintain and annually review a staffing plan that includes an objective analysis of the facility's staffing needs and established staffing model. (2) Reviews will document consultation with the PREA Coordinator, who will be provided a copy of the completed PREA Compliant Staffing Plan.

During an interview with the PREA Coordinator, she stated that she is involved in the formal review process.

Finding: In determining compliance with this provision of the standard, the auditor must review the staffing plan development process, to ensure that the plan accurately reflects the facility's needs and a careful analysis of each of the elements required for consideration. The facility provided no documentation on how the plan was developed, who was involved in the development process or if any of the elements listed above were considered.

WADOC requires that the facility, follow the agency staffing plan template. The staffing plan does not meet the agency policy or is PREA Compliant.

Corrective Action Recommended:

- 1) The facility shall develop a staffing plan utilizing the agency staffing plan template. The development of the staffing plan shall be documented, to include all staff involved in the development and that an analysis of each element is considered. The auditor cannot determine if the staffing plan is annually reviewed, as the facility was unable to provide the previous year staffing plan.

After the issuance of the Interim Audit Report, the auditor and the facility discussed the recommended corrective action for the provision and agreed upon a plan with assigned dates for completion. On May 4, 2019, the auditor received the annual review of the facility staffing plan. The Staffing Plan is consistent with the agency's staffing plan template. The Staffing Plan is

reviewed annually by the Community Corrections Supervisor and the executive management team. The plan depicts a careful analysis of each element required for consideration. The facility provided a copy of the memo to the State PREA Coordinator, which documents her consultation. The facility has effectively demonstrated compliance during the corrective action period with supporting documentation.

The facility is in compliance with this standard.

Standard 115.215: Limits to cross-gender viewing and searches

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

115.215 (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?
X Yes No

115.215 (b)

- Does the facility always refrain from conducting cross-gender pat-down searches of female residents, except in exigent circumstances? (N/A if less than 50 residents)
X Yes No NA
- Does the facility always refrain from restricting female residents' access to regularly available programming or other outside opportunities in order to comply with this provision? (N/A if less than 50 residents) X Yes No NA

115.215 (c)

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

115.215 (d)

- Does the facility implement policies and procedures that enable residents 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? X Yes No

- Does the facility require staff of the opposite gender to announce their presence when entering an area where residents are likely to be showering, performing bodily functions, or changing clothing? X Yes No

115.215 (e)

- Does the facility always refrain from searching or physically examining transgender or intersex residents for the sole purpose of determining the resident's genital status? X Yes No
- If a resident's genital status is unknown, does the facility determine genital status during conversations with the resident, 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? X Yes No

115.215 (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? X Yes No
- Does the facility/agency train security staff in how to conduct searches of transgender and intersex residents in a professional and respectful manner, and in the least intrusive manner possible, consistent with security needs? X Yes No

Auditor Overall Compliance Determination

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

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to the Auditor

- 3) Policy:
 - a. WADOC 420.310 *Searches of Offender* (5 pages)
 - b. WADOC 420.312 *Body Cavity Search* (5 pages)
 - c. WADOC 420.325 *Searches and Contraband for Work Release* (4 pages)
 - d. WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (17 pages)
 - e. WADOC 490.820 *Prison Rape Elimination Act (PREA) Risk Assessments and Assignments* (12 pages)
- 4) Pat Search Training curriculum
- 5) Tri-Cities View Work Release training log
- 6) Interviews with the following:
 - a. Random Resident
 - b. Random Staff

(by Subsection):

Subsection (a): TCWTR reported in the Pre-Audit Questionnaire that the facility does not conduct cross-gender strip searches or cross gender visual body cavity searches of residents. There have not been any cross gender strip or visual body cavity searches performed during the documentation period.

WADOC 420.310 *Searches of Offender* (page 4-5) states “A strip search must be conducted by 2 trained employees. Staffing will meet the following gender requirements, unless waiting for an employee of the designated gender may result in serious bodily injury to the offender, the employee, or others. (a) Strip searches of female offenders will be conducted by female employees. (b) Strip searches of male offenders require that one of the employees conducting the search be male. If the second person conducting the strip search is female, she will position herself to observe the employee during the strip search, but will not be in direct line of sight of the offender.

WADOC 420.310 *Searches of Offender* (page 4) “All Strip Searches will be documented before the search, or as soon as possible after the completion of an emergent strip search. This documentation must contain, at a minimum: date of search, name of offender, DOC number, reasons for search, and names and genders of the employees conducting the search.”

WADOC 420.312 *Body Cavity Search* (page 3) states “All participants in a body cavity search will be the same gender as the offender.”

WADOC 420.325 *Search and Contraband for Work Release* (page 2 and 3) states “A. Offender are subject to electronic and pat searches in Work Release. If the CCS determine there is reasonable suspicion that the offender is concealing contraband which warrants a strip or body cavity search, the offender can be transported to a Prison to conduct the search. (C) Pat searches will be conducted by a trained employee of the same gender as the offender being searched, except in emergency situations.”

In a memo to the auditor, TCWTR stated “offenders in WADOC work release facilities are subject to electronic and pat searches by same gender staff. In the event there is reasonable suspicion that the offender is concealing contraband that warrants a strip or body cavity search, the offender will be transported by staff to either a local jail or prison for the search to be conducted.”

Subsection (b): TCWTR reported in the Pre-Audit Questionnaire that the facility does not conduct or permit cross-gender pat-down searches of female residents except in exigent circumstances. There have not been any pat down searches of female residents conducted.

WADOC 420.325 *Searches and Contraband for Work Release* (page 3) states “Pat searches will be conducted by a trained employee of the same gender as the offender being searched, except in emergency situations.

During interviews with random staff members three (3) reported that cross gender pat down searches are not allowed, two (2) did not know if they could or not. The two staff members were from the kitchen and would not conduct pat searches.

Subsection (c): TCWTR reported in the Pre-Audit Questionnaire that the facility does not permit cross-gender strip searches and cross-gender visual body cavity searches. There was no need to document such searches because they are not permitted.

WADOC 420.310 *Searches of Offender* (page 4) “All Strip Searches will be documented before the search, or as soon as possible after the completion of an emergent strip search. This documentation must contain, at a minimum: date of search, name of offender, DOC number, reasons for search, and names and genders of the employees conducting the search.”

WADOC 420.325 *Searches and Contraband for Work Release* (page 4) “Offenders are subject to electronic and pat searches in Work Release. If the CCS determines there is reasonable suspicion that the offender is concealing contraband which warrants a strip or body cavity search, the offender can be transported to a Prison to conduct the search. “Page 4 further states, “When a male employee pat searches a female offender, a report will be completed in the Incident Management Reporting System (IMRS) before the end of shift. The distribution will include the PREA Coordinator.”

During interviews with random staff three (3) reported, the facility does not conduct strip searches; two (2) non-custody staff indicated they do not conduct strip searches. During random resident interviews, it was confirmed that staff do not conduct strip searches.

Subsection (d): TCWTR reported in the Pre-Audit Questionnaire that the facility has implemented policies and procedures that enable residents to shower, perform bodily functions and change clothing without non-medical staff of the opposite gender viewing them.

WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (page 8) states “Offenders will be provided the opportunity to shower, perform bodily functions, and change clothing without non-medical staff of the opposite gender viewing their breasts, buttocks, or genitalia, except in exigent circumstances or when such view is incidental to routine checks. This includes viewing via surveillance systems.”

WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (page 8) states “An announcement will be made indicating “man on the unit or “woman on the unit”, by anyone who does not identify with the facility’s gender designation, loud enough and often enough to reasonable be heard by the occupants of a housing unit, including the living area (e.g., where incarcerated individuals sleep), or any common area designated for offenders to disrobe or change their clothing (e.g., bathrooms, showers).

In a memo to the auditor TCWTR stated WADOC has standardized the “knock and announce” process within each of its facilities.

During interviews with random residents, all eight (8) reported opposite gender staff will knock and then announce their presence when entering and exiting the hallways to rooms, resident rooms and restrooms. There was one (1) resident who reported that there was no privacy in the shower as the shower curtains were too low. The auditor did observe the showers. The shower curtains were discussed with the facility. The curtains in the men’s bathroom were replaced with curtains that appear to provide ample privacy.

During interviews with staff all stated they knock before entering the hallways to rooms, resident rooms and restrooms, followed by announcing themselves. The auditor further learned this is done by clearly announcing loud enough to be heard “female staff entering” or “male staff entering.” The auditor observed the “knock and announce” during the site review.

Subsection (e): TCWTR reported in the Pre-Audit Questionnaire that the facility has a policy prohibiting staff from searching or physically examining a transgender or intersex resident for the sole purpose of determining the resident’s genital status.

WADOC 490.820 *Prison Rape Elimination Act (PREA) Risk Assessments and Assignments* (page 8) states Employees/contact staff will not search or physically examine a transgender or intersex offender for the sole purpose of determining the offender’s genital status. If the offender’s genital status is unknown, it will be determined by health care providers during conversations with the offender, by review medical records or, if necessary, as part of a broader medical examination conducted in private by a health care practitioner.

In a memo to the auditor, TCWTR stated that “the facility does not physically examine a transgender or intersex resident for the sole purpose of determining the resident’s genital status. Generally, the resident’s disclosure of status is the determining factor which would then imitate a housing review protocol as outline in standard 115.42.”

During random staff interviews all staff reported that they cannot conduct strip searches on any resident, including transgender residents.

At the time of the site review, the auditor verified through informal interviews with staff and residents that there are no residents currently housed at the facility, that identify as being a transgender or intersex resident therefore no interview was conducted.

Subsection (f): TCWTR reported in the Pre-Audit Questionnaire that all security staff has received training on conducting cross-gender pat-down searches and searches of transgender and intersex residents in a professional and respectful manner, consistent with security needs.

WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting*, (page 11) states “Employees/contract staff who may conduct pat searches will be trained in cross-gender searches and searches of transgender and intersex offenders.”

In a memo to the auditor, TCWTR stated, “all staff who might perform searches at Tri-Cities Work/Training Release have received pat search training, which includes information about conducting cross-gender pat searches, searches of transgender and intersex offenders, and searches of both male and female offenders. This training was provided to all staff via the on-line training system in February 2014. As of February 2014, all new staff receives this training in Correctional Worker CORE or applicable academy classes.”

The pat-search training curriculum was provided and reviewed by the auditor. The training contained a statement “All pat searches should be conducted professional and thoroughly”. The curriculum does cover information regarding conducting cross gender pat searches, searches of transgender and intersex residents and searches of both male and female residents.

The auditor reviewed a tracking list of all relevant staff and the date they completed the training. All relevant staff has received the pat search training.

During random staff interviews, three (3) stated they had received the training and two (2) stated they do not conduct pat searches and have not received the training do so. The two (2) employees were “administrative” employees, and as such would not perform pat searches.

The auditor randomly chose and reviewed seven (7) employee files, in six (6) of the seven (7) the pat search training was depicted on the LMS training transcript.

Finding: No strip or body cavity searches are conducted at the facility. If there was a need for a resident to be strip searched, the resident would be taken the local jail or the closet facility. This was confirmed by the auditor during informal and formal interviews with staff. The female residents reported that pat-searches are conducted by female staff and they have not been restricted from available programming due to the unavailability of the female staff. All training files reviewed by the auditor suggested that all relevant employees have attended the pat search training, which included cross gender pat searches and searches of transgender inmate. During staff interviews the staff appeared to know and understand that a transgender resident could not be physically searched to determine genital status. Tri-Cities Work/Training Release utilizes the “knock and announce” method, which appears to allow the residents ample privacy to shower, perform bodily functions or change clothing. Shower curtains which hung to low, were immediately replaced with adequate curtains. No cameras were position that could allow for viewing into the bathrooms or into the resident rooms.

The facility is in compliance with this standard.

Standard 115.216: Residents with disabilities and residents who are limited English proficient

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

115.216 (a)

- Does the agency take appropriate steps to ensure that residents 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: Residents who are deaf or hard of hearing? X Yes No
- Does the agency take appropriate steps to ensure that residents 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: Residents who are blind or have low vision? X Yes No
- Does the agency take appropriate steps to ensure that residents 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: Residents who have intellectual disabilities? X Yes No
- Does the agency take appropriate steps to ensure that residents 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: Residents who have psychiatric disabilities? X Yes No
- Does the agency take appropriate steps to ensure that residents 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: Residents who have speech disabilities? X Yes No
- Does the agency take appropriate steps to ensure that residents 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.) X Yes No
- Do such steps include, when necessary, ensuring effective communication with residents who are deaf or hard of hearing? X 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? X Yes No
- Does the agency ensure that written materials are provided in formats or through methods that ensure effective communication with residents with disabilities including residents who: Have intellectual disabilities? X Yes No
- Does the agency ensure that written materials are provided in formats or through methods that ensure effective communication with residents with disabilities including residents who: Have limited reading skills? X Yes No

- Does the agency ensure that written materials are provided in formats or through methods that ensure effective communication with residents with disabilities including residents who: Are blind or have low vision? X Yes No

115.216 (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 residents who are limited English proficient? X Yes No
- Do these steps include providing interpreters who can interpret effectively, accurately, and impartially, both receptively and expressively, using any necessary specialized vocabulary? X Yes No

115.216 (c)

- Does the agency always refrain from relying on resident interpreters, resident readers, or other types of resident assistants except in limited circumstances where an extended delay in obtaining an effective interpreter could compromise the resident's safety, the performance of first-response duties under §115.264, or the investigation of the resident's allegations? X Yes No

Auditor Overall Compliance Determination

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

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy:
 - a. WADOC 310.000 *Orientation for Offenders* (8 pages)

- b. WADOC 450.500 *Language Services for Limited English Proficient (LEP) Offenders* (7 pages)
- c. WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (17 Pages)
- d. WADOC 690.400 *Offenders with Disabilities* (8 pages)
- 4) List of DOC Sign Language Contract Interpreters
- 5) Position Description for Deaf Services Coordinator
- 6) ADA PowerPoint Training
- 7) Facilitator Guide (limited intellectual capabilities)
- 8) Monthly Interpreter Report
- 9) Memo for WADOC Secretary
- 10) PREA posters and Brochures in Spanish
- 11) Interviews with the following:
 - a. Community Corrections Supervisor
 - b. Random Staff

(by Subsection):

Subsection (a): TCWTR reported in the Pre-Audit Questionnaire that the agency has established procedures to provide disabled residents an equal opportunity to participate in or benefit from all aspects of the agency's effort to prevent, detect, and respond to sexual abuse and sexual harassment.

WADOC 310.000 *Orientation for Offenders* (page 3-4) states "Offenders will receive orientation information, both orally and in writing, in a manner that is clearly understood by offenders. The orientation will, at a minimum, include: Information on the Prison Rape Elimination Act (PREA), including (a) DOC 490.800 Prevention and Reporting of Sexual Misconduct, DOC 490.850 Response to Investigation of Sexual Misconduct, related operational memorandums, the Prison Rape Elimination Act of 2003, and other applicable state or federal laws, including potential criminal penalties (b) Department zero tolerance (c) Definitions and examples of prohibited and/or illegal behaviors that might constitute sexual misconduct (d) Self protections strategies (e) Prevention and intervention (f) Offender sexual misconduct (g) Examples of conduct, circumstances, and behaviors that may be precursors to sexual misconduct (h) Various ways sexual misconduct may be reported (i) That all allegations of sexual misconduct are taken seriously and investigated thoroughly (j) Confidentiality in cases of sexual misconduct (k) Treatment and counseling (l) Staff requirement to report allegations (m) Protection against retaliation and (n) Disciplinary actions for making false allegations"

WADOC 310.000 *Orientation for Offenders* (page 4-5) (F) states "When a literacy or language problem exist. Staff will assist the offender in understanding the material per DOC 450.500 Language Services for Limited Proficient (LEP) Offenders. (G) Spanish speaking offenders will attend a Spanish version of the orientation program. The Spanish orientation will notify offenders of the Spanish translated materials and services that are available. (H) Each facility will develop processes for non-Spanish speaking Limited English Proficiency offenders, including those requiring sign language interpretations, to receive orientation in a language they understand per

DOC 450.000 Language Services for Limited English Proficient (LEP) Offenders. This orientation will include information on: (5) PREA.”

WADOC 690.400 *Offenders with Disabilities* (page 2) states “Offenders with disabilities will be provided reasonable accommodations that allow participation in services, programs, and activities, which include (1) Modifying policies, practices, or procedures, when reasonable (2) removing barriers to access, and (3) Providing auxiliary aids and services.”

WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (page 5) states “Professional interpreter or translation services, including sign language, are available to assist offenders in understanding this policy, reporting allegations, and/or participating in investigations of sexual misconduct per DOC 450.500 Language Services for Limited English Proficient (LEP) Offenders.

In a memo to the auditor, TCWTR stated “there have been no residents at Tri-Cities Work/Training Release that has requested accommodations related to this provision of PREA information or any use of orientation material to special needs resident.”

WADOC hired a Deaf Services Coordinator and provided the auditor with the position description which states “This position supports the Department’s mission to improve public safety by managing sign language interpreting services for the Department of Corrections to ensure the deaf and hard of hearing offenders have effective access to programs, services and activities.” In addition the auditor was provided with a DOC Sign Language Contract Interpreter Log.

During the site review there were no residents assigned that had a disability or that were limited English proficient. This was confirmed through observation, informal and formal interviews with staff and residents.

Subsection (b): WADOC 450.500 *Language Services for Limited English Proficient (LEP) Offenders* (page 2) states “The Department will provide interpretation (i.e., oral) and translation (i.e., written) services through Department and/or contract services at all Department facilities and Field Office. The Department will also provide guidelines for interpretation and translation services for Limited English Proficiency (LEP) offenders under Department jurisdiction.

WADOC 450.500 *Language Services for Limited English Proficient (LEP) Offenders* (page 3) states “Services will only be provided through Department certified interpreters/translators and/or available state contracted vendors listed under the Translation/Interpretation on the Inside DOC. LEP Coordinators will document all services on DOC 16-340 Limited English Proficiency (LEP) Coordinator Monthly Report.”

During an interview with the WADOC Secretary, he stated that the agency provides all PREA information in both English and Spanish. There are also contracts in place for interpreters, including the language line.

WADOC has two separate contracts with the Washington Department of Enterprise Systems that is utilized by state agencies to provide language interpreting services.

- Contract 10306- provides offenders that are limited English proficient with access to in-person language interpretation conducted by the court certified and non-court certified interpreters.
- Contract 03508- provides offenders with access to telephone based services on an “as needed” basis.

The services are available to all staff to assist limited English offenders in reporting allegations and participating in the investigatory process. These services can be accessed through the Interpretation Vendors Portal. The agency contracts with Sign Language Interpreters, as well as having a Deaf Services Coordinator on Staff.

During the site review the auditor observed PREA signs posted throughout the facility both in English and in Spanish. Offenders are able to view the PREA Orientation Video in English, Spanish and has closed caption for the offenders hard of hearing. Any Residents visually impaired are able to listen to the video.

TCWTR indicated that during the documentation period for this audit there has been no usage of the Language Line or staff interpreters to assist (LEP) offenders.

WADOC requires that use of the interpreters or translators be documented. The auditor reviewed the monthly logs for August 2018 and October 2018. There were no entries that the service had been used during these months.

Subsection (c): TCWTR reported in the Pre-Audit Questionnaire that agency policy prohibits the use of resident interpreters, resident readers or other types of resident assistants except in limited circumstances where an extended delay in obtaining an effective interpreter could compromise the resident’s safety, the performance of first-response duties under §115.264 or the investigation of the resident’s allegations.

WADOC 490.800 *Prison Rape Elimination Act (PREA) Preventing and Reporting*, (page 5) states “Professional interpreter or translation services, including sign language, are available to assist the offender in understand this policy, reporting allegations, and/or participating in investigations of sexual misconduct per DOC 450.500 Language Services for Limited English Proficient (LEP) Offenders. (1) Offenders are not authorized to use interpretation/translation services from other offenders, family members, or friends for these purposes.”

WADOC 450.500 *Language Services for Limited English Proficient (LEP) Offenders* states in part that “Services will only be provided through Department certified interpreters/translators and/or available state contracted vendors listed under the Translation/Interpretation on InsideDOC. LEP Coordinators will document all services on the DOC 16-340 Limited English Proficiency (LEP) Coordinator Monthly Report.

In a memo to the auditor, TCWTR stated “agency policy prohibits the use of offenders, family members and friends as interpreters or translators. Staff members are used as interpreters/translators for PREA-related issues only in exigent circumstances. No such instances occurred during this reporting period.”

During the random interviews with staff, five (5) random staff were interviewed, one (1) reported that they didn't know and, the remaining four (4) all stated no you couldn't use a resident to interpret, and were knowledgeable that there are interpreters you could call.

During the site review, there were no reported limited English residents. The auditor did not have difficulty with speaking to any of the residents that were interviewed informally or formally. No targeted interview was conducted.

Finding: TCWTR has established procedures to provide disabled and limited English residents equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect and respond to a sexual abuse or sexual harassment. The residents are offered a multiple array of avenues to facilitate participation.

The agency has a policy that prohibits the use of inmate interpreters or inmate readers. Interviews with staff corroborated they would not use a resident to interpret for them.

The facility is in compliance with this standard.

Standard 115.217: Hiring and promotion decisions

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

115.217 (a)

- Does the agency prohibit the hiring or promotion of anyone who may have contact with residents 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)? X Yes No
- Does the agency prohibit the hiring or promotion of anyone who may have contact with residents 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? X Yes No
- Does the agency prohibit the hiring or promotion of anyone who may have contact with residents who: Has been civilly or administratively adjudicated to have engaged in the activity described in the question immediately above? X Yes No
- Does the agency prohibit the enlistment of services of any contractor who may have contact with residents 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)? X Yes No
- Does the agency prohibit the enlistment of services of any contractor who may have contact with residents 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? X Yes No

- Does the agency prohibit the enlistment of services of any contractor who may have contact with residents who: Has been civilly or administratively adjudicated to have engaged in the activity described in the question immediately above? X Yes No

115.217 (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 residents? X Yes No

115.217 (c)

- Before hiring new employees, who may have contact with residents, does the agency: Perform a criminal background records check? X Yes No
- Before hiring new employees, who may have contact with residents, 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? X Yes No

115.217 (d)

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

115.217 (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 residents or have in place a system for otherwise capturing such information for current employees? X Yes No

115.217 (f)

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

115.217 (g)

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

115.217 (h)

- Unless prohibited by law, 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.) X Yes No NA

Auditor Overall Compliance Determination

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

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to Auditor
- 3) Policy:
 - a. WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (17 Pages)
 - b. WADOC 810.015 *Criminal Record Disclosure and Fingerprinting* (5 pages)
 - c. WADOC 810.800 *Recruitment, Selection and Promotion* (8 Pages)
 - d. WADOC 400.320 *Terrorism Activity* (4 Pages)
 - e. WADOC 800.005 *Personnel Files* (5 pages)
- 4) Spreadsheet with all employees hired or promoted within the audit documentation period
- 5) Samples of Sexual Misconduct and Institutional Employment disclosure forms
- 6) Contract Shell Language
- 7) WADOC Sign Language Contract Interpreters with training completion dates and background check completion
- 8) NCIC check example
- 9) Facility Employee log with training completion dates and background check completion
- 10) Memo from Headquarters dated September 14, 2017
- 11) PREA 101 curriculum demonstrating information on continuing duty to report
- 12) Interviews with the following:
 - a. Administrative (Human Resources) staff

(by Subsection):

Subsection (a)(b): TCWTR reported in the Pre-Audit Questionnaire that the agency prohibits hiring or promoting anyone who may have contact with residents and prohibits enlisting the services of any contractor who may contact with residents who:

- Has engaged in sexual abuse in a prison, jail lockup, community confinement facility, juvenile facility, or instructional setting.
- 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.
- Has been civilly or administratively adjudicated to have engaged in the activity described in paragraph 1 of this section.

WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (page 6) states "(A) The Department has established staffing practices as follows: (1) to the extent permitted by law, the Department will not knowingly hire, promote, or enlist the services of anyone who: (a) has engaged in sexual misconduct in a Prison, jail, lockup, community confinement facility, juvenile facility, or other institution as defined in 42 U.S. C. 1997 (b) has engaged in sexual misconduct with an offender on supervision (c) 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 (d) has been civilly or administratively adjudicated to have engaged in the activity described above.

WADOC 810.015 *Criminal Record Disclosure and Fingerprinting* (page 4) states “Failure to fully divulge criminal information on the part of an individual subsequently employed, promoted, or authorized to provide services for the Department may be cause for disciplinary action, up to and including dismissal or termination of services.

WADOC 810.800 *Recruitment, Selection, and Promotion* (page 5) states “The Appointing Authority will ensure the following is conducted on the preferred candidate before appointment (2) Completion of DOC 03-506 Sexual Misconduct and Institutional Employment/Services Disclosure (a) to the extent possible for external candidates, including former employees/contract staff/volunteers, all previous institutional employers will be contracted for information on substantiated allegations of sexual misconduct or any resignation pending investigation of alleged sexual misconduct.

WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (page 6) states (B) The Department will consider any incidents of sexual harassment in determining whether to hire, promote, or enlist the services of anyone who may have contact with offenders.”

In a memo to the auditor, TCWTR stated “WADOC requires that each individual who is hired or promoted and each contractor who may have contact with offenders complete form DOC 03-506, *Sexual Misconduct and Institutional Employment/Self Disclosure*. In addition, the PREA database maintained within the Offender Management Network Information (OMNI) system is reviewed before an individual is hired or promoted to ensure there are no investigations or allegations requiring review.”

The auditor reviewed the DOC 03-506 form. The form contained the following questions:

- Have you ever engaged in sexual abuse in a prison, jail lockup, community confinement facility, juvenile facility, or instructional setting?
- Have you ever been civilly or administratively adjudicated (there was formal finding and a judgment or decision was rendered in a civil or administrative proceeding) or otherwise found to have engaged or attempted to engage in sexual abuse/assault in any setting?
- Have you ever been accused of or investigated for sexual harassment or sexual involvement of any type in any place you have worked or volunteered?
- Have you been the subject of substantiated allegations of sexual abuse or sexual harassment or resigned during a pending investigation or alleged sexual abuse or sexual harassment?
- Have you ever engaged in any other incident of sexual harassment or sexual misconduct not already addressed above?

During an interview with the Human Resource Manager, she stated that the self disclosure form is part of the application packet. Each applicant must answer all questions.

The facility reported eighteen (18) DOC employees at the facility. The auditor reviewed seven (7) employee files. There were three (3) files of the seven (7) reviewed that were hired during the

reporting period, in all three (3) files the employee responded to all questions contained on the DOC 03-506 form prior to the date of hirer.

The facility reported there had not been any promotions of staff, during the reporting period or contractors hired during the reporting period.

Subsection (c): WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (page 6) states “The Department will obtain information through one or more of the following: 1) Washington Crime Information Center (WACIC)/National Crime Information Center (NCIC) records checks 2) Employment/volunteer application 3) reference checks 4) Personnel file review 5) Contract disclosure statements

WADOC 810.015 *Criminal Record Disclosure and Fingerprinting* (page 4) states “Failure to fully divulge criminal information on the part of an individual subsequently employed, promoted, or authorized to provide services for the Department may be cause for disciplinary action, up to and including dismissal or termination of services.

WADOC 810.800 *Recruitment, Selection, and Promotion* (page 5) states “The Appointing Authority will ensure the following is conducted on the preferred candidate before appointment (2) Completion of DOC 03-506 Sexual Misconduct and Institutional Employment/Services Disclosure (a) to the extent possible for external candidates, including former employees/contract staff/volunteers, all previous institutional employers will be contacted for information on substantiated allegations of sexual misconduct or any resignation pending investigation of alleged sexual misconduct.

In a memo to the auditor, TCWTR stated “WADOC requires that each individual who is hired completes form DOC 03-506, Sexual Misconduct and Institutional Employment/Service Disclosure. Human Resources personnel ensure a criminal background investigation is completed and make their best efforts to contact all prior institutional employers before the hiring process is complete.”

During an interview with the Human Resource Manager, she confirmed that a background check is completed on all potential employees, prior to them being hired. If they have prior institutional employment, they will make contact with the prior employer.

The auditor reviewed seven (7) employee files. There were three (3) files of the seven (7) reviewed that were hired during the reporting period, all three (3) files contained documentation that a background check had been completed prior to the date of higher. However, the remaining four (4), did not have documentation of a background check, two (2) had been at the facility over five (5) years, the other two (2) had been there under five (5) years. The facility did provide the background checks on all four (4) individuals and are in compliance.

The facility provided the auditor with a log of all employees which depicts when a background check was last completed. The facility also provided five (5) samples of background checks for prospective employees.

The auditor reviewed one (1) employee file with prior institutional employment. The employee had filled out the Sexual Misconduct and Institutional Employment/Self Disclosure form and contact was made with the previous employer.

Subsection (d): WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (page 6) states “The Department will obtain information through one or more of the following: 1) Washington Crime Information Center (WACIC)/National Crime Information Center (NCIC) records checks 2) Employment/volunteer application 3) reference checks 4) Personnel file review 5) Contract disclosure statements

WADOC 810.800 *Recruitment, Selection, and Promotion* (page 5) states “The Appointing Authority will ensure the following is conducted on the preferred candidate before appointment (2) Completion of DOC 03-506 Sexual Misconduct and Institutional Employment/Services Disclosure (a) to the extent possible for external candidates, including former employees/contract staff/volunteers, all previous institutional employers will be contracted for information on substantiated allegations of sexual misconduct or any resignation pending investigation of alleged sexual misconduct.

In a memo to the auditor, TCWTR stated that WADOC requires the completion of a thorough criminal background check for every individual entering the facility who may have contract with offenders.”

The facility has no contract staff working at the facility. A log of all DOC Sign Language Contract Interpreters was provided. All contract interpreters on the list have had a background check.

Subsection (e): WADOC 810.015 *Criminal Record Disclosure and Fingerprinting* (page 3) states “The designation unit/employee will establish a process to ensure that criminal background checks are run for all current volunteers, contract staff, and unarmed employees at least every 5 years.

In a memo to the auditor, TCWTR stated the following process has been established to ensure all required employees criminal background check are completed at least every five (5) years.

- Human Resource Department conducts all initial new higher criminal background checks. A Human Resource Consultant will maintain all criminal history records for custody and non-custody staff. A new criminal history check will be completed on all staff prior to the five year mark.

During an interview with the Human Resource Manager she confirmed background checks are completed every five (5) years.

The auditor requested documentation of the five (5) year background checks for two (2) employees that had been employed at the facility for longer than five (5) years. The facility was unable to provide the auditor with documentation that the criminal history had been completed. The facility was only able to provide documentation of criminal history checks on newly hired employees.

Subsection (f)(g): WADOC 800.005 *Personnel Files* (page 4) states “To the extent possible, institutional employers seeking employment verification will be provided all available information on substantiated allegations of sexual misconduct or harassment. (1) Employment verification requests from institutional employers will be directed to the Appointing Authority, who will coordinate the review and response.

In a memo to the auditor, TCWTR stated, “in order to satisfy the requirement to ask current employees about prohibited conduct “in any interview or written self-evaluations conducted as part of reviews of current employees”, WADOC incorporated the following questions into its annual PREA training which is administered to all employees via the electronic LMS.

- Have you ever engaged in sexual abuse in a prison, jail, lockup, community confinement facility, juvenile facility or other institution?
- Have you ever engaged in sexual misconduct with an offender on supervision?
- Have you ever been convicted of or otherwise found to have engaged or attempted to engage in sexual abuse/assault in any setting?

By incorporating these self-disclosure questions into annual LMS training, instead of requiring supervisors to ask them of employees during yearly performance reviews, WADOC has the ability to ensure a higher participation and compliance rate, automatically generated and more reliable documentation and faster notification and response to concerning disclosures.”

The auditor reviewed the “DOC PREA Disclosure Test” sections of the LMS training. The first screen informs the employee that they must complete the test and score 100 percent to pass the test. Each question is a true or false question. The remaining questions are as follows:

- I acknowledge and under that I have a continuing affirmative duty to disclose and immediately report to my Appointing Authority my involvement in any form of sexual misconduct. Therefore I confirm the following: I have not knowingly engaged in sexual misconduct with an offender on supervision.
- I have not engaged in sexual abuse in a prison/jail/lockup/community confinement/juvenile or other institution (e.g., facility for mentally ill, disabled, chronically ill, or handicapped residential care or treatment facility for juveniles: facility that provides skilled nursing, intermediate or long term care or custodial or residential care).
- I have never been convicted of or otherwise found (e.g., civilly, administratively) to have engaged or attempted to engage in sexual abuse/assault in any setting.
- I have not engaged in any incident of sexual harassment or sexual misconduct not addressed above.
- Acknowledgement: All answers and statements are true and complete to the best of my knowledge. I understand the untruthful answers or deliberate omission may be cause for disciplinary action (for employees) or termination of services (for contractors or volunteers)

Subsection (h): In a memo the auditor, TCWTR stated “WADOC provides upon request all available information regarding substantiated allegations of sexual misconduct or harassment to institutional employers seeking employment verification upon receipt of a release from the former employee. Generally, this information is provided verbally in response to telephone inquiries from potential employers. Neither agency policy nor protocols require the maintenance of logs documenting responses provided. Therefore there would be no documentation applicable to this standard.”

During an interview with the Human Resource Manger, it was stated that the agency does provide the information requested by another facility, if they have a signed waiver; however these requests are not documented.

Findings: Agency policy requires that a background check is completed on all new employees, contract staff and volunteers. If an employee worked for a confinement facility the agency makes its best efforts to contact prior employers. All new employees are asked about previous sexual misconduct and existing staff are instructed that they have a continuing duty to disclose any such conduct.

The facility is in compliance with this standard.

Standard 115.218: Upgrades to facilities and technologies

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

115.218 (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 residents 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

115.218 (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 residents 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.

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release completed Pre-Audit Questionnaire
- 2) Memo to Auditor
- 3) Policy:
 - a. 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (17 pages)
- 4) Facility Floor Plan with new and upgraded cameras locations
- 5) Facility Floor Plan with old camera locations
- 6) Interview
 - a. WADOC Secretary

(by Subsection):

Subsection (a)(b): TCWTR reported in the Pre-Audit Questionnaire the agency has not acquired any new facilities or made any substantial expansions or modifications of existing facilities since August 20, 2012., and has installed or updated the video monitoring system.

WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (page 7) states “The Department will consider possible effects on its ability to protect offenders from sexual misconduct when: (1) Designing or acquiring a new facility (2) Planning substantial expansions or modification of existing facilities, and (3) installing or updating video monitoring systems, electronic surveillance systems, or other monitoring technology.

TCWTR stated in a memo “that in planning a substantial expansion or modification of existing facilities, the WADOC hires a consultant who has expertise in the design of correctional facilities and understands the importance of offender and staff safety. The agency provides an instruction to consultants based upon the owner’s approved program and/or predesigned documents, WADOC policies, standards, guidelines and specification, including PREA standard 115.218.

Since the last Department of Justice PREA audit, the facility has installed seven (7) cameras within and out of the facility.

The auditor reviewed the floor plans, depicting the location of each camera within the facility.

During an interview with the WADOC Secretary, he stated when installing new cameras, there is careful consideration on the location, to reduce blind spots. Data from previous substantiated or unsubstantiated cases is also considered.

Finding: During the reporting period, the facility installed seven (7) new cameras within the facility. The WADOC Secretary confirmed that consideration of the agency’s ability to protect residents from sexual abuse would be considered if an expansion or updates to the video monitoring system were to take place.

The facility is in compliance with this standard.

RESPONSIVE PLANNING

Standard 115.221: Evidence protocol and forensic medical examinations

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

115.221 (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.) X Yes No NA

115.221 (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.) X 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.) X Yes No NA

115.221 (c)

- Does the agency offer all residents who experience sexual abuse access to forensic medical examinations, whether on-site or at an outside facility, without financial cost, where evidentiary or medically appropriate? X Yes No
- Are such examinations performed by Sexual Assault Forensic Examiners (SAFEs) or Sexual Assault Nurse Examiners (SANEs) where possible? X 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)? X Yes No
- Has the agency documented its efforts to provide SAFEs or SANEs? X Yes No

115.221 (d)

- Does the agency attempt to make available to the victim a victim advocate from a rape crisis center? X 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? X Yes No
- Has the agency documented its efforts to secure services from rape crisis centers? X Yes No

115.221 (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? X Yes No
- As requested by the victim, does this person provide emotional support, crisis intervention, information, and referrals? X Yes No

115.221 (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.) X Yes No NA

115.221 (g)

- Auditor is not required to audit this provision.

115.221 (h)

- Auditor is not required to audit this provision.

Auditor Overall Compliance Determination

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

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to Auditor
- 3) Policy:
 - a. WADOC 490.850 *Prison Rape Elimination Act (PREA) Response* (11 pages)
 - b. WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (17 pages)
 - c. WADOC 600.000 *Health Services Management* (10 pages)
 - d. WADOC 600.025 *Health Care Co-Payment* (3 pages)
 - e. WADOC 610.025 *Health Services Management of Offenders in Cases of Alleged Sexual Misconduct* (8 pages)
- 4) Facility Case Datasheet of all investigations during reporting period
- 5) Excerpt from *National Protocol for Sexual Assault Medical Forensic Examinations Adults/Adolescents*
- 6) Excerpt from *Recommendations for Administrative Prisons, Jails and Community Confinement Facilities for Adapting the U.S. Department of Justice National Protocol for Sexual Assault Medical Forensic Examinations Adults/Adolescents*
- 7) Sexual Assault Evidence Collection: Uniform Evidence Protocol
- 8) Work Release Transport for Forensic Exam
- 9) Forensic Medical Exam Procedures – Transport Staff Procedures
- 10) List of Hospitals and designated advocates partnered with the facility
- 11) Mutual Aid Agreement between State of Washington State Patrol and State of Washington Department of Corrections
- 12) Emergency/Non-Emergency Treatment for Tri-Cities Work/Training Release Residents
- 13) Memo from Health Services Assistant Secretary, dated 2/3/2017 providing direction to all Health Services staff regarding documentation of attempts to secure SAFE/SANE when needed
- 14) Interagency agreement K11494 between the Department of Corrections and Department of Commerce, Office of Victim Advocacy detailing advocacy access for offenders
- 15) OCVA Brochure detailing offender access to community victim advocacy
- 16) In-Person victim advocacy services guide
- 17) Document detailing pre-assignment and ongoing training requirements for community based victim advocates
- 18) Document detailing selection criteria for Community Sexual Assault Programs partnered with DOC facilities for PREA
- 19) TCWTR Meeting minutes with Kennewick Police Department dated May 30, 2018
- 20) Interviews with the following:
 - a. Random Staff

(by Subsection):

Subsection (a)(b): TCWTR reported in the Pre-Audit Questionnaire the agency/facility is responsible for conducting only administrative sexual abuse investigations (including resident-on-resident sexual abuse or staff sexual misconduct).

WADOC 490.850 *Prison Rape Elimination Act (PREA) Response* (page 1), states “The Department will respond to allegations of sexual misconduct to support and provide assistance to the allege victim, enhance security and maximize the ability to obtain evidence to use in investigations and criminal prosecutions where applicable.”

In a memo to the auditor, TCWTR stated “the agencies to which criminal allegations are referred is based on the location of the facility. The first law enforcement agency contacted for all criminal investigations and related evidence collection is the Kennewick Police Department, located at 211 W. 6th Avenue, Kennewick, Washington. If this agency refuses, the facility can make a referral to the Benton County Sheriff, located at 7122 W. Okanogan Place, Bldg., Kennewick, Washington.” The facility can also call the Washington State Patrol.

WADOC uses the following publications as a basis for sexual misconduct investigation evidence protocols.

- A National Protocol for Sexual Assault Medical Forensic Examinations Adults, Adolescents, Second Edition, U.S. Department of Justice, Office on Violence Against Women; April 2013
- Recommendations for Administrators of Prison, Jails and Community Confinement Facilities for Adapting the U.S. Department of Justice’s Nation Protocol for Sexual Assault Medical Forensic Examinations Adults/Adolescence; U.S. Department of Justice Office on Violence Against Women; August 2013.

During an interview with the WADOC Secretary, the auditor confirmed that the WADOC investigators do not conduct criminal investigations. If a criminal nexus was determined, the Appointing Authority would call local law enforcement.

During random staff interviews, five (5) staff was interviewed, all five (5) stated they would separate, secure the scene and call the Appointing Authority.

The facility reported that during the audit period, there is one (1) on-going administrative investigation, which was referred to law enforcement. The auditor did review the case and confirmed a referral was made to law enforcement.

Subsection (c)(d)(e)(f): WADOC 490.850 *Prison Rape Elimination Act (PREA) Response* (page 6) states “Forensic exams will be performed only at designated health care facilities in the community by a Sexual Assault Forensic Examiner (SAFE) or Sexual Assault Nurse Examiner (SANE) where possible. If SAFE/SANE is not available, the examination can be performed by a qualified medical practitioner.”

WADOC 600.000 *Health Services Management* (page 2) states “The Health Services Division Standard Operations and Procedure Manual, including the Offender Health Plan and DOC-DOH Health, Environmental and Safety Standards established under RCW 43.70.130(8).

- Medical and mental health services allowed under the Offender Health Plan related to sexual misconduct as defined in DOC 490.800 Prison Rape Elimination Act (PREA) Prevention and Reporting will be provided at no cost to the offender.

WADOC 610.025 *Health Services Management of Offenders in Cases of Alleged Sexual Misconduct* (page 2 – 4) states, Any offender in partial or total confinement alleging sexual assault, sexual abuse, and/or staff sexual misconduct will be referred to a health care provider to evaluate any injury and provide treatment and follow-up care. The offender will be offered medical and mental health treatment services that are clinically indicated based upon the evaluation. All forensic medical examinations will be provided at a health care facility in the community.

In a memo to the auditor, TCWTR stated “WADOC has developed partnerships with identified community health care facilities and sexual assault programs for the provision of designated services and support. Administrators from Tri-Cities Work/Training Release have met with the community hospital administrators to develop procedures and agreements in advance of the need for any forensic medical examinations.

Medical staff and related evidence collection would not apply as the facility does not maintain medical staff, but refers residents to health care services in the community. In the event of an emergency situation, 911 would be called and the offender transported to a local emergency room.”

The auditor reviewed a letter to the Kadlec Regional Medical Center which stated, “emergency/non-emergency treatment for Tri-Cities Work/Training Release. Kadlec Regional Medical Center is the preferred medical provider for Tri-Cities Work/Training Release. The State Department of Corrections uses this facility to treat residents as follows:

- Any patient presenting to the Emergency Department will be provided with an appropriate medical screening examination to determine if the patient is suffering from an emergent medical condition.
- In accordance with Kadlec Regional Medical Center’s treatment protocol, the hospital will render emergency treatment as needed, treat non-emergent situations in a similar manner as it does with other patients seeking medical treatment through the emergency department and inform the resident of the appropriate aftercare if required.
- It will be the responsibility of the resident to notify the Tri-Cities Work/Training Release Director, or designee of the situation.

During the reporting period, TCWTR reported that there has not been an incident that required a forensic examination be conducted.

During an interview with the Director of Support, Advocacy and Resource Center, she stated that there is an agreement through OCVA and Tri-Cities Work/Training Release to provide services to

the residents. These services include advocacy throughout the forensic exam, in-person advocacy and phone advocacy. She stated that TCWTR has not had a need for their services for a forensic exam during the reporting period.

WADOC has established an Interagency Agreement with the Department of Commerce Office of Crime Victims Advocacy. The purpose of this agreement is to provide advocacy services in furtherance of the DOC's compliance with the Prison Rape Elimination Act (PREA). The services provided include crisis intervention, assessment of needs, referrals to additional resources, medical advocacy and legal advocacy. Medical advocacy includes accompaniment to medical forensic exam, explanation of the exam proceeding, presence and support for incarcerated individuals who have undergone a sexual assault forensic medical exam during investigatory interviews, depositions and other legal proceedings.

TCWTR provided this auditor with documentation from the OCVA that establishes that the services provided by Washington State Community Sexual Assault Programs (CSAPs) meet the PREA standards for victim advocacy from a rape crisis center. These CSAPs are selected based on the following criteria:

- Proximity to prison facility and community hospital
- Compliance with current accreditation, service and training standards
- Designation of primary and secondary PREA advocates
- Demonstrated advocacy experience
- Commitment to attend additional PREA required trainings
- Extent of management level staff experience in sexual assault victim services
- Provision of accompaniment services to sexual assault survivors during forensic exams
- Extent of program experience with system coordination on behalf of adult survivors of sexual assault to include: experience with criminal legal system and confinement facilities.

The auditor reviewed the PREA Advocate qualifications employed with the OCVA, which states "Advocates providing sexual assault support services follow the Washington Sexual Assault Service Standards, which include services definitions, activities, and advocate qualifications. Qualified advocates are required to have thirty hours of initial sexual assault/abuse training and twelve hours of ongoing training annually. Advocated providing sexual assault support services to residents are specifically identified with the organization as PREA Advocates and receive additional specialized training on supporting incarcerated survivors of sexual assault."

OCVA brochures and posters in English and Spanish were also provided. The OCVA toll-free number is prominent on all documents as well as available services. An In-Person Victim Advocacy Services guide was provided. This guide was developed in collaboration with the Washington Coalition of Sexual Assault Programs (WCSAP) and the Department of Corrections. This guide details the coordination between facilities and community-based victim advocates.

During the site review the auditor did observe the OCVA posters and brochures. These items were provided in both English and Spanish.

Finding: The agency is responsible for conducting all administrative sexual abuse allegations. If there was a criminal nexus, the agency would call the Kennewick Police Department or the Benton

County Sheriff's Office. The agency follows a uniform evidence protocol that maximizes the potential for obtaining usable evidence. The facility does offer all residents who experience sexual abuse access to forensic medical examinations at the local hospitals, at no expense to the resident. The Support, Advocacy, and Resource Center and/or OCVVA provide a victim advocacy, to the resident for support during a SANE/SAFE exam as well as during interviews if requested, and in person advocacy and telephonic advocacy. All SANE/SAFE examinations are conducted at the local hospital by qualified personnel.

The facility is in compliance with this standard.

Standard 115.222: Policies to ensure referrals of allegations for investigations

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

115.222 (a)

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

115.222 (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? X 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? X Yes No
- Does the agency document all such referrals? X Yes No

115.222 (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 conducting criminal investigations. See 115.221(a).] X Yes No NA

115.222 (d)

- Auditor is not required to audit this provision.

115.222 (e)

- Auditor is not required to audit this provision.

Auditor Overall Compliance Determination

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

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy:
 - a. WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (17 Pages)
 - b. WADOC 490.850 *Prison Rape Elimination Act (PREA) Response* (11 pages)
 - c. WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigation* (14 pages)
- 4) Mutual Aid Agreement between State of Washington State Patrol and State of Washington Department of Corrections
- 5) Screen Prints from Agency Website
- 6) Facility Compliant Log of allegations received

- 7) Meeting minutes between TCWTR and Kennewick Police Department to discuss PREA reporting dated May 30, 2018
- 8) Interviews with the following:
 - a. Agency Head
 - b. Investigator Staff

(by Subsection):

Subsection (a): TCWTR reported in the Pre-Audit Questionnaire that the facility ensures that an administrative investigation is completed for all allegations of sexual abuse and sexual harassment. In the past twelve (12) months, Tri-Cities Work/Training Release had one (1) allegation reported.

WADOC 490.850 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (page 2) states “The Department will thoroughly, promptly, and objectively investigate all allegations of sexual misconduct involving offenders under the jurisdiction or authority of the Department.”

WADOC official website states “All allegations naming as victims any inmate under the jurisdiction of the DOC in an Institutional setting or the community are thoroughly investigated”
<http://www.doc.wa.gov/corrections/prea/resources.htm#reports>

In a memo to the auditor, TCWTR stated “WADOC has established a process whereby all allegations are triaged by the Headquarters PREA Unit to determine if the allegation falls within the established PREA Definitions. Allegations resulting in the initiation of an investigation are returned to the applicable Appointing Authority for investigation. TCWTR has had all allegations that have been referred, investigated.

WADOC is responsible for conducting all administrative investigations related to PREA. WADOC staff do not have law enforcement powers or certification and, as such, are not authorized to conduct any type of criminal investigations. The local police department is the primary investigator for a crime committed within the facility.”

The Community Corrections Supervisor meets with law enforcement officials annually to discuss investigation processes and review procedures. The auditor reviewed the minute meetings from the meeting held on May 30, 2018.

During an interview WADOC Secretary, he confirmed the process in which cases are referred to the PREA Unit. The Headquarters PREA Unit is an agency unit. All calls made to the PREA Hotline, are received by this unit. All reported allegations from the facilities within the Department of Corrections are referred to this unit. The allegation is triaged by the PREA Unit. If the allegation meets the PREA definition and has not already been reported, the PREA Unit will send notification to the Appointing Authority. The Appointing Authority will assign the allegation to a trained investigator to conduct an administrative investigation. The facility investigators do not have law enforcement authority and therefore cannot conduct criminal investigations. Any case with a criminal nexus is referred to law enforcement.

The auditor reviewed TCWTR Offender Complaint Log. There was one (1) allegation, which had been referred to the local police department. An administrative investigation was completed once the criminal case was declined.

Subsection (b): WADOC 490.850 *Prison Rape Elimination Act (PREA) Investigations* (page 3) states “All allegations that appear to be criminal in nature will be referred to law enforcement for investigation by the Appointing Authority/designee. Referrals may be made using the DOC 03-505 Law Enforcement Referral of PREA Allegation.

WADOC 490.850 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (page 5 and 6) states “Meeting with Local Law enforcement A. Each Superintendent and the Work Release Administrator will meet at least annually with applicable law enforcement officials to: 1) Review investigation and requirements detailed in federal PREA Standards, 2) Establish procedures for conducting criminal investigations related to PREA allegations and 3) Establish points of contact and agree upon investigatory update procedures. B. Meetings with law enforcement will be documented in meeting minutes.”

Both policies listed about can be found on the agency public website at <http://www.doc.wa.gov/corrections/prea/resources.htm#policies>. Any person (general public or staff) can access the policies. Offenders can access the policies in the legal library.

During an interview with an investigator, it was stated all allegations are investigated and that any allegation with a criminal component, the Appointing Authority would notify law enforcement.

Subsection (c): WADOC staff does not have law enforcement powers or certification and, as such, are not authorized to conduct any type of criminal investigation. The local police department is the primary investigator for a crime committed within a facility. If the local agency declines, the Washington State Patrol could conduct a criminal investigation at the request of the facility.

The auditor reviewed the WADOC website it details how the investigation process and referral process work. The frequently asked questions (FAQ), both administrative investigations and criminal investigations are described. “Criminal Investigations-when the quality of evidence appears to support criminal activity, the Department will conduct compelled interview only after consulting with law enforcement. All sexual abuse cases will be referred for investigation by a Washington State certified law enforcement officer as defined in WAC 139.05-210 and RCW 9.46.210. Law enforcement agencies will document their findings in a written report that contains a thorough description of physical, testimonial, and documentary evidence and attach copies of all documentary evidence where feasible. Law enforcement agencies will refer all applicable investigation to the Prosecutor’s Office for review.

In addition, the Community Corrections Supervisor provided form 03-506, referral for an investigation to the local enforcement agency regarding an allegation that had been received during the reporting period.

Subsection (d): The agency has a policy WADOC 490.850 *Prison Rape Elimination Act (PREA) Investigation* which governs the conduct of all PREA related investigation.

Subsection (e): The provision of the standard is not applicable, as currently, no investigations have been conducted by a Department of Justice entity.

Finding: The WADOC policy ensures that an administrative and/or criminal investigation is completed for allegations of sexual assault and sexual harassment. All allegations are documented through the agency PREA Triage. The facility reported one (1) allegation, during the reporting period. The allegation was referred to the Kennewick Police Department. During interviews with staff, it was stated the victim and perpetrator would be separated and the scene secured. The agency policies can be found on the agency’s public website and the site includes the responsibilities of both the Corrections Department and Law Enforcement.

The facility is in compliance with this standard.

TRAINING AND EDUCATION

Standard 115.231: Employee training

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

115.231 (a)

- Does the agency train all employees who may have contact with residents on: Its zero-tolerance policy for sexual abuse and sexual harassment? X Yes No
- Does the agency train all employees who may have contact with residents on: How to fulfill their responsibilities under agency sexual abuse and sexual harassment prevention, detection, reporting, and response policies and procedures? X Yes No
- Does the agency train all employees who may have contact with residents on: Residents’ right to be free from sexual abuse and sexual harassment X Yes No
- Does the agency train all employees who may have contact with residents on: The right of residents and employees to be free from retaliation for reporting sexual abuse and sexual harassment? X Yes No
- Does the agency train all employees who may have contact with residents on: The dynamics of sexual abuse and sexual harassment in confinement? X Yes No
- Does the agency train all employees who may have contact with residents on: The common reactions of sexual abuse and sexual harassment victims? X Yes No
- Does the agency train all employees who may have contact with residents on: How to detect and respond to signs of threatened and actual sexual abuse? X Yes No
- Does the agency train all employees who may have contact with residents on: How to avoid inappropriate relationships with residents? X Yes No

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

115.231 (b)

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

115.231 (c)

- Have all current employees who may have contact with residents received such training? X 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? X 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? X Yes No

115.231 (d)

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

Auditor Overall Compliance Determination

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

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy:
 - a. WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (17 Pages)
- 4) PREA Training Log
- 5) Training Transcripts examples
- 6) PREA 101 curriculum
- 7) Interviews with the following
 - a. Random Staff

(by Subsection):

Subsection (a): TCWTR reported in the Pre-Audit Questionnaire that the agency trains all employees, who may have contact with offenders in the elements of this standard.

WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (page 9) states "All new employees, contract staff, and volunteers will receive initial PREA training upon hire/assignment, followed by annual refresher training. When initial training is not conducted prior to assignment, the individual will sign DOC 03-478 PREA Acknowledgment and will complete training at the earliest opportunity"

In a memo to the auditor, TCWTR stated "WADOC uses on-line training through the Learning Management System (LMS) for selected training courses. This ensures consistent and efficient information is provided to employees, contract staff and volunteers. Annual in-service training is delivered using this medium.

The curriculum for PREA 101 was reviewed by the auditor. All ten (10) elements of this provision are covered to include but not limited to:

- the agency's zero tolerance policy
- how to fulfill their responsibilities in preventing, detection, reporting and response to sexual abuse
- the inmates right to be free from sexual abuse
- free from retaliation for reporting sexual abuse

- the dynamics of sexual abuse
- the common reactions of sexual abuse victims
- how to detect and respond to signs of threatened and actual sexual abuse
- how to avoid inappropriate behavior
- how to communicate effectively and professionally with all inmates including LGBTI inmates
- how to comply with relevant laws.

Subsection (b): In a memo to the auditor TCWTR stated “WADOC initial and annual training curriculum includes information applicable to both male and female offenders. The training is provided to all agency employees, contract staff and volunteers. As such WADOC has exceeded the gender specific training requirement for this standard,”

Subsection (c)(d): In a memo to the auditor, TCWTR stated “on May 9, 2006, PREA training for all employees, contract staff and volunteers was deployed. The policy requires each employee receive refresher training on a one-year timeline thereafter. This eliminates the requirement that the facility provide refresher information, in between the two-year timeline imposed by the PREA standard.

The Learning Management Systems tracks employee participation, scores obtained on all quizzes and completion of the training requirement. A function of the system requires participants to acknowledge that they understand the PREA training that they have completed. If they do not confirm understanding the system will not register the training as being completed.”

The facility reported eighteen (18) employees at the facility. The facility reported all employees have been trained. The auditor reviewed a spreadsheet of all employees. The log indicates that all employees have received PREA training.

The auditor interviewed five (5) random staff. All five (5) indicated that they had participated in PREA training within the last year and are required to attend training once a year.

The auditor reviewed seven (7) employee training files. Documentation was reviewed that all employees had attended PREA training at least once each year, since the date that they were hired.

Finding: A review of the facility training curriculum indicates that all ten (10) elements are covered. The curriculum includes information that is applicable to both male and female offenders. The auditor confirmed during review of training files and interviews with staff, that the training is provided and all staff is required to participate in the training on yearly basis, therefore eliminating refresher training every two years. All staff must acknowledge that they understood the training they received within the computer system. Both the training and acknowledgment is documented in the LMS system.

The facility is in compliance with this standard.

Standard 115.232: Volunteer and contractor training

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

115.232 (a)

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

115.232 (b)

- Have all volunteers and contractors who have contact with residents 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 residents)? X Yes No

115.232 (c)

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

Auditor Overall Compliance Determination

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

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy:
 - a. WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (17 pages)

- b. WADOC 530.100 *Volunteer Program* (10 pages)
- c. WADOC 700.400 *Class IV Off-Site Work Crew* (7 pages)
- 4) Work Release Staff Enhancement Training
- 5) Contract Shells
- 6) Sign Language Interpreters log with training dates
- 7) PREA brochure for Staff, Contractor and Volunteers
- 8) List of Vendors
- 9) Vendor PREA Acknowledgment Forms
- 10) Interviews with the following:
 - a. Volunteer or Contract staff with Resident Contact

(by Subsection):

Subsection (a): TCWTR reported in the Pre-Audit Questionnaire that all volunteers and contractors who have contact with offenders have been trained on their responsibilities under the agency's policies and procedures. The facility reported there is no contract staff or volunteers at the facility.

WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (page 9) states "All new employees, contract staff, and volunteers will receive initial PREA training upon hire/assignment, followed by annual refresher training. When initial training is not conducted prior to assignment, the individual will sign DOC 03-478 PREA Acknowledgment and will complete training at the earliest opportunity"

WADOC 530.100 *Volunteer Program* (page 5) states "All training requires approval from the Headquarters Correctional Program Administrator and will be provided by authorized employees or volunteers trained in the curriculum. Training will include: 1) Prison Rape Elimination Act (PREA)."

WADOC 700.400 *Class IV Off-Site Work Crew* (page 6 and 7) states "Approved contract agency staff will receive initial and annual training that includes, at a minimum: (6) Prison Rape Elimination Act (PREA) training, which must be completed before having any contact with offenders."

In a memo to the auditor, TCWTR stated "WADOC requires that all contractors with regular contact with offenders complete the same general training provided to employees. The agency allow for vendors and service providers who have limited, unescorted contact with offenders to complete the form 03-0478, *PREA acknowledgement*, and be provide with the current PREA brochure for staff, contractors and volunteers rather than complete annual training. This typically includes individuals filling the vending machines or repairing office equipment, cleaning kitchen equipment, delivering supplies, or performing short-term services in maintenance."

The auditor reviewed the list of vendors provided by the facility. The vendor list includes the individuals filling the vending machines, repairing office equipment etc. Each vendor is required to complete the DOC 03-478 form. This form was reviewed by the auditor. The form notifies the vendor of the agency's zero tolerance policy, the vendor reporting requirements and who to report

to. There are forty-one (41) vendors currently on the list. The auditor reviewed the DOC 03-478 form for four (4) vendors.

Subsection (b): TCWTR reported in the Pre-Audit Questionnaire that the level and type of training provided to volunteers and contractors is based on the services they provide and level of contact they have with residents, all volunteers and contractors who have contact with residents have been notified of the agency's zero-tolerance policy and are informed how to report such incidents.

WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* requires all staff, contractors and volunteers receive the same initial training and annual refresher training. The training includes the agency's zero tolerance policy and how to report any allegations of sexual abuse.

WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (page 10) states "Vendors and service providers with limited unescorted contact with offenders are not required to attend PREA training, but must sign DOC 03-478 PREA Acknowledgment."

All contractors and volunteers are required to attend the same level of training as staff. They are also to complete the training annually. WADOC also requires that all vendors sign a PREA acknowledgment that they understand they have a duty to immediately report any knowledge, suspicion or information received. The auditor reviewed sample of the completed DOC 03-478 forms signed by current vendors of the facility.

The agency self-disclosed that it was discovered that individuals contracted out of the agency headquarters were not in compliance with the training requirements outlined in policy and in this provision of the standard. The non-compliance is in regard to the contracted interpreters. As corrective action the agency developed training for the contractors and volunteers to catch up on their training requirements. The agency provided the auditor with the training schedule that was completed as of September 2018 and all have been brought into compliance. During the reporting period the facility has not required the services of the interpreters.

Subsection (c): TCWTR reported in the Pre-Audit Questionnaire that the agency maintains documentation confirming that volunteers/contractors understand the training they have received.

In a memo to the auditor, TCWTR stated "all training is completed utilizing LMS which tracks participation, scores obtained on quizzes and completion of training. A function of the system requires the participant to acknowledge that they understand the training they just completed. If a participant does not confirm understanding, the course is not registered as complete." The auditor did review the LMS system and confirmed the participant must complete the training and acknowledge they understand the training before the system will register that the employee has completed the class. The facility maintains copies of the completed DOC 03-478 *PREA Acknowledgment Form*.

Finding: TCWTR requires all contractors, volunteers and vendors to be trained on their responsibilities under the agency's policies and procedures regarding sexual abuse and sexual harassment. The facility reported there are no contractors or volunteers working inside the facility. Contractors and volunteers receive the same training provided to all staff. Vendors are informed of

the agency's zero tolerance policy and how and to whom they should report if an incident should occur while they are at the facility. Documentation for all contractors and volunteers is maintained in the LMS and the facility maintains documentation, the DOC 03-478 Form, for vendors.

The facility is in compliance with this standard.

Standard 115.233: Resident education

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

115.233 (a)

- During intake, do residents receive information explaining: The agency's zero-tolerance policy regarding sexual abuse and sexual harassment? X Yes No
- During intake, do residents receive information explaining: How to report incidents or suspicions of sexual abuse or sexual harassment? X Yes No
- During intake, do residents receive information explaining: Their rights to be free from sexual abuse and sexual harassment? X Yes No
- During intake, do residents receive information explaining: Their rights to be free from retaliation for reporting such incidents? X Yes No
- During intake, do residents receive information regarding agency policies and procedures for responding to such incidents? X Yes No

115.233 (b)

- Does the agency provide refresher information whenever a resident is transferred to a different facility? X Yes No

115.233 (c)

- Does the agency provide resident education in formats accessible to all residents, including those who: Are limited English proficient? X Yes No
- Does the agency provide resident education in formats accessible to all residents, including those who: Are deaf? X Yes No
- Does the agency provide resident education in formats accessible to all residents, including those who: Are visually impaired? X Yes No
- Does the agency provide resident education in formats accessible to all residents, including those who: Are otherwise disabled? X Yes No
- Does the agency provide resident education in formats accessible to all residents, including those who: Have limited reading skills? X Yes No

115.233 (d)

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

115.233 (e)

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

Auditor Overall Compliance Determination

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

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy:
 - a. WADOC 310.000 *Orientation for Offenders* (8 pages)
 - b. WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (17 pages)
- 4) Facility Offender Handbook
- 5) English and Spanish PREA Brochure
- 6) Photographs of the PREA Posters in the lobby (Zero Tolerance)
- 7) PREA Risk Assessment Tracking log 1st Quarter
- 8) PREA Risk Assessment Tracking log 2nd Quarter
- 9) PREA Risk Assessment Tracking log 3rd Quarter
- 10) PREA Risk Assessment Tracking log 4th Quarter
- 11) OMNI Screenshots showing Offender Orientation

- 12) Orientation Checklist Examples
- 13) Spanish PREA Brochure and Posters
- 14) Spanish Work Release Orientation Brochure
- 15) PREA Orientation Materials for Offender with Low Comprehension Level
- 16) Interviews with the following:
 - a. Intake staff
 - b. Random Residents

(by Subsection):

Subsection (a)(b)(c)(d)(e): TCWTR reported in the Pre-Audit Questionnaire that residents receive information at time of intake about the zero-tolerance policy and how to report incidents or suspicions of sexual abuse or harassment, their rights to be free from sexual abuse and sexual harassment and to be free from retaliation for reporting such incidents and agency policies and procedures for responding to such incidents. The agency has established procedures to provide disabled residents an equal opportunity to participate in or benefit from all aspects of the agency's effort to prevent, detect, and respond to sexual abuse and sexual harassment.

WADOC 310.000 *Orientation for Offenders* (page 3) states "All offenders arriving at or transferred to a Prison will receive: 1) A facility specific orientation packet on the date of arrival, and 2) An orientation to the new facility within one week of arrival, except when medical, mental health, or behavioral issues preclude completion of this process."

and

"Offenders will receive orientation information, both orally and in writing, in a manner that is clearly understood by offenders. The orientation will, at a minimum, include:.....5) Information on the Prison Rape Elimination Act (PREA), including (a) DOC 490.800 Prevention and Reporting of Sexual Misconduct, DOC 490.850 Response to an Investigation of Sexual Misconduct, related operation memorandums, the Prison Rape Elimination Act of 2003 and other applicable state or federal laws, including potential criminal penalties, (b) Department zero tolerance stance.

WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (page 12) states "Offenders will be provided PREA related information, which will include information on the Department's zero tolerance stance and ways to report sexual misconduct. Information will be presented in a manner allowing offenders to ask questions of the staff member facilitating the orientation."

In a memo to the auditor, TCWTR reported that "during the documentation period there have been eighty-six (86) residents received at the facility. All residents were provided information on arrival in the form of a brochure. PREA reporting information as well as information regarding victim advocacy support is provided in the form of poster in the intake area.

Offenders arriving at the facility are reviewed to determine if additional venues are needed in order to provide orientation. These include use of the language line for languages other than English or Spanish. It also includes the use of materials developed by "*End Silence-the Project on*

Addressing Prison Rape, September 2013” for one-on-one use with offenders with low comprehension.

The assigned Community Corrections Officer reviews all incoming offenders via OMNI to identify any comprehension, language, hearing or speech issues to ensure the appropriate venue is utilized during orientations.

WADOC requires that PREA posters and brochures be available at all times throughout the facility. Policy also requires that monthly checks are conducted to ensure poster and brochures provided by the PREA Coordinator are posted in areas accessible to offenders and the public.”

During random resident interviews, eight (8) residents were interviewed. All eight (8) reported an orientation within twenty-four (24) hours. It was stated they were given a handbook, which contained PREA information and they watched a PREA video, all reported there were PREA posters around the facility.

During the site review, the auditor observed PREA signage and brochures located on a bulletin board in the lobby. The bulletin board had all the forms, brochures and information, accessible to the residents, family and visitors. The information was provided in both English and Spanish.

During the site review, a new arrived resident was being processed in, the auditor observed within minutes of arriving; the resident was given the brochure and the handbook.

The auditor reviewed the TCWTR resident handbook. The handbook contains a PREA section, which includes the policies and procedures, definitions of sexual misconduct, how to report an allegation, what happens after an allegation has been made, medical and mental health care, support services and how to prevent a sexual misconduct.

The auditor randomly reviewed six (6) resident files. There six (6) files that had a *Work Release Orientation Checklist*, signed by the resident, and dated on the date of the resident’s arrival at the facility. The checklist includes a statement that the resident has seen the PREA video, went over the policies regarding the *Prison Rape Elimination Act*.

Finding: Upon the resident’s arrival they are given a PREA Brochure and the resident handbook and will attend orientation. During orientation, the residents are given the opportunity to watch the PREA video, review the policies and ask questions. The auditor reviewed the Orientation handbook and the PREA video, which includes the facility’s zero tolerance policy, how to report an incident of sexual abuse or staff sexual misconduct and information regarding support services. The handbook and the PREA video are available in both English and Spanish and include closed captioning for the deaf. Documentation of the residents’ participation is maintained. The facility has a PREA board in the lobby with all PREA information, forms, brochures and support services, accessible to all residents, staff and visitors.

The facility is in compliance with this standard.

Standard 115.234: Specialized training: Investigations

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

115.234 (a)

- In addition to the general training provided to all employees pursuant to §115.231, 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 115.221(a).] X Yes No NA

115.234 (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 115.221(a).] X 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 115.221(a).] X 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 115.221(a).] X 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 115.221(a).] X Yes No NA

115.234 (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 115.221(a).] X Yes No NA

115.234 (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

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.

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to Auditor
- 3) Policy:
 - a. WADOC 490.800 *Prison Rape Elimination Act (PREA) Preventing and Report* (17 pages)
 - b. WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigations* (14 pages)
 - c. WADOC 880.100 *Corrections Training and Development* (9 pages)
- 4) Washington Administrative Code 139-25
- 5) House Bill 1109
- 6) Current list of investigators
- 7) Investigator Training Transcripts
- 8) Interviews with the following:
 - a. Investigative staff

(by Subsection):

Subsection (a)(b)(c): TCWTR reported in the Pre-Audit Questionnaire that investigators are trained in conducting sexual abuse investigations in confinement settings. The agency maintains documentation showing that investigators have completed the required training. The current numbers of agency investigators employed who have completed the required training is six hundred and thirty one (631).

WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (page 11) states "PREA investigators will be trained in: 1) Crime Scene management/investigations, including evidence collection in Prisons and Work Releases 2) Confidentiality of all investigation information 3) Miranda and Garrity warnings, compelled interviews, and the law enforcement referral process 4) Crisis intervention 5) Investigating Sexual Misconduct 6) techniques for interview sexual

misconduct victims and 7) Criteria and evidence required to substantiate administrative action or prosecution referral.”

WAC 139.250 *Basic Law Enforcement Curriculum* states “The basic curriculum of the commission may include, but is not limited to, the following core subject areas with common threads of communications, community policing, and professional ethics throughout: 1) Orientation and history of policing 2) Criminal Law 3) Criminal Procedures 4) Patrol Procedures 5) Crisis Intervention 6) Emergency Vehicle Operation Course 7) Report Writing 8) Traffic Laws 9) Firearms 10) Defensive Tactics and 11) Criminal Investigations.

In a memo to the auditor, TCWTR stated, “WADOC has established specialized investigator training that provides information regarding the conduct of all PREA-related investigations. This includes, but is not limited to; how to conduct an investigation in confined setting, techniques for interviewing sexual abuse victims, the proper use of Miranda and Garrity Warnings, and evidence collections.

WADOC initiated PREA investigator training in 2011 when a formal specialized course was launched. When the final PREA Standards were released, it was determined that the course content needed to be updated to ensure compliance with the standards and the updated course was launched in November 2013. In order to ensure all prior participants had been proved with the elements that were included in the training update, a PREA Booster Training course was launched. Existing investigators were provided with new information and additional practice in interviewing and report writing. This booster training was only available for a limited period of time and was intended only for those individuals who had completed Investigator training prior to the November 2013 update. In order to be a qualified PREA Investigator after November 2013, a person must have completed the updated course or the previous version of the training and the PREA Booster.

Any individual assigned a PREA investigation must have completed formal investigator training. The Appointing Authority responsible for the investigation is required to identify an appropriate investigator from the list of qualified individuals based on successful course completion. Other factors taken into consideration prior to investigator assignment include, but are not limited to:

- Complexity and sensitivity of the investigation
- Experience of the investigator
- Impartiality of the investigator in light of the allegation itself

Based on the allegation, the Appointing Authority can secure an investigator from within the facility or request the investigation be completed by any trained investigator from across the agency.”

The auditor reviewed the training curriculum for the investigator training. The class is designed to be a fourteen (14) hour class. The training is consists of five (5) modules. Below is a brief description of the material each module covers but is not limited to only that material. In addition WADOC has an Investigator Booster Training as well. The specialized training provided to all investigators includes all of the elements for this provision. The curriculum contains:

- *Introduction to Investigations* -This material covers the different types of documents for an investigation, case management system, types of PREA investigations, including PREA Staff misconduct and PREA offender misconduct.
- *Investigative Planning* – The material covers evidence/evidence protocols, investigative steps, incident scenes, medical exams, interview planning conducting the investigation and the law enforcement referral process.
- *Investigative Interviews*- The material covers Miranda, Garrity, Weingarten, Confidentiality, Recording Interviews, telephone interviews, interviewing techniques, Complexity of Investigating PREA in a Confinement, effective PREA investigations, sexual assault victims, code of silence and why interviews fail.
- *Investigative Report Writing*-the material covers how to analyze the evidence and write a report.
- *After the Report*-material covers the appointing authority review and PREA investigations local review committee.

TCWTR utilizes the Learning Management System (LMS), which documents and provides a transcript of all classes that an employee was enrolled in and completed. The transcript for the facility investigator was reviewed by the auditor.

The auditor reviewed WAC 139-05-240 *Requirements of Basic Law Enforcement Academy and House Bill 1109* which states “the commission shall provide ongoing specialized, intensive and integrative training for persons responsible for investigating sexual assault cases involving adult victims.”

The auditor reviewed a log called PREA and Workplace Investigator Training. The document appears to be a log of all Statewide Investigators and the date of the specialized training received. Those that did not appear to have training are clearly marked “inactive”

The facility reported that there was one (1) investigation which closed during the reporting period. The auditor reviewed the training documentation of the investigator, who conducted the investigation, had received the required specialized training, as well as the annually training.

The facility has had no investigations that were conducted by an outside State agency or the Department of Justice.

Finding: The agency policy requires all investigators to be trained in conducting sexual abuse investigations in a confinement setting. The training provided to the investigators includes all of the required elements within this standard. WADOC maintains a statewide log, which records the date the investigators receive the specialized training. Appointing Authorities can assign an investigation to any of the investigators on the log that have received the necessary training. State law mandates that all certified law enforcement complete required training.

The facility is in compliance with this standard.

Standard 115.235: Specialized training: Medical and mental health care

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

115.235 (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? X 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? X 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? X 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? X Yes No

115.235 (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 do not conduct forensic exams.) X Yes No NA

115.235 (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? X Yes No

115.235 (d)

- Do medical and mental health care practitioners employed by the agency also receive training mandated for employees by §115.231? X 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 §115.232? [N/A for circumstances in which a particular status (employee or contractor/volunteer) does not apply.] X 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.

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy:
 - a. WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (17 pages)
 - b. WADOC 610.025 *Health Services Management of Offenders in cases of Alleged Sexual Misconduct* (8 pages)
 - c. WADOC 880.100 *Corrections Training and Development* (9 pages)

(by Subsection):

Subsection (a)(b)(c)(d): WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (page 11) states "Health Services employees/contract staff, with the exception of medical records, clerical, pharmacy personnel, the Dietary Services Manager, and the Psychologist assigned exclusively to sex offender treatment programming, will be trained in: 1) detecting and assessing signs of sexual misconduct 2) responding effectively and professionally to sexual misconduct victims 3) Completing DOC 02-348 Fight/Assault Activity Review 4) Preserving Physical evidence 5) Reporting sexual misconduct and 6) Counseling and monitoring procedures."

In a memo to the auditor, TCWTR stated "residents in WADOC Work Release facilities are personally responsible for costs associated with their general medical and mental health treatment. Any resident who seeks medical and/or mental health treatment after a reported PREA incident is referred to a community provider and the treatment expenses are covered by the WADOC"

During the site review, the auditor confirmed that TCWTR does not have medical or mental health staff within the facility.

Finding: TCWTR does not have on site medical or mental health staff. All residents requiring medical or mental health treatment would be responsible to seek medical and mental health services and are responsible for any costs associated to the visit, with the exception should a PREA incident occur, the resident would be referred to a community care provided and WADOC would cover the cost. This was confirmed by the auditor during informal discussions, during the site review of the facility.

The facility is in compliance with this standard.

SCREENING FOR RISK OF SEXUAL VICTIMIZATION AND ABUSIVENESS

Standard 115.241: Screening for risk of victimization and abusiveness

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

115.241 (a)

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

115.241 (b)

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

115.241 (c)

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

115.241 (d)

- Does the intake screening consider, at a minimum, the following criteria to assess residents for risk of sexual victimization: Whether the resident has a mental, physical, or developmental disability? X Yes No
- Does the intake screening consider, at a minimum, the following criteria to assess residents for risk of sexual victimization: The age of the resident? X Yes No
- Does the intake screening consider, at a minimum, the following criteria to assess residents for risk of sexual victimization: The physical build of the resident? X Yes No

- Does the intake screening consider, at a minimum, the following criteria to assess residents for risk of sexual victimization: Whether the resident has previously been incarcerated? X Yes No
- Does the intake screening consider, at a minimum, the following criteria to assess residents for risk of sexual victimization: Whether the resident's criminal history is exclusively nonviolent? X Yes No
- Does the intake screening consider, at a minimum, the following criteria to assess residents for risk of sexual victimization: Whether the resident has prior convictions for sex offenses against an adult or child? X Yes No
- Does the intake screening consider, at a minimum, the following criteria to assess residents for risk of sexual victimization: Whether the resident is or is perceived to be gay, lesbian, bisexual, transgender, intersex, or gender nonconforming (the facility affirmatively asks the resident about his/her sexual orientation and gender identity AND makes a subjective determination based on the screener's perception whether the resident is gender nonconforming or otherwise may be perceived to be LGBTI)? X Yes No
- Does the intake screening consider, at a minimum, the following criteria to assess residents for risk of sexual victimization: Whether the resident has previously experienced sexual victimization? X Yes No
- Does the intake screening consider, at a minimum, the following criteria to assess residents for risk of sexual victimization: The resident's own perception of vulnerability? X Yes No

115.241 (e)

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

115.241 (f)

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

115.241 (g)

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

115.241 (h)

- Is it the case that residents 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? X Yes No

115.241 (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 resident's detriment by staff or other residents? X Yes No

Auditor Overall Compliance Determination

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

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy:
 - a. WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (17 pages)
 - b. WADOC 490.820 *Prison Rape Elimination Act (PREA) Risk Assessment and Assignments* (12 pages)
 - c. WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigations* (14 pages)
 - d. WADOC 280.310 *Information Technology Security* (7 pages)
 - e. WADOC 280.515 *Electronic Data Classification* (5 pages)
- 4) Memo from Secretary of Corrections, dated October 28, 2015
- 5) PREA Risk Assessment Tracker with 72 Hour Completion Date and Risk Assessment Tracker Summary (1st, 2nd 3rd and 4th Quarter)
- 6) Samples of Offender Initial PREA Risk Assessment (PRA)
- 7) Screen Shot of the PRA inside Offender Management Network Information System (OMNI)
- 8) PREA Risk Assessment Form
- 9) OMNI User Guide for PREA Risk Assessment for Assessors and Reviewers
- 10) LMS Training Curriculum for PREA Risk Assessment for Assessors and Reviewer
- 11) Memo to Classification Staff from Deputy Secretary dated March 11, 2015 regarding Affirmative Inquire Offender LCBTI Status
- 12) Sample PREA Checklists for Work Release Facilities
- 13) Samples of Offender Follow Up PREA Risk Assessment (PRA)
- 14) OMNI Offender Screening – PREA Risk Assessment High Level Design Document
- 15) OMNI PREA Access Security Groups
- 16) Sample DOC System Access Request DOC 08-012
- 17) Interviews with the following:
 - a. PREA Coordinator
 - b. Staff responsible for Risk Screening
 - d. Random Residents

(by Subsection):

Subsection (a)(b): TCWTR reported in the Pre-Audit Questionnaire that the agency does have a policy that requires screening for risk of sexual abuse victimization or risk of sexual abusiveness toward other residents. The policy further requires that the screening be completed within 72 hours of their intake.

WADOC 490.820 *Prison Rape Elimination Act (PREA) Risk Assessments and Assignments* (page 3) states "Classification Counselors and designated Work Release employees will complete a PRA within 72 hours of arrival for all offenders arriving at any Department facility. This includes offenders returning to a facility for out-to-court status...."

OMNI PREA Risk Assessment Guide states “Initial Assessment- Within 72 hours of arrival a Reception Diagnostic Center (RDC), an initial PREA will be completed. “Transfer Assessment-Classification Counsel or Work Release Community Corrections Officer (CCOs) at the receiving facility complete a Transfer PRA within 30 days of the offender’s arrival as part of the offender’s Intake Plan development”

In October of 2015, former WADOC Secretary issued a memo to all Classification Staff. The memo was issued after the National PREA Resource Center made a determination that WADOC policy 490.820 was not in compliance with the intent of the standards regarding the screening of offenders. The policy was interpreted as the initial PREA Risk Assessment (PRA), was at specialized reception centers (i.e. Washington Corrections Center or the Washington Corrections Center for Women) with a “Follow up” being completed within 30 days. The Department of Justice defined “intake” as any time an offender is received at any facility, as a result the memo was issued with the following directive: Each offender will receive a face-to-face Resident PRA with 72 hours of arrival at every facility. Revisions were made to the policy.

The LMS Training Curriculum for PREA Risk Assessment for Assessors and Reviewer states “Within 72 of arrival at a Reception Diagnostic Center (RDC), initial will be completed....for each new term of incarceration, the first PRA completed will always be an Initial PRA, regardless of the circumstances”

“Transfer Assessment –Classification Counselors or Work Release Community Corrections Officer (CCOs) at the receiving facility complete a transfer PRA within 30 calendar days of the offender’s arrival as part of the Offender’s Intake Plan Development.”

In a discussion with the PREA Coordinator she indicated that the system itself was updated, however the guide and the training curriculum had not been updated. This will be corrected in the near future. The auditor did review an excerpt from the WADOC PREA IDOC system to confirm that staff is notified of the change.

In a memo to the auditor, TCWTR stated “all offenders assigned to WADOC are required to be screened within 72 hours of arrival or transfer between facilities. The following is the breakdown of PREA Risk Assessments (PRA’s) completed within the established time frames:

June 1, 2017 – June 30, 2018		
Number of Offenders Received	86	
Number of Offenders who did not remain at the facility for 72 hours	1	
Number of offenders who were at the facility for 72 hours or more	85	
Number of offenders whose initial/intake PRA was completed within 72 hours	85	100%

During an interview with a staff member who performs screening, stated the screening are competed with seventy-two (72) hours.

During interviews with random residents, eight (8) reported they were asked the questions within twenty-four hours.

TCWTR provided the auditor with a PREA Risk Assessment tracker during the reporting period. The auditor reviewed the tracking log. During the documentation period, the facility received eighty-six (86) residents, one (1) did not stay at the facility; one hundred percent were completed with seventy-two (72) hours.

During the site review the auditor randomly chose six (6) resident files to review. All initial assessments were completed with the seventy-two (72) hours.

Subsection (c)(d): WADOC utilizes an objective screening tool within the OMNI system to screen all offenders for risk of victimization and abusiveness. A review of the screening tool indicates that nine (9) questions are asked with each question given a point value. Offenders scoring eleven (11) or above are considered high risk for victimization.

- First incarceration (2 points)
- Age less than 25 years or over 65 years (1 point)
- Male size and stature: Less than 5'8 and/or 130 lbs (1 point)
- Convictions for sexual offenses/crimes with sexual motivation in which the victim was between 14 and 65 years old and/or convictions for a violent offense (no age limit) (3 points)
- Mental Impairment-Developmentally or Intellectually Disable, Mentally Ill or Physical Disability (8 points)
- History of Sexual Abuse-Victimization (8 points)
- Victim of Sexual Assault in Confinement (11 points)
- Behavior Characteristics or display of Sexual Orientation in a way that projects vulnerability (is or is perceived to be gay, lesbian, transgender, intersex or gender non-conforming) (6 points)
- Criminal History is Exclusively Non-Violent (1 point)
- Offender perceives themselves as Vulnerable (1 point)

TCWTR reported that WADOC does not house offenders solely for civil immigration purposes. As such the element is not included in the assessment process. This was confirmed by the auditor during the site review and during informal interviews with staff.

All risk assessments are completed utilizing the OMNI system. WADOC also maintains a paper version of the risk assessment (DOC 07-019) in the event that an assessment cannot be completed in the offender's electronic file, Counselors and Community Corrections Officer may use DOC 07-0716 PREA Risk Assessment to document assessment information and update the electronic file as soon as practical.

Subsection (e): WADOC utilizes an objective screening tool within the OMNI system to screen all offenders for risk of victimization and abusiveness. A review of the screening tool indicates that five (5) questions are asked with each question given a point value. Offenders scoring eight (8) or above are considered high risk for victimization.

- Previous Sexual Assault in Confinement verified by Infraction History or other Written Reports with Equivalent Behavior Descriptions to include Jails or other State Correctional Agencies. (8 points)
- One or more Prior Incarcerations (2 points)
- Prior Violence in Prison to include other State Prisons with Equivalent Behavior Description not scored above (2 points)
- Convictions for Sexual Offenses/Crimes with Sexual Motivation in which the Victim was 14 years or older/or Convictions for a violent offense (no age limit) (2 points)
- Previously or Currently Assessed as a high Violence Potential (2 points)

This provision of the standard requires that the initial screening consider prior acts of sexual abuse, prior convictions for violent offenses and history of prior institutional violence or sexual abuse. The screening tool does state all of the required elements.

Subsection (f): WADOC 490.820 *Prison Rape Elimination Act (PREA) Risk Assessments and Assignments* (page 3) states “A follow-up PRA will be completed between 21 and 30 calendar days after the offender’s arrival at the facility.”

In a memo to the auditor, TCWTR stated “all offenders assigned to WADOC are required to be rescreened between days 21 and 30 of arrival or transfer between facilities. The following breakdown of PREA Risk Assessment (PRA’s) completed within the established time frames:

July 1, 2017 – June 30, 2018		
Number of Offenders Received	86	
Number of Offenders who did not remain at the facility 30 days	3	
Number of Offenders who were at the facility 30 days or more	83	
Number of Offenders whose follow up PRA was completed within 30 days	83	100%

During an interview with a staff member who performs the screenings, it was stated that all follow up assessments are completed within twenty-one (21) to thirty (30) days.

During the site review the auditor randomly chose six (6) resident files for review. In all six (6) the follow-up risk assessment was completed within the thirty (30) days.

Subsection (g): TCWTR reported in the Pre-Audit Questionnaire that policy requires a resident’s risk level be reassessed when warranted due to a referral, request, and incident of sexual abuse or receipt of additional information that bears on the resident’s risk of sexual victimization or abusiveness.

WADOC 490.820 *Prison Rape Elimination Act (PREA) Risk Assessments and Assignments* (page 4) states “(a) When additional information is received suggesting potential for victimization or predation (e.g., reports of behavior while in jail or on the bus in transit, court documents, Pre-Sentence Investigations) (c) when there is a finding of guilt on certain infractions listed in the PRA, including violent infractions and infraction for sexual assault/abuse. (e) for substantial allegation of offender on offender sexual abuse/assault or staff misconduct”.

In a memo to the auditor, TCWTR during the audit period, the facility did not have any reassessments for cause.

Subsection (h): WADOC 490.820 *Prison Rape Elimination Act (PREA) Risk Assessments and Assignments* (page 5) states “E. (2) Offenders are not obligated to answer PRA questions.”

During an interview with a staff member who performs risk screenings, it was stated that a resident is not required to answer the questions and cannot be disciplined. This was also confirmed in an informal discussion with the PREA Coordinator.

Subsection (i): TCWTR reported in the Pre-Audit Questionnaire the agency shall implement appropriate controls on the dissemination within the facility of responses to questions asked pursuant to this standard in order to ensure that sensitive information not exploited to the resident’s detriment by staff or other residents.

WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigation* (page 12) states “All PREA Data Containing personal identifying information will be maintained as Category 4 Data per DOC 280.515 Electronic Data Classification.

WADOC 280.515 *Electronic Data Classification* (page 2) states “Electronic data will be classified into 4 groups per the Data Classification Standards (4) Category 4 Data: Restricted Information-Data containing information that may endanger the health or safety of others or that has especially strict handling requirements by law, statute or regulation...”

PREA Risk Assessments are completed within a restricted component of the OMNI system. Access to the system is restricted to the following:

- Classification Counselors and Work Release Community Corrections Officer responsible for the completion of the assessments
- Correctional Unit Supervisors, Community Corrections Supervisors and the Work Release Program Manager
- Staff as identified by the facility Superintendent and the Work Release Program Administrator responsible of oversight of the risk assessment for offenders who do not have a Classification Counselor or Community Corrections Offer assigned
- Identified Information Technology and the PREA Unit staff responsible for Maintenance.

The system maintains all completed assessments along with the response and details associated with the scoring. All access to the system is approved by the agency PREA Coordinator to ensure compliance with the restricted access parameters. The final result of the PREA Risk Assessment, (potential predator, potential victim or no risk identified) is maintained in the general status portion of OMNI making it accessible to staff for use in housing, programming and job assignments.

The final results of PREA Risk Assessments (potential predator, potential victim, or no risk identified) are maintained on the face sheet and in the general status portion of OMNI accessible to staff or use in housing, program and job assessments.

The auditor confirmed the process with the PREA Coordinator. The auditor observed the OMNI system and confirmed that only staff members listed above has access to view the assessment, although any staff member with access to the OMNI system can view the end result, they cannot view the assessment or the answers given on the assessment. Offenders do not have access to the OMNI System.

Finding: The agency policy requires all residents have a vulnerability assessment conducted within 72 hours and a reassessment within thirty (30) days. The auditor reviewed the facility tracking logs, and randomly selected files. The facility has completed the initial assess within seventy-two (72) hours for all residents that came into the facility and has completed the follow up assessment for all residents with thirty (30) days. The facility utilizes an objective screening instrument, which contains all nine (9) elements required. In addition the facility considers prior convictions for violent offenses and history of prior institutional violence or sexual abuse. The assessment tool is kept confidential, with only the final result of the assessment visible in the computer system. The facility policy states that residents are not obligated to answer any of the questions; this was confirmed in an interview with the staff performing the risk assessments.

The facility is in compliance with this standard.

Standard 115.242: Use of screening information

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

115.242 (a)

- Does the agency use information from the risk screening required by § 115.241, with the goal of keeping separate those residents at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Housing Assignments? X Yes No
- Does the agency use information from the risk screening required by § 115.241, with the goal of keeping separate those residents at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Bed assignments? X Yes No
- Does the agency use information from the risk screening required by § 115.241, with the goal of keeping separate those residents at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Work Assignments? X Yes No
- Does the agency use information from the risk screening required by § 115.241, with the goal of keeping separate those residents at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Education Assignments? X Yes No
- Does the agency use information from the risk screening required by § 115.241, with the goal of keeping separate those residents at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Program Assignments? X Yes No

115.242 (b)

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

115.242 (c)

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

115.242 (d)

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

115.242 (e)

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

115.242 (f)

- 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 residents, does the agency always refrain from placing: lesbian, gay, and bisexual residents in dedicated facilities, units, or wings solely on the basis of such identification or status? X 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 residents, does the agency always refrain from placing: transgender residents in dedicated facilities, units, or wings solely on the basis of such identification or status? X 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 residents, does the agency always refrain from

placing: intersex residents in dedicated facilities, units, or wings solely on the basis of such identification or status? X Yes No

Auditor Overall Compliance Determination

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

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy:
 - a. WADOC 300.380 *Classification and Custody Facility Plan Review* (18 Pages)
 - b. WADOC 490.820 *Prison Rape Elimination Act (PREA) Risk Assessments and Assignments* (12 pages)
- 4) LMS Training Curriculum for the PREA Housing
- 5) PRA Housing Assignments User Guide
- 6) Sample Chronos
- 7) TCWTR Operational Memorandum 490.820
- 8) Memo regarding Transgender and Intersex Housing Review Process
- 9) Interviews with the following:
 - a. PREA Coordinator
 - b. Staff responsible for Risk Screening

(by Subsection):

Subsection (a)(b): TCWTR reported in the Pre-Audit Questionnaire that the agency uses information from the risk screening required by §115.241 to inform housing, bed, work, education and program assignments with the goal of keeping separate hose residents at high risk of being sexually victimized those at high risk of being sexually abusive.

WADOC 300.380 *Classification and Custody Facility Plan Review* (page 4) states “Committee members will receive each offender on the transfer manifest before he arrives at the receiving facility. The screening will include, at a minimum: (6) Prison Rape Elimination Assessment (PREA) information per DOC 490.820 Prison Rape Elimination Act (PREA) Risk Assessment and Assignments.

WADOC 300.380 *Classification and Custody Facility Plan Review* (page 6) states “Additional mental health and/or other employees/contract staff may be included to provide general input about areas of potential risk based on history of the offenders with a documented history of predatory violence or predatory sexual offending.” and

“Any concerns regarding work programs, treatment, education, evidence-based programs, or other activities presented after review the offender’s PREA Risk Assessment will be documented in the Summary/Statement field in the Classification Review section of the Incoming Transport/Job Screening Checklist, including any applicable mitigation strategies.”

WADOC 490.820 *Prison Rape Elimination Act (PREA) Risk Assessment and Assignments* (7) states “Job Programming Assignments (A) PRA information will be reviewed when making job and programming assignments per DOC 300.380 *Classification and Custody Facility Plan Review* Housing Assignments (A) before placing the offender in a multi-person cell/room, employees responsible for making housing assignment will review the PREA identifier to ensure the compatibility of cell/roommates”

In the memo to the Auditor, TCWTR stated “Prior to assigning an offender to a multi-person cell/dorm area, the PREA Risk Assessment is reviewed to ensure he/she is not assigned to an area that would place him/her at risk for victimization. In addition, the PREA Risk Assessment information is used in the following manner in classification decisions:

- Prior to the offender transferring from one facility to another a transfer manifest is prepared by the DOC transportation unit. This transfer manifest is shared with the sending and receiving facilities. Per DOC policy 300.380 *Classification and Custody Facility Plan Review* and DOC 490.820 *Prison Rape Elimination Act (PREA) Risk Assessment and Assignments*, facility staff will hold a multi-disciplinary team (MDT) review of the offender’s listed on the transfer manifest prior to his/her arrival at the receiving facility. This screening review must include any history of predatory violence or predatory sexual violence, history of medical/mental health needs, safety/security concerns that impact housing or programming and appropriateness of specific work assignments. This screening is documented in the electronic OMNI system and entitled the Incoming Job Screening (ITJS).
- PREA screening results are documented in the ITJS and if an offender displays an increased potential to be sexually victimized or for predation staff are expected to document this in the summary section of the ITJS. They will also note instructions, if it is necessary to have any safety plans/monitoring plans in place for any work or programming assignments.
- Classification staff will complete a PREA transfer assessment and an Intake classification Custody Facility Plan Review within thirty (30) days of the offender’s arrival at the facility. If a monitoring plan is needed due to an offender’s increased potential to be sexually victimized or for predation, the monitoring plan will be included in the comment section of the Custody Facility Plan. The Custody Facility Plan is located in the electronic OMNI system.

- Classification staff will update the status of a monitoring plan at each classification review held either every six (6) months or annual based on the offenders sentence structure.

Residents housed in WADOC work release facilities are employed by private entities in the community, with whom WADOC can share limited information. The resident is responsible for securing their own employment and the Community Corrections Officer can address issues on a case-by-case basis. The same is true for any education and most rehabilitative programming available for work release offenders. Any programming activities held at the facility are monitored at all times by staff and are held within areas of the facility in which offenders are observed. This was confirmed during interviews with intake staff.”

The auditor reviewed eight (8) resident housing assignments. In all files a PREA housing screening was completed prior to the resident’s arrival at the facility. The housing screening includes a screening of the roommates that the resident will be housed with.

Subsection (c)(d): TCWTR reported in the Pre-Audit Questionnaire states that the agency makes housing and program assignments for transgender or intersex residents in the facility on a case-by-case basis.

WADOC 490.820 *Prison Rape Elimination Act (PREA) Risk Assessments and Assignments* (page 8) states “Housing and programming will be reviewed, initially and prior to any transfer, by a local review committee for all offenders who identify as transgender or intersex. Reviews will be documented on DOC 02-384 Protocol for Housing of Transgender and Intersex Offenders, which will be scanned into a secure site in the electronic imaging system accessible only by the PREA Compliance Manager/Specialist and the Correctional Program Manager/CCS or higher rank”

WADOC 490.820 *Prison Rape Elimination Act (PREA) Risk Assessments and Assignments* (page 10) states “Review Committees will reassess placement and programming assignments ever 6 months using DOC 02-385 Protocol for Housing Review for Transgender and Intersex Offenders to review any threats to the offender’s safety.

WADOC 490.820 *Prison Rape Elimination Act (PREA) Risk Assessments and Assignments* (page 9) states “the receiving facility review committee will conduct an interview with the offender, arranged by sending facility staff. The interview may be conducted telephonically or in person.”

In the memo to the auditor TCWTR stated “housing assignment and programming assignments for all transgender and intersex offenders are made on a case by case basis, to include individual shower arrangements, putting priority on the offender’s health and safety. The housing review process also takes into account management or security problems that may result from placement options. Housing review are documented on DOC 02-384 *Protocol for the housing of Transgender and Intersex Offenders*, by local multi-disciplinary team with housing recommendation forwarded to the Deputy Director of Prison Command A for final approval. A formal review is also conducted at least every six (6) months for each offender or when a change is housing assignment is indicated.

TCWTR has not received any transgender intersex and/or gender non-conforming offenders housed in the facility. This was confirmed during informal interviews with staff. Therefore no specialty interview was conducted in this category.

During an interview with the PREA Coordinator, she stated that a multi-disciplinary team will review housing for a transgender, intersex, or gender non-conforming resident, and will make a recommendation on the offenders housing. The multi-disciplinary team will hold a meeting with the resident either in person or by phone, in which they consider his/her views regarding their safety.

Subsection (e)(f): TCWTR reported in the Pre-Audit Questionnaire indicates that transgender and intersex residents are given the opportunity to shower separately from other offenders.

WADOC 490.820 *Prison Rape Elimination Act (PREA) Risk Assessment and Assignments* (page 11) states “facilities shall develop local procedures to allow transgender and intersex offenders the opportunity to shower and dress/undress separately from other offenders. This may include individuals shower stalls, separate shower times, or other procedures based on facility design.”

During the site review, the auditor did view the showers within the housing units. The showers are individual showers and appear to provide the necessary privacy needed for all residents to shower.

During an interview with staff who is responsible for performing screening, stated yes transgender, intersex or gender-non conforming inmates can shower separately; he further stated that there are no set shower times at the facility.

Subsection (f): In a memo to the auditor, TCWTR stated “the facility does not have a dedicated housing area for the assignment of only lesbian, gay, bisexual, transgender or intersex offenders. The agency is also not under any related consent decree, legal settlement or legal judgment. Housing and program/work assignments are made based on the PREA Risk Assessment identifiers and programming needs. Though not explicitly detailed in policy, WADOC prohibits housing based solely on an offender’s identification or status as a lesbian, gay, bisexual, transgender or intersex individual.

TCWTR has not received any transgender, intersex, or gender non-conforming offenders during the audit period.”

The auditor confirmed there are no dedicated units within the facility.

Finding: Prior to the offender arriving at the facility, staff will review the offender’s last completed assessment. Housing will be determined prior to or on the day of arrival. Staff will review the risk assessments for all residents living in the same room. Once the 72 hour screening is performed if there is addition or new information, the housing assignment will be adjusted if needed. A multi-disciplinary team will review the housing for a transgender, intersex, or gender non-conforming resident on a case by case basis. The resident will be interviewed regarding their own views of safety either by phone or in person, prior to a housing determination. The facility has individual toilet stalls and individual shower stalls with curtains, indicating that all residents can shower separately from others. There are no dedicated housing areas for lesbian, gay, bisexual, transgender, or intersex residents.

The facility is in compliance with this standard.

REPORTING

Standard 115.251: Resident reporting

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

115.251 (a)

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

115.251 (b)

- Does the agency also provide at least one way for residents to report sexual abuse or sexual harassment to a public or private entity or office that is not part of the agency? X Yes No
- Is that private entity or office able to receive and immediately forward resident reports of sexual abuse and sexual harassment to agency officials? X Yes No
- Does that private entity or office allow the resident to remain anonymous upon request? X Yes No

115.251 (c)

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

115.251 (d)

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

Auditor Overall Compliance Determination

X **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.

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy:
 - a. WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (17 pages)
 - b. WADOC 490.850 *Prison Rape Elimination Act (PREA) Response* (11 pages)
 - c. WADOC 450.100 *Mail for Prison Offender* (17 pages)
 - d. WADOC 450.110 *Mail for Work Release Offenders* (4 pages)
- 4) WAC 137-48-020 Definition of Legal Mail
- 5) DOC Policy Glossary Excerpt with Definitions of Legal Mail to Include PREA Coordinator
- 6) Tri-Cities Facility Offender Orientation Handbook
- 7) PREA Poster and Brochures for Offenders
- 8) PREA Orientation Brochure for Offenders
- 9) MOU with WADOC and Colorado Department of Corrections (CDOC)
- 10) Memo from Agency ADA Compliance Manager regarding illiterate offender ability to report
- 11) Listing of all PREA Cases opened in the documentation period
- 12) PREA 101 Curriculum
- 13) Listing of Compliant Log during in the documentation period
- 14) Log of allegations received by and for the CDOC
- 15) PREA Brochure for Staff, Contractors and Volunteers
- 16) Interviews with the following:
 - a. PREA Coordinator
 - b. Random Offenders
 - c. Random Staff

(by Subsection):

Subsection (a): TCWTR reported in the Pre-Audit Questionnaire the facility has established procedures to allow for multiple internal ways for offenders to report privately to the agency officials

about sexual abuse, sexual harassment, retaliation by other offenders, staff for reporting violations and staff neglect or violations of responsibilities that may have contributed to such incidents.

WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (page 14) states “Offenders may report PREA Allegations in the following ways. Reporters may remain anonymous.”

- Through the confidential PREA hotline at 800-586-9431 or at 844-242-1201 for teletypewriter (TTY)
- Verbally to Staff
- Offender Grievance
- Written Report to outside agency for Prison and Work Release Offenders

In a memo to the auditor, TCWTR stated “the WADOC provides offenders with multiple reporting venues, to include a confidential toll-free hotline, verbal reports to any staff, kites, grievances and the legal mail to designated individuals. Use of the hotline does not require the offender to input a personal identifying number (IPIN) and calls are exempt from recording or monitoring the facility. The state’s definition for legal mail includes correspondence to and from the Agency’s PREA Coordinator. Reporting methods are addressed in the offender PREA orientation video, the offender brochure, and are included in the resident handbooks.”

As a test for another facility audit within the State of Washington, on Friday, September 15, 2018, the auditor filed a report of an allegation, utilizing the “report” function located on the agency website. It was requested that the agency complete the process of the report, as they would for any PREA allegation, received via the website. This was completed as a test to determine if the reports of an allegation are received and appropriate steps are taken in a timely manner. On September 18, 2018 the auditor received confirmation that the report had been received by the DOC PREA Triage.

During the site review the auditor tested the grievance system. The auditor received notification that the grievance had been received by the PREA Triage.

During informal and random interviews with residents, when asked what ways they can report, all of the residents held up their hand and counted PREA Hotline, Verbally to staff, write a note, grievance, outside agency. There was one (1) resident interviewed that had only been at the facility for one (1) week, and he also held up his hand and counted on his fingers all five (5) ways to report. During the site review, several random residents were informally asked how they can report, and again they raised their hand and counted the five (5) ways to report.

During random staff interviews, all five (5) staff members reported that residents could report utilizing the PREA hotline, tell a staff member, kite, grievance or outside agency.

Subsection (b): TCWTR reported in the Pre-Audit Questionnaire that the agency provides at least one way for residents to report abuse or harassment to public or private entity or office that is not a part of the agency.

In a memo to auditor, TCWTR stated “offenders are able to anonymously and confidentially send allegation information to the Colorado Department of Corrections (CDOC), who serves as the

agency's external reporting entity. This is done utilizing *DOC 21-379 Report of Prison Rape Elimination Act (PREA) Allegation* form. This form is available in resident's accessible areas of the facility along with pre-addressed envelopes."

The auditor did review Contract No. CMS 65853, between the WADOC and the CDOC, which states the WADOC and the CDOC will establish a means for offenders under their jurisdiction to report claims or allegations of sexual abuse, sexual assault or sexual harassment to the other party (the receiving party).

A statewide log of all letters received by the CDOC was reviewed. The log indicates that no letters were received about Tri-Cities Work/Training Release.

WADOC has an agreement in place with the Colorado Department of Corrections for an independent external report entity. To test the system during an audit for another Washington facility, the auditor sent a letter utilizing the form attached to the MOU, to the Colorado Department of Corrections, on September 15, 2018. On September 18, 2018, the auditor received an email from the WADOC PREA Coordinator, stating that WADOC recently learned that the form attached to the MOU did not reflect the correct address. The letter sent by the auditor had been returned "undeliverable" When Colorado had an address change the MOU was not amended, however all forms on the agency's internal website and all forms provided to the residents along with pre-addressed stamped envelopes were updated and contain the current address. A second letter was sent to the current address and on September 24, the auditor received notification that the letter had been received by the WADOC PREA triage.

During an interview with the PREA Coordinator she confirmed that the agency did have an agreement with the Colorado Department of Corrections to act as an external reporting entity.

During interviews with random residents, six (6) of the eight (8) interviewed stated they knew there was an "outside" agency, but could not recall the name. However they knew the information and forms were on the PREA Bulletin board.

During an informal discussion, with the Community Correction Supervisor, she stated that she spends a lot of time with residents going over the all the information and will quiz them at every opportunity "how can you report?"

Subsection (c)(d): TCWTR reported in the Pre-Audit Questionnaire has a policy mandating that staff accept reports of sexual abuse and sexual harassment made verbally, in writing, anonymously and from third party.

WADOC 490.850 *Prison Rape Elimination Act (PREA) Response* (page 2) states "Staff must immediately report any knowledge, suspicion, or information received, including anonymous and third party reports, regarding an allegation or incident of sexual misconduct occurring in any incarceration setting even if it is not a Department Facility. This includes related retaliation and knowledge of staff actions or neglect that may have contributed to the incident." and (page 3) states "Every allegation will be reported, even if the offender reported the same allegation previously to the same staff."

WADOC 490.850 *Prison Rape Elimination Act (PREA) Prevention and Reporting, Attachment 2, PREA Reporting Process*, states “Staff may report allegations of a highly sensitive nature (e.g., allegations against the Shift Commander/CCS or in which that person may have a conflict of interest) directly to the Appointing Authority or Duty Officer. Allegations made against the Appointing Authority will be reported to the next higher authority.

In a memo to the auditor, TCWTR stated “Employees, contractors and volunteers are required by policy to report all allegations received, regardless of the manner in which the information is obtained. Individuals who fail to report allegations or who knowingly submit incomplete or untruthful information could lead to corrective or disciplinary action. This information is contained in agency policy, addressed in PREA training and included in a PREA brochure available for staff, contractors and volunteers. WADOC policy allows for staff to report allegations of a highly sensitive nature (e.g., allegations against the shift commander or the Community Corrections Supervisor or in which that person may have a conflict of interest) directly to the Appointing Authority or Duty Officer. This information is also contained in the PREA training provided to all staff.”

The auditor reviewed the staff PREA Brochure, which states “you must immediately report any knowledge, suspicion, or information received regarding an incident of sexual abuse, sexual solicitation, sexual harassment or sexual coercion, or any staff neglect or violation of responsibility that may have contributed to such an incident.”

During random interviews with staff, all reported that they must accept all reports and must immediately report it to the Appointing Authority if during work hours and the duty officer if after hours. If a report was concerning a supervisor, they could report to the Appointing Authority.

Finding: The facility has multiple internal ways for residents to privately report an allegation. During interviews with random residents, they each held up their hand and counted off five (5) ways they could report an allegation. It didn’t matter if the resident had been there a few months or one (1) week, they had learned of all ways to report an incident. During staff interviews, staff knew and understood their responsibilities for reporting an allegation. They must accept a report no matter how it is received. During interviews with staff, they stated they would report to the supervisor, if it was about the supervisor they could report to the Appointing Authority.

The facility is in compliance with this standard.

Standard 115.252: Exhaustion of administrative remedies

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

115.252 (a)

- Is the agency exempt from this standard? NOTE: The agency is exempt ONLY if it does not have administrative procedures to address resident grievances regarding sexual abuse. This does not mean the agency is exempt simply because a resident 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

115.252 (b)

- Does the agency permit residents 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.) X Yes No NA
- Does the agency always refrain from requiring a resident 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.) X Yes No NA

115.252 (c)

- Does the agency ensure that: A resident 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.) X 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.) X Yes No NA

115.252 (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 residents in preparing any administrative appeal.) (N/A if agency is exempt from this standard.) X Yes No NA
- If the agency determines that the 90-day timeframe is insufficient to make an appropriate decision and claims an extension of time [the maximum allowable extension of time to respond is 70 days per 115.252(d)(3)] , does the agency notify the resident 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.) X Yes No NA
- At any level of the administrative process, including the final level, if the resident does not receive a response within the time allotted for reply, including any properly noticed extension, may a resident consider the absence of a response to be a denial at that level? (N/A if agency is exempt from this standard.) X Yes No NA

115.252 (e)

- Are third parties, including fellow residents, staff members, family members, attorneys, and outside advocates, permitted to assist residents in filing requests for administrative remedies relating to allegations of sexual abuse? (N/A if agency is exempt from this standard.) X Yes No NA

- Are those third parties also permitted to file such requests on behalf of residents? (If a third-party files such a request on behalf of a resident, 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.)
X Yes No NA

- If the resident declines to have the request processed on his or her behalf, does the agency document the resident's decision? (N/A if agency is exempt from this standard.)
X Yes No NA

115.252 (f)

- Has the agency established procedures for the filing of an emergency grievance alleging that a resident is subject to a substantial risk of imminent sexual abuse? (N/A if agency is exempt from this standard.) X Yes No NA

- After receiving an emergency grievance alleging a resident 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.)
X 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.) X 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.)
X Yes No NA

- Does the initial response and final agency decision document the agency's determination whether the resident is in substantial risk of imminent sexual abuse? (N/A if agency is exempt from this standard.) X 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.) X 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.) X Yes No NA

115.252 (g)

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

Auditor Overall Compliance Determination

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

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release completed Pre-Audit Questionnaire
- 2) Memo to Auditor
- 3) Policy:
 - a. WADOC 550.100 *Offender Grievance Program* (5 pages)
 - b. WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (17 pages)
- 4) Memorandum from WADOC Secretary, dated September 20, 2017
- 5) Interviews with the following:
 - a. Residents who Reported a Sexual Abuse

Findings (by Subsection):

Subsection (a)(b)(c)(d)(e)(f)(g): TCWTR reported in the Pre-Audit Questionnaire that the agency has an administrative procedure for dealing with resident grievances regarding sexual abuse.

WADOC 550.100 *Offender Grievance Program* (page 2) states "Grievances alleging sexual misconduct will be forwarded to the PREA Coordinator per DOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* and will not be reviewed through the grievance process.

WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting*, (page 15) states "Offender grievances, including emergency complaints, per DOC 550.100 Offender Grievance Program and the Offender Grievance Program Manual.

1. Copies of the grievances alleging sexual misconduct will be forwarded immediately to the applicable authority per the PREA Reporting Process attached to DOC 490.850 Prison Rape Elimination Act (PREA) Response.
2. The Offender will be notified via the grievance response that the allegation was forwarded for review for a possible PREA Investigation.
3. The PREA Coordinator/designee will notify the appropriate grievance staff of the determination on whether the allegation meets the definition of sexual misconduct
 - a. If the allegation does not, the offender may re-file the grievance per DOC 550.100 Offender Grievance Program.

In a memo to the auditor from the WADCO Secretary he explains the grievance process as follows:

WADOC does not process PREA-related allegations through the offender grievance program. Complaints and Grievances alleging any form of sexual assault, sexual abuse, sexual harassment and/or employee sexual misconduct are immediately processed in accordance with DOC policy.

All allegations are reviewed by the Headquarters PREA Unit. If it is determined that the information received does not fall within the established PREA definitions, the allegation is returned to the facility as "not PREA" and the offender is allowed to pursue the issue through the Offender Grievance Program. If the issues fall within the scope of PREA, a formal investigation is initiated and forwarded to the appropriate Appointing Authority for oversight and findings. All investigation findings decisions remain with the Appointing Authority. All investigations resulting from grievances are subject to the same level of review, notification and follow up as PREA investigations initiated from other sources of information.

WADOC 490.820 *Prison Rape Elimination Act (PREA) Investigations* (page 2) states "The Department will thoroughly, promptly and objectively investigate all allegations of sexual misconduct involving offenders under the jurisdiction or authority of the Department."

In a memo to the auditor TCWTR stated "if an offender submits a PREA allegation using the grievance system, the offender is notified that the grievance is being submitted for a possible PREA investigation. If the review process determines that the allegation does not fall within established PREA definitions, the offender is notified and provided the opportunity to resubmit the grievance per established grievance policy."

TCWTR reported that during the reporting period no PREA grievances were filed through the grievance system.

During the site review, the auditor placed a pre-written grievance into the grievance box. The grievance stated "please process this grievance as you would any PREA-related grievance you receive." The following day the auditor received confirmation that the grievance had been received and was processed through the PREA Triage.

Finding: The facility process for grievances of sexual nature, removes the grievance from the normal grievance process. The process ensures that the grievance is reported to the PREA Triage and processed as any other PREA allegation received. This process eliminates the requirement that a resident file an informal complaint prior to filing a grievance and eliminates the time limits normally required for a grievance. If the PREA Triage determines the grievance to be an allegation of sexual abuse as defined by standard 115.6, an investigation will begin. If not determined to be PREA as defined by standard 115.6, the grievance is returned to the facility and the resident is allowed to continue through the grievance program.

The facility is in compliance with this standard.

Standard 115.253: Resident access to outside confidential support services

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

115.253 (a)

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

115.253 (b)

- Does the facility inform residents, 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? X Yes No

115.253 (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 residents with confidential emotional support services related to sexual abuse? X Yes No
- Does the agency maintain copies of agreements or documentation showing attempts to enter into such agreements? X 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.

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy:
 - a. WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (17 pages)
- 4) OCVA Brochure and Posters
- 5) Brochure for WCSAP regarding Statewide advocacy
- 6) Resident Orientation Handbook
- 7) In-Person Victim Advocacy Services Guide
- 8) Advocacy confidentiality summary
- 9) Interagency Agreement between WADOC and Department of Commerce
- 10) Documentation of Meeting with Support, Advocacy and Resource Center (SARC) personnel dated June 4, 2018
- 11) Interviews with the following:
 - a. Random Resident
 - b. Residents who reported sexual abuse

(by Subsection):

Subsection (a)(b)(c): TCWTR reported in the Pre-Audit Questionnaire that provides offenders with access to outside victim advocates for emotional support services related to sexual abuse.

In a memo to the auditor, TCWTR stated "TCWTR has established a partnership with Support, Advocacy, Resource Center (SARC). WADOC has entered into a partnership with the Office of Crime Victim Advocacy (OCVA) to provide support services to all offenders under the jurisdiction of the department. This is coordinated centrally, with offenders able to call a toll free phone line to speak with a support specialist who can then transfer the call to a community sexual assault

program partnered with the facility as needed to provide continued support to the offender. The community based advocate can make arrangements for the offender to call the line at designated times to speak with the advocate, or the advocate can make arrangements with the facility on a case-by-case basis to provide on-site support to the offender. OCVA sub grants funds to the local advocacy agency partnered with each facility to support this work. Information regarding these services is provided to offenders via posters and brochures and additionally the offenders are provided with the information from the Washington Coalition of Sexual Assault Programs (WCSAP) regarding community sexual assault programs available throughout the state following the offender's release from total incarceration."

The auditor reviewed an Interagency Agreement with WADOC and Department of Commerce Officer of Crime Victims Advocacy. The purpose of the agreement is "to provide advocacy services in furtherance of the DOC's compliance with the Prison Rape Elimination Act (PREA)."

During the site review, OCVA posters and brochures could be seen on the PREA Bulletin Board. The poster and brochures detail the role of the OCVA PREA Support Specialist. The posters are both in English and Spanish.

The auditor reviewed the TCWTR handbook, which states "offenders can receive support service from mental health staff by submitting a health services kit. In work release, you may be referred to an outside mental health agency for services. You can also contact an outside victim advocacy service. A "sexual assault advocate" is someone who may be an employee or volunteer from a community sexual assault program that provides information, medical or legal advocacy, counseling, or support to victims of sexual assault. A pre-designated victim advocate will also be available to support victims at the hospital whenever a forensic medical examination is done. The victim advocacy service and information line is operated by the Office Crime Victim Advocacy (OCVA) and can be reached by calling 1-855-210-2087 between 8:00 a.m. – 5:00 p.m. The calls to this line are free, don not require your IPIN and are not recorded or monitored at the facility. This not a reporting hotline and does not replace the DOC PREA Hotline. The OCVA line is only for confidential issues related to sexual assault and abuse. Anyone who repeatedly misuses the line or threatens or harasses the OCVA support specialist may be disciplined.

The auditor reviewed the OCVA brochure, which state "you and your family can access a confidential community sexual assault advocated by contacting the local program"

The auditor reviewed the minute meetings from a meeting that was held on June 4, 2018, with staff, residents and an advocate with the Support, Advocacy and Resource Center. During the meeting, the protocol if there was a sexual assault was discussed.

The auditor interviewed the Director of the SARC. She briefly discussed services that SARC provides to the residents at Tri-Cities Work/Training Release, to include accompanying the resident offering advocacy during SANE/SAFE exam. She reported that no residents during the reporting period had used their services, either by phone or in-person.

During interviews with random residents, all reported SARC information is available on the bulletin board and can be access twenty-four hours a day, if needed. They were aware that discussion with the victim advocate is confidential.

Finding: The facility ensures the residents in the facility have access to outside victim advocate for emotional support service related to sexual abuse. Residents are informed of these services during orientation and through brochures and the resident handbook. The facility has an agreement with OCVA and SARC to provide confidential emotional support related to sexual abuse. The residents are aware how to access the support service. Brochures and the resident handbook, tell the resident the extent of confidentiality.

The facility is in compliance with this standard.

Standard 115.254: Third-party reporting

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

115.254 (a)

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

Auditor Overall Compliance Determination

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

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy:
 - a. WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (17 pages)
- 4) Family and Friends PREA Posters and Brochures (English and Spanish)

- 5) Screen prints from WADOC external website demonstrating the information regarding reporting that is publicly available

(by Subsection):

Subsection (a): TCWTR reported in the Pre-Audit Questionnaire that the agency/facility provides a method to receive third-party reports of resident sexual abuse or sexual harassment.

WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (page 4) states “The PREA Compliance Manager will be an employee outside of any Intelligence and Investigative Unit, who will coordinate local PREA compliance and: (6) Coordinate monthly checks to verify: (b) Posters and brochures provided by the PREA Coordinator are posted in areas accessible to offenders and the public, including Health Services area and Classification Counselor/Community Corrections Officer (CCO) offices.

In a memo to the auditor, TCWTR stated “WADOC requires that PREA information, including information on how to report, is maintained in publically accessible areas with the facility. At Olympia Work Release, this information is posted in the visiting area, the resource room and the CCO’s Office. Additionally, information regarding reporting, the investigative process and the frequently asked questions are available on the agency’s public website.”

The auditor reviewed the agency website it contains PREA information, including information on how to report, the investigative process and frequently asked questions. A user can report an allegation simply by clicking the “report sexual misconduct” button. On September 15, 2018, utilizing this process, the auditor tested the system and filed a report through the website, instructing the reader to notify the auditor once the report was received. On September 18, 2018 the auditor received an email that the report had been received.

The auditor reviewed the facility’s Family and Friends PREA poster and brochure. The poster and the brochure are both in English and Spanish. The Poster provides the PREA Hotline number. The brochure gives family members multiple ways to report to include:

- Contact the Statewide Programs/Work Release Administrator
- Call the PREA hotline at 1-800-586-9431
- Write a letter to: PREA P.O. Box 41131, Olympia, Washington 98504-1131
- Email the DOC PREA Coordinator at DOCPREA@doc1.wa.gov

During the site review, the auditor observed PREA posters and brochures in the visiting area as well as the areas frequented by the residents.

Finding: The facility distributes information on how to report sexual abuse and sexual harassment on behalf of a resident. Posters can be seen by family and friends in the visiting area of the facility, as well as brochures are available. The agency has a reporting mechanism on their public website, accessible to all who may need to report and allegation.

The facility is in compliance with this standard.

OFFICIAL RESPONSE FOLLOWING A RESIDENT REPORT

Standard 115.261: Staff and agency reporting duties

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

115.261 (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? X Yes No
- Does the agency require all staff to report immediately and according to agency policy any knowledge, suspicion, or information regarding retaliation against residents or staff who reported an incident of sexual abuse or sexual harassment? X 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? X Yes No

115.261 (b)

- Apart from reporting to designated supervisors or officials, do 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? X Yes No

115.261 (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? X Yes No
- Are medical and mental health practitioners required to inform residents of the practitioner's duty to report, and the limitations of confidentiality, at the initiation of services? X Yes No

115.261 (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? X Yes No

115.261 (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? X 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.

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy:
 - a. WADOC 350.550 *Reporting Abuse and Neglect Mandatory Reporting* (4 pages)
 - b. WADOC 490.850 *Prison Rape Elimination Act (PREA) Response* (11 pages)
- 4) Staff Contract Staff and Volunteers PREA Brochure
- 5) Staff, Contract Staff and volunteers PREA Posters
- 6) Tri-Cities PREA cases opened during the documentation period
- 7) Incident Management Report System (IMRS) Report
- 8) RCW 74.34.020 Defining Vulnerable Adults
- 9) Interagency Agreement Between Washington State Department of Social and Health Services (DSHS), Adult Protective Services (APS) and WADOC
- 10) Interviews with the following:
 - a. Random Staff
 - b. PREA Coordinator

(by Subsection):

Subsection (a): TCWTR reported in the Pre-Audit Questionnaire that the agency requires all staff to report immediately and according to agency policy any knowledge, suspicion, or information they receive regarding an incident of sexual abuse, sexual harassment and retaliation that occurred in the facility, whether or not it is part of the agency.

WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (page 2) states "Staff must immediately report any knowledge, suspicion, or information received including anonymous and third-party reports, regarding an allegation or incident of sexual misconduct

occurring in any incarceration setting even if it is not a Department facility. This also includes related retaliation and knowledge of staff actions or neglects that may have contribute to the incident.”

In a memo to the auditor, TCWTR stated “agency policy requires all staff, to include employees, contractors, and volunteers, to immediately report incidents and allegations as identified in the standard. Individuals are required to report to individuals as identified in agency policy. Agency policy prohibits revealing any information related to a sexual misconduct report or incident other than as necessary for related treatment, investigation, and another security and management decisions. Staff who has breached confidentiality may be subject to corrective/disciplinary action.”

Staff posters could be seen in areas frequented by staff only that state “The Department of Corrections has a zero tolerance of all forms of sexual misconduct and retaliation against any person because of his/her involvement in the reporting or investigation of a PREA compliant.....You must immediately, confidentially and directly report any knowledge, suspicion, or information received regarding sexual misconduct.”

During interviews with random staff, they were consistent with they would that they are required to immediately report to any knowledge, suspicion or information regarding an incident of sexual abuse to the supervisor, Appointing Authority or the duty officer.

Subsection (b): TCWTR reported in the Pre-Audit Questionnaire staff are prohibited from revealing any information related to a sexual abuse report to anyone other than to the extent necessary to make treatment, investigation and any other security management decisions.

WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (page 2) states “Information related to allegations/incidents of sexual misconduct is confidential and will only be disclosed when necessary for related treatment, investigation and other security management decisions. (c) Staff who breach confidentiality may be subject to corrective/disciplinary action.

During staff interviews, all reported that any information learned regarding an alleged incident must be keep confidential.

Subsection (c): TCWTR has an agency policy that medical and mental health practitioners shall be required to report sexual abuse and to inform residents of the practitioner’s duty to report and the limitations of confidentiality at the initiation of services.

WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (page 3) states “Offenders will be informed of the requirements of mandatory reporting at Reception and information will be posted in Health Services areas where it can be seen by offenders. (1) Health Service providers must inform of the duty to report before providing treatment when an offender (a) Displays signs/symptoms of sexual misconduct that are identified or observed in the course of an appointment or examination or (b) Discloses to a medical or mental health provider sexual misconduct that occurred while in any correctional setting.”

In a memo to the auditor, TCWTR stated “offenders housed in work release facilities obtain all medical and mental health services from community providers.”

During the site review, the auditor confirmed that there are no medical or mental health services available at the facility. Residents who require services are referred to agencies within the community.

Subsection (d): TCWTR reported in the Pre-Audit Questionnaire that the agency has established procedures to provide disabled residents an equal opportunity to participate in or benefit from all aspects of the agency's effort to prevent, detect, and respond to sexual abuse and sexual harassment.

WADOC 350.550 *Reporting Abuse and Neglect Mandatory Reporting* (page 2) states "The department will report suspected child abuse/neglect and incidents of abuse, abandonment, financial exploitation, or neglect involving vulnerable adults to the appropriate authority" (2) Reports of sexual or physical assault involving a vulnerable adult victim, or an act that has caused a vulnerable adult victim fear of imminent harm, will be made to the law enforcement agency with jurisdiction where the act is believed to have occurred. (3) All other reports involving a vulnerable adult victim will be made to Adult Protective Services (APS) at 1-866-363-4276 or per Department of Social and Health Services website."

WADOC 490.850 *Prison Rape Elimination Act (PREA) Response* (page 9) states "The Appointing Authority/Designee will ensure that notification is made to: (2) Adult Protective Services (APS), if an alleged victim is classified as a vulnerable adult."

RCW 74.34.020 *Definitions* defines vulnerable adult as (a) sixty years of age or older who has the functional, mental, or physical inability to care for himself or herself; or (b) found incapacitated under chapter 11.88 RCW; (c) who has developmental disability as defined under RCW 71A.10.020 (d) admitted to any facility (e) Receiving services from home health, hospice or home care agencies licensed or required to be licensed under chapter 70.127 RCW (f) Receiving services from an individual provider (g) who self-directs his or her own care and receives services from a personal aide under the chapter 74.39 RCW.

WADOC does have an Interagency Agreement with the Washington State Department of Social and Health Services (DSHS) Adult Protective Services (APS). The agreement states "WADOC will notify the Department of Social and Health Services, Adult Protective Services of any allegations of sexual abuse/harassment or other types of mistreatment including abuse, neglect and financial exploitation of offenders who have been classified as a vulnerable adult as defined by state or local jurisdiction's vulnerable persons statute..."

In a memo to the auditor, TCWTR stated "during the audit period, Tri-Cities Work/Training Release did not receive any allegations from offenders who were classified as vulnerable adult with the Revised Code of Washington (RCW).

Regarding the juvenile portion of this standard WADOC has interpreted this as applying to allegations regarding periods when the alleged victim is/was incarcerated. All allegations are reported to Child Protective Services, law enforcement, and the applicable facility administrator if outside of WADOC jurisdiction would not house a victim under the age of 18 years. The facility did not report any incidents where the victim is considered a vulnerable adult under a State or Local vulnerable adult person statute."

The auditor reviewed the Revised Code of Washington (RCW) which includes the definitions of a vulnerable adult and an Interstate Agreement with Adult Protective Services which states “to allow DOC to conduct investigations where there are allegations of sexual abuse/sexual harassment or other types of mistreatment, including abuse, neglect, and financial exploitation of offenders who have been classified as a vulnerable adult..”

Subsection (e): WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (page 6) diagrams the process for reporting an allegation.

- Staff obtains information about an allegation or incident of sexual misconduct, related retaliation, or staff action or neglect that may have contributed to an incident.
- Staff will confidentially deliver the information directly and immediately to the shift supervisor
- The shift commander will notify the Superintendent or Duty Officer as soon as possible, but no later than the end of the reporting staff’s shift.
- The authority receiving the report will notify other applicable per DOC 490.850 *Prison Rape Elimination Act (PREA) Response*
- All staff will maintain confidentiality and follow the directions of the Appointing Authority/designee, (e.g., questions offenders, identify potential witnesses, secure statements), unless the incident is an emergency.
- A confidential Incident Management Reporting System (IMRS) report will be completed as soon as possible, but no later than the end of the shift in which the information was received.

In a memo to the auditor, TCWTR stated “WADOC established the following process in lieu of reporting allegations to designated investigators:

- The staff member (employee, contractor or volunteer) receiving the allegation is required to confidentially deliver the information directly and immediately as follows:
 - Work Release: Reported to the Work Release Administrator or Duty Officer ensures that the information is submitted via the incident Management Reporting System (IMRS) which is automatically forwarded via email to the PREA Coordinator/designee
- The PREA Coordinator/designee reviews all allegation information to determine, if it falls under the definition of PREA. If it does, the investigation is assigned to the appropriate Appointing Authority
- The Appointing Authority then assigns the investigation to a trained investigator

TCWTR reported one (1) allegation was received during the reporting period. The auditor reviewed the investigation. The documentation included the report made to the PREA Triage, the decision and email sent to the Appointing Authority and the final investigation report.

Finding: WADOC policy requires all staff to immediately report any knowledge, suspicion or information regarding a sexual abuse or sexual harassment, any retaliation against residents or staff. The policy also requires confidentiality of information related to sensitive information. Interviews with staff demonstrated their knowledge of their responsibilities in reporting and the confidentiality of such reports. The facility does not house juvenile offenders and the facility confirmed they would call and report any abuse of a vulnerable adult to the Adult Protection

Services. The facility does not have medical or mental health services on site. If a resident was in need of these services they would be referred to agencies within the community. The process within the WADOC requires all allegations to be reported through the IMRS system, which is immediately sent and reviewed by the PREA Triage. The allegation will be referred to the Appointing Authority for an investigator to be assigned.

The facility is in compliance with this standard.

Standard 115.262: Agency protection duties

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

115.262 (a)

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

Auditor Overall Compliance Determination

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

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy:
 - a. WADOC 490.820 *Prison Rape Elimination Act (PREA) Risk Assessments and Assignments* (12 pages)
 - b. WADOC 490.850 *Prison Rape Elimination Act (PREA) Response* (11 pages)
- 4) OMNI Screenshot of Offender Monitoring Plans
- 5) Samples of housing assignment reviews
- 6) Samples of PREA Checklist for Work Release Facilities
- 7) Interviews with the following:

- a. Agency Head
- b. Random Staff

(by Subsection):

Subsection (a): TCWTR reported in the Pre-Audit Questionnaire, if the facility learns that a resident is subject to a substantial risk of imminent sexual abuse; it takes immediate action to protect the resident. It was also reported that there have not been any Offenders that were the subject of substantial risk during the reporting period.

WADOC 490.850 *Prison Rape Elimination Act (PREA) Response* (page 8) states "Upon receipt of an allegation of offender-on-offender sexual assault, the Appointing Authority/Shift Commander/CCS will immediately direct employees/contract staff to separate the accused from the alleged victim and witnesses."

In a memo to the auditor, TCWTR stated "when an offender is assessed as a potential victim according to the PREA Risk Assessment (PRA) a monitoring plan is developed. This plan is individualized based on the needs and identified risk for the offender. Additionally whenever a housing assignment is made, offender risk identifiers are reviewed to ensure compatibility with potential cellmates. Both monitoring plans and housing reviews are documented in the offender's electronic record.

When an allegation is received the Duty Officer and/or Appointing Authority review all available information regarding named victim needs, timeframe, severity, housing and job assignments of named individuals and other factors to determine if immediate actions are needed to prevent harm. These actions are documented on response checklists and in IMRS reports."

During an interview with the Secretary of the Department of Corrections, he stated that WADOC takes all offenders' safety seriously. If it was learned that an offender was subject to substantial risk, immediate action would be taken, including moving the offender to another facility during an investigation, if necessary. Offender would be monitored for ninety (90) days, to include monitoring for retaliation.

During an interview with the PREA Compliance Manager, she stated that all residents would be protected until there was no longer a risk to the resident.

The auditor reviewed a list of residents identified as potential victims according to the risk assessment. During the reporting period, three (3) residents were identified as a potential victim; the auditor reviewed the resident monitoring plans. Plans had been established for each resident. The plans require that the resident meet with the monitor on a bi-weekly basis and the CCS and Director were notified to monitor for any behavioral changes.

Finding: The agency would take immediate actions if it was learned that a resident was in substantial imminent sexual abuse. This was confirmed during an interview with the Corrections Department Secretary. In protection of the residents, if a resident is identified as a potential victim, the facility will place them on a monitoring plan to ensure their safety.

The facility is in compliance with this standard.

Standard 115.263: Reporting to other confinement facilities

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

115.263 (a)

- Upon receiving an allegation that a resident 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? X Yes No

115.263 (b)

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

115.263 (c)

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

115.263 (d)

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

Auditor Overall Compliance Determination

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

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy:

- a. WADOC 490.850 *Prison Rape Elimination Act (PREA) Response* (11 pages)
 - b. WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigation* (14 pages)
- 4) Interviews with the following:
- a. Agency Head
 - b. Appointing Authority

(by Subsection):

Subsection (a)(b)(c): TCWTR reported in the Pre-Audit Questionnaire that the agency has a policy requiring that, upon receiving an allegation that a resident was sexually abused while confined at another facility, the head of the agency must notify the head of the facility where the sexual abuse occurred.

WADOC 490.850 *Prison Rape Elimination Act (PREA) Response* (page 8) states “The Appointing Authority will notify the appropriate Appointing Authority or facility administrator with 72 hours of receipt of an allegation when the alleged incident: (1) occurred in another Department location or another jurisdiction (2) Involved a staff who reports through another Appointing Authority.

In a memo to the auditor, TCWTR stated “During the audit documentation period, Tri-Cities Work/Training Release did not receive any allegations about or from other facilities/jurisdictions.”

During an interview with the Appointing Authority, he understood his responsibility to notify another agency if there was an allegation received, and confirmed that there have not been any allegations reported that would require notification.

Subsection (d): TCWTR reported in the Pre-Audit Questionnaire that the agency reported that there have been no allegations received from another facility, during the reporting period.

In a memo to the auditor, TCWTR stated “during the audit documentation period, TCWTR did not receive any allegations from other facilities/jurisdictions.

Finding: The agency has a policy requiring that upon receiving an allegation that a resident was sexually abuse while confined at another facility, the head of the facility will notify the head of the facility where the sexual abuse was alleged to have occurred, within 72 hours. The facility did not have any allegations reported that would required this notification. Therefore no samples could be reviewed by the auditor. All allegations received would be processed through the PREA Triage and would be investigated.

The facility is in compliance with this standard.

Standard 115.264: Staff first responder duties

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

115.264 (a)

- Upon learning of an allegation that a resident was sexually abused, is the first security staff member to respond to the report required to: Separate the alleged victim and abuser? X Yes No
- Upon learning of an allegation that a resident 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? X Yes No
- Upon learning of an allegation that a resident 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? X Yes No
- Upon learning of an allegation that a resident 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? X Yes No

115.264 (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? X Yes No

Auditor Overall Compliance Determination

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

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy:
 - a. WADOC 420.365 *Evidence Management for Work Release* (5 pages)
 - b. WADOC 420.375 *Contraband and Evidence Handling Prisons Only* (8 pages)
 - c. WADOC 490.850 *Prison Rape Elimination Act (PREA) Response* (11 pages)
- 4) Tri-Cities Offender Compliant Log
- 5) Interviews with the following:
 - a. Random Staff
 - b. First responder

(by Subsection):

Subsection (a)(b): Tri-Cities Work/Training Release reported in the Pre-Audit Questionnaire that the agency does have a policy regarding the appropriate actions that should be taken by a first responder.

WADOC 490.850 *Prison Rape Elimination Act (PREA) Response* (page 11) is the *Aggravated Sexual Assault Checklist*. The checklist contains all of the elements of this provision to include:

- Ensure that that alleged victim, accused and witnesses have been separated.
- Request the alleged victim and accused not destroy physical evidence.
- Designate an officer to secure and maintain the scene.

In a memo to the auditor, TCWTR stated "WADOC requires all staff to immediately report any knowledge, suspicion, or information received regarding an allegation or incident of sexual misconduct directly and confidentially to the Duty Officer, or Appointing Authority, based on location. This individual will then deploy staff to respond to the allegation as indicated by incident circumstances.

All staff are trained in emergency response procedures to include isolation and containment of emergency situations. Any action beyond the initial containment of emergency incidents would be managed under the direction of the Duty Officer, or Appointing Authority.

If an offender reported an allegation of offender-on-offender sexual assault or abuse and/or sexual misconduct regardless of whether or not it was to a security staff member, the victim and suspect would be separated, and the scene secured. The need for medical assessments would be examined depending on the scope of the allegation and mental health staff would be notified and a referral made (for both the victim and the alleged perpetrator). A request would be made to the victim that they not do anything that could destroy evidence, evidence would be collected and secured and law enforcement would be notified."

This provision of the standard requires a first staff member to respond to the report shall be required to:

- Separate the alleged victim and abuser
- Preserve and protect any crime scene until appropriate steps can be taken to collect evidence
- Request that the alleged victim not take any action that could destroy evidence
- Ensure that the alleged abuser does not take any action that could destroy evidence.

The facility's *Aggravated Sexual Assault Checklist* states that the first responder will request that the victim and the perpetrator not to destroy physical evidence on their bodies. This is not in compliance with this standard. On January 25, 2019, the auditor received confirmation that the *Aggravated Sexual Assault Checklist* has been updated and all elements required have been updated and is now in compliance.

During interviews with random staff, all staff reported they would separate the victim and the perpetrator, secure the scene and notify the duty officer or the Appointing Authority.

During an interview with security staff who acts as a first responder, she stated that she would separate, protect and secure the crime scene and seek medical help if needed.

The auditor reviewed TCWTR's complaint log. There was one (1) allegation reported during the reporting period.

Finding: The agency has a first responder policy for allegations of sexual abuse. The agency policy requires that upon learning of an allegation that a resident was sexually abuse; the first security staff member to respond to the report is required to separate, and secure the scene. All staff members who were interviewed were knowledgeable regarding separating the residents and securing the scene.

Standard 115.265: Coordinated response

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

115.265 (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.

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy:
 - a. WADOC 490.850 *Prison Rape Elimination Act (PREA) Response* (11 pages)
- 4) Tri-Cities PREA Response Plan Table of Contents
- 5) Interviews with the following:
 - a. Community Corrections Supervisor

(by Subsection):

Subsection (a): Tri-Cities Work/Training Release reported in the Pre-Audit Questionnaire that the agency has developed a written instructional plan to coordinate actions taken in response to an incident of sexual abuse among staff first responders, medical and mental health practitioners, investigators and facility leadership.

WADOC 490.850 *Prison Rape Elimination Act (PREA) Response* (page 11) states each Prison, Work Release and Field Office will maintain a PREA Response Plan providing detailed instructions for responding to allegations of sexual misconduct.

In a memo to the auditor, TCWTR stated "the PREA Response Plan for the Tri-Cities Work/Training Release is maintained in a locked cabinet in the duty station."

During an interview with the Community Corrections Supervisor, she stated that there is a facility response plan in place.

The auditor reviewed the facility response plan. The response plan contains the *Aggravated Sexual Assault Checklist*, and directs the first responders step by step, who to call in the local community for medical, SANE/SAFE exams, evidence collection, if there was an emergency. The auditor inquired with the facility, regarding the locked cabinet and if all staff have keys to the cabinet. The facility has moved the response plan to an area that is accessible to all staff, should the need arise.

Finding: The facility has a written institutional response plan to coordinate actions taken in response to an incident of sexual abuse among first responders, medical and mental health, investigators and facility leadership. The response plan instructs the first responder who to call if such an incident were to occur at the facility.

The facility is in compliance with this standard.

Standard 115.266: Preservation of ability to protect residents from contact with abusers

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

115.266 (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 residents pending the outcome of an investigation or of a determination of whether and to what extent discipline is warranted? X
Yes No

115.266 (b)

- Auditor is not required to audit this provision.

Auditor Overall Compliance Determination

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

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Collective Bargaining Agreement (CBA) between the State of Washington and Washington Federation of State Employees dated July 1, 2017 to June 30, 2019
- 4) Collective Bargaining Agreement (CBA) between the State of Washington and Washington Federation of State Employees dated July 1, 2015 to June 30, 2017
- 5) Memo from former WADOC Secretary, to the Executive Leadership Regarding Interest only Arbitration

- 6) Interviews with the following:
a. Agency Head

(by Subsection):

Subsection (a): In a memo to the auditor TCWTR stated “WADOC functions under the interest only arbitration system as impasse procedures for negotiations over changes in mandatory subjects of bargaining. This process has no impact on the agency’s ability to remove an alleged staff abuser from contact with any offender during the course of an investigation or upon determination of whether, and to what extent, discipline is warranted.”

A memo from former WADOC Secretary explains that Interest Only Arbitration means if the Department and the Teamsters negotiate on a mandatory subject of bargaining to the point of impasse, the issues not resolved in bargaining may be presented to an independent arbitrator for final resolution.

CBA, effective July 1, 2017 through June 30, 2019 states “the employer has the authority to determine the method of conducting investigations”, “the employer has the authority to impose discipline, which is then subject to the grievance procedure” and “an employee placed on an alternate assignment during an investigation will be informed of the general reason.”

During an interview with the WADOC Secretary, he stated the CBA does not limit the ability to remove a staff member from contact with an offender during an investigation.

Finding: The CBA does not limit the agency’s ability to remove alleged staff sexual abusers from contact with any resident pending the investigation or of a determination of whether and to what extent discipline is warranted. This was confirmed during an interview with the WADOC Secretary.

The facility is in compliance with this standard.

Standard 115.267: Agency protection against retaliation

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

115.267 (a)

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

115.267 (b)

- Does the agency employ multiple protection measures, such as housing changes or transfers for resident victims or abusers, removal of alleged staff or resident abusers from contact with victims, and emotional support services for residents or staff who fear

retaliation for reporting sexual abuse or sexual harassment or for cooperating with investigations? X Yes No

115.267 (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 residents or staff who reported the sexual abuse to see if there are changes that may suggest possible retaliation by residents or staff? X 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 residents who were reported to have suffered sexual abuse to see if there are changes that may suggest possible retaliation by residents or staff? X 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? X 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 resident disciplinary reports? X 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 resident housing changes? X 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 resident program changes? X 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? X 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? X Yes No
- Does the agency continue such monitoring beyond 90 days if the initial monitoring indicates a continuing need? X Yes No

115.267 (d)

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

115.267 (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?
X Yes No

115.267 (f)

- Auditor is not required to audit this provision.

Auditor Overall Compliance Determination

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

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy:
 - a. WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigation* (14 pages)
- 4) Tri-Cities PREA case log
- 5) Sample PREA Monthly Retaliation Monitoring Report
- 6) Interviews with the following:
 - a. Community Corrections Supervisor

(by Subsection):

Subsection (a)(b)(c)(d)(e): WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigations* (page 6) states "Retaliation against anyone for opposing or reporting sexual misconduct or participating in an investigation of such misconduct is prohibited. Individuals may be subject to disciplinary actions if found to have engaged in retaliation, failed to report such activity, or failed to take immediate steps to prevent retaliation."

WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigations* (page 6) C. states “When an investigation of offender-on-offender sexual assault/abuse or staff sexual misconduct is initiated , the Appointing Authority/designee of the facility where the alleged victim is housed will monitor to assess indicators or reports of retaliation against alleged victims and reporters. If another Appointing Authority is assigned to investigate s/he or his/her designee will notify the applicable Appointing Authority to initiate monitoring.

1. Indicators of retaliation may include, but are not limited to:
 - a. Disciplinary Reports
 - b. Changes in grievance trends
 - c. Housing/program changes and reassignments, or
 - d. Negative performance reviews

And

4. Retaliation monitoring will continue for 90 days following notification, or longer if the Appointing Authority determines it is necessary.

In a memo to an auditor, TCWTR stated “any individuals who participate as a witness in a PREA investigation is provided DOC 03-484 Interview Acknowledge Form. This form informs the interviewees that “the department prohibits retaliation against any person because of his/her involvement in the reporting or investigation of a complaint. The Department will treat retaliation as a separate offense subject to investigation, administrative sanctions and prosecution. Any concerns of regarding retaliation are to be reported to the Appointing Authority.

When an allegation of offender-on-offender sexual assault or abuse or staff misconduct is reported and an investigation initiated, retaliation monitoring begins for the reported and the named victim.

During the audit reporting period, TCWTR stated they did not conduct retaliation monitoring for other facilities. However the facility did have one (1) allegation of sexual abuse during the reporting period. The auditor reviewed and confirmed the monitoring plan for the victim in that case.

During an interview with the Secretary of Corrections, he stated that WADOC takes all offenders safety seriously. If it was learned that an offender was subject to substantial risk, immediate action would be taken, including moving the offender to another facility during an investigation, if necessary. Offender would be monitored for ninety (90) days, to include monitoring for retaliation.

Finding: The agency has established a policy to protect all residents and staff who report an allegation or cooperate in the investigation. All witnesses are provided an *Interview Acknowledgment Form* which informs the interviewee that retaliation is prohibited and encourages the individual to report such behaviors. The WADOC Secretary confirmed that the agency can take measures such as housing changes or transfers to another facility, if the need should arise.

The facility is in compliance with this standard.

INVESTIGATIONS

Standard 115.271: Criminal and administrative agency investigations

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

115.271 (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 115.221(a).] X 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 115.221(a).] X Yes No NA

115.271 (b)

- Where sexual abuse is alleged, does the agency use investigators who have received specialized training in sexual abuse investigations as required by 115.234? X Yes No

115.271 (c)

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

115.271 (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? X Yes No

115.271 (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 resident or staff? X Yes No
- Does the agency investigate allegations of sexual abuse without requiring a resident who alleges sexual abuse to submit to a polygraph examination or other truth-telling device as a condition for proceeding? X Yes No

115.271 (f)

- Do administrative investigations include an effort to determine whether staff actions or failures to act contributed to the abuse? X 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? X Yes No

115.271 (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? X Yes No

115.271 (h)

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

115.271 (i)

- Does the agency retain all written reports referenced in 115.271(f) and (g) for as long as the alleged abuser is incarcerated or employed by the agency, plus five years? X Yes No

115.271 (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? X Yes No

115.271 (k)

- Auditor is not required to audit this provision.

115.271 (I)

- 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 115.221(a).] X Yes No NA

Auditor Overall Compliance Determination

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

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy:
 - a. WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigation* (14 pages)
 - b. WADOC 420.365 *Evidence Management for Work Release* (5 pages)
 - c. WADOC 420.375 *Contraband and Evidence Handling* (8 pages)
 - d. WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (17 pages)
 - e. WADOC 400.360 *Polygraph Testing of Offenders* (7 pages)
- 4) Tri-Cities PREA case log for reporting period
- 5) List of all Trained PREA Investigators
- 6) List of all case Datasheets showing the assigned Investigator
- 7) Training Records of Investigators
- 8) Investigator Curriculum
- 9) Mutual Aid Agreement with Washington State Patrol
- 10) Screen Shots of WADOC Public Website
- 11) Appointing Authority Training Curriculum
- 12) Tri-Cities Local Review Committee Log
- 13) State Record Retention Schedule

14) Interviews with the following:

- a. Investigator
- c. Appointing Authority
- d. PREA Coordinator

(by Subsection):

Subsection (a): Tri-Cities Work/Training Release reported in the Pre-Audit Questionnaire that it has a policy related to criminal and administrative agency investigations, substantiated allegations that appear to be criminal are referred for prosecution and the agency will retain all written reports pertaining to the investigation for as long as the alleged abuser is incarcerated or employed by the agency, plus 5 years.

WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigation* (page 2) states “The department will thoroughly, promptly, and objectively investigate all allegations of sexual misconduct involving offenders under the jurisdiction or authority of the department.”

In a memo to the auditor, TCWTR stated “Agency policy requires that “investigations will be completed even if the offender is no longer under Department jurisdiction or authority and/or the accused staff is no longer employed by or providing services to the Department”

The facility reported one (1) allegation was received. An investigation into the matter was completed promptly, thoroughly and objectively.

Subsection (b)(c)(d): WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (page 11) states “PREA investigators will be trained in: 1) Crime Scene management/investigations, including evidence collection in Prisons and Work Releases 2) Confidentiality of all investigation information 3) Miranda and Garrity warnings, compelled interviews, and the law enforcement referral process 4) Crisis intervention 5) Investigating Sexual Misconduct 6) techniques for interview sexual misconduct victims and 7) Criteria and evidence required to substantiate administrative action or prosecution referral.”

In a memo to the auditor, TCWTR stated “when sexual abuse is alleged, only those staff members that have completed specially designed investigator training are assigned to investigate. If an investigation is under the responsibility of an Appointing Authority other than the facility Superintendent or is an investigation of a sensitive nature, the investigation may be assigned to a trained investigator outside the facility.

Investigators within the WADOC are trained to complete reports detailing all facts available regarding a PREA Allegation. In order to ensure neutrality and consistency in sanction application, the investigator remains separate from the finding process. The finding process employed is as followed:

- The assigned investigator submits the investigation report to the Appointing Authority to review for completeness.
- Once the investigation is determined to be complete, the Appointing Authority reviews evidence, witness testimony, and prior complaints and reports of sexual misconduct.

- The Appointing Authority determines if the allegations are substantiated, unsubstantiated, or unfounded based upon a preponderance of the evidence.

Appointing Authorities are required to complete PREA training specific to their role. They are also required to complete the same training provided to all PREA Investigators, to ensure a thorough working knowledge of the investigation process.

During an interview with an investigator and the Appointing Authority, the auditor confirmed the process for investigations.

The facility reported one (1) investigator within the facility. The auditor reviewed and confirmed that the investigator did receive the specialized training as well as annual PREA Training. The facility reported one (1) allegation. The auditor reviewed the investigation and confirmed that the investigator had received specialized training and annual PREA training.

The auditor reviewed the Appointing Authority training transcript and determined he received specialized training, training required for Appointing Authorities and annual PREA training.

Subsection: (e)(f)(g)(h): In a memo to the auditor TCWTR stated “all PREA allegations that appear to be criminal in nature are referred to local law enforcement or the Washington State Patrol for investigation. Referrals are documented utilizing DOC Form 03-505 *Law Enforcement Referral of PREA Allegation*. WADOC will only conduct compelled interviews after the local law enforcement or the Washington State Patrol have completed their investigation or decline to investigate.

WADOC does not have statutory authority to conduct criminal investigations as no staff members are authorized for law enforcement certification. As a result, WADOC conducts only administrative investigations. Criminal allegations are referred to law enforcement officials as follows:

- Referral to city law enforcement if the facility is within city limits
- Referral to county law enforcement officials if
 - The facility is not within the city limits or
 - City law enforcement has declined the referral for the facility within the city limits and the facility wishes to pursue the matter further

In a memo to the auditor, TCWTR stated “Investigators within the WADOC are trained to complete reports detailing all the facts available regarding a PREA allegation. In order to ensure neutrality and consistency in sanction application, the investigator remains separate for the finding process. Once the investigation is determined to be complete, the Appointing Authority reviews evidence, witness testimony and prior complaints and reports of sexual misconduct. The Appointing Authority also assesses the credibility of all witnesses involved in the investigation and detail justification for findings on the finding sheet included with each investigation report.

During the investigation review process, Appointing Authorities informally review standard elements. If the investigation involved an allegation of offender sexual assault or abuse or staff sexual misconduct and results in a substantiated or unsubstantiated finding, a formal review process is implemented, formally documenting the review of these elements. Once the review is

complete, the decisions of the review committee are documented on WADOC form 02-383, Local PREA Investigation Review Checklist.

All law enforcement agencies are required to provide the Appointing Authority of the requesting facility with a copy of the investigation report once any criminal investigation has been completed. The WADOC PREA investigation process is posted on the agency's public website."

TCWTR reported during the reporting period one (1) allegation was received and referred to law enforcement. The auditor reviewed the referral made to law enforcement and documentation that a criminal case would not go forward. The auditor also reviewed why the determination was made not to move forward and the reasoning will not be added to this report.

During an interview with an investigator, she confirmed that if a resident has left the facility while an investigation is pending, she must continue the investigation until completed.

The auditor reviewed the agency website and confirmed the process, for referrals to law enforcement. The website states "All sexual abuse cases will be referred for investigation by a Washington State certified law enforcement officer as defined in WAC 139-05-210 and RCW 9.46.210. Law enforcement agencies will document their findings in a written report that contains a thorough description of physical, testimonial and documentary evidence and attach copies of all documentary evidence where feasible. Law enforcement agencies will refer all applicable investigations to the Prosecutor's Office for review."

Subsection: (i)(j)(k)(l): WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigation* (page 2) states "Investigations will be completed even if the offender is no longer under the Department jurisdiction or authority and/or the accused staff, if any, is no longer employed by or providing services to the Department."

The only state entity that would conduct criminal investigation is the Washington State Patrol. Referral to the State Patrol will occur only after the investigation has been declined by local law enforcement. No Department of Justice component conducts investigations within the WADOC.

TCWTR reports that WADOC has the following record retention system as follows:

- A designee of the applicable Appointing Authority maintains all hard copy investigation reports for a period of five years.
- The agency PREA Unit maintains electronic versions of all investigative reports. These are maintained on a secure server and are organized according to the year the investigation was closed.
- The electronic records are maintained for period of fifty (50) years according to state record archive requirements.
- At the end of the retention period, all electronic records will be reviewed for employment and incarceration status prior to destruction.

Finding: The Agency has a policy related to administrative investigations. All administrative investigations are completed promptly, thoroughly and objectively. Reports received by third party or anonymous are treated the same as any other allegation. This was confirmed through an interview with an investigator. Investigators are required to attend specialized training as defined

in standard 115.34. Investigators gather evidence, interview alleged victim, perpetrators and witnesses and prepare a report that documents a description of evidence and testimony of witnesses. If the evidence supports a criminal investigation, the Appointing Authority is required to call law enforcement; this is required not only by policy but the Washington State Law. The Appointing Authority completes a specialized training. The Appointing Authority assesses the credibility of the witnesses. Alleged victims are not subjected to a polygraph exam. The investigation will continue regardless if the victim has discharged from the facility. The auditor confirmed the practice within the facility of calling law enforcement, if there is a criminal nexus to the case.

The facility is in compliance with this standard.

Standard 115.272: Evidentiary standard for administrative investigations

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

115.272 (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? X Yes No

Auditor Overall Compliance Determination

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

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy:
 - a. WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigation* (14 pages)
- 4) RCW 72.09.225 Sexual Misconduct by State Employees, Contractor

- 5) Appointing Authority Curriculum
- 6) Tri-Cities PREA case log for reporting period
- 7) Interviews with the following:
 - a. Appointing Authority

(by Subsection):

Subsection (a): Tri-Cities Work/Training Release reported in the Pre-Audit Questionnaire that the agency imposes a standard of a preponderance of evidence or a lower standard of proof when determining whether allegations of sexual abuse or sexual harassment are substantiated.

WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigation* (page 4) states “For each allegation in the report the Appointing Authority will determine whether the allegation is: (1) substantiated: the allegation was determined to have occurred by a preponderance of the evidence.”

In a memo to the auditor TCWTR stated “investigators within WADOC are trained to complete reports detailing all facts available regarding a PREA allegation. In order to ensure neutrality and consistency in sanction application, the investigator remains separate from the finding process. The finding process is as follows:

- The assigned investigator submits the investigation report to the Appointing Authority to review for completeness
- Once the investigation is determined to be complete, the Appointing Authority reviews evidence, witness testimony and prior complaints and reports of sexual misconduct. The Appointing Authority also assesses the credibility of all witnesses involved in the investigation.
- The Appointing Authority determines if the allegations are substantiated, unsubstantiated or unfounded based on a preponderance of the evidence.

Appointing Authorities are required to complete training specific to their role as a decision maker in these investigations. They are also required to complete investigator training, the same training provided to all PREA investigators, to ensure a thorough working knowledge of the investigation process.”

During an interview with the Appointing Authority, he stated that a preponderance of evidence is the standard utilized.

The auditor reviewed the training transcript for the Appointing Authority, which indicates that he has attended the specialized investigator training and the training for Appointing Authorities. The training curriculum was reviewed and it states “No standard higher than preponderance of evidence is to be used in determining whether allegations are substantiated.”

Finding: The agency imposes a standard no higher than a preponderance of evidence to determine whether allegations are substantiated. The Appointing Authority is required to attend special training, that the curriculum teaches no higher standard than a preponderance of evidence. A review of an investigation indicated the findings are based on a preponderance of evidence.

The facility is in compliance with this provision of the standard.

Standard 115.273: Reporting to residents

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

115.273 (a)

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

115.273 (b)

- If the agency did not conduct the investigation into a resident'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 resident? (N/A if the agency/facility is responsible for conducting administrative and criminal investigations.) X Yes No NA

115.273 (c)

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

115.273 (d)

- Following a resident's allegation that he or she has been sexually abused by another resident, 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 a resident's allegation that he or she has been sexually abused by another resident, 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

115.273 (e)

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

115.273 (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.

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy:
 - a. WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigation* (14 pages)
- 4) Tri-Cities Operational Memorandum 490.860
- 5) Interviews with the following:
 - a. Appointing Authority
 - b. Investigative Staff

(by Subsection):

Subsection (a): Tri-Cities Work/Training Release reported in the Pre-Audit Questionnaire that the agency has a policy requiring that any resident who makes an allegation that he or she suffered sexual abuse in an agency facility is informed of the outcome.

WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigation* (page 3) states “The Appointing Authority/designee of the facility where the offender is housed will inform the offender of the findings in person, in confidential manner.”

In a memo to the auditor, TCWTR stated “WADOC policy requires that the named offender victim is notified in person, in a confidential manner, or in writing if the offender has released. How the offender was notified and by whom is recorded on the DOC 02-378 *Investigation Finding Sheet*.”

During an interview with the Appointing Authority, he confirmed that the resident would be notified of the outcome of the case. A letter would be sent to the resident if no longer in the DOC custody.

During the documentation period the facility reported one (1) investigation that had been closed. The auditor reviewed the investigation, the facility had documented on the DOC 02-378 *Investigation Finding Sheet*, that the alleged victim was notified via mail due to the resident was no longer at the facility. The letter stated “if you wish to receive specific information regarding the findings in this case please contact me via the address or phone number listed below.’

Subsection (b): WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigation* (page 3) states “All allegations that appear to be criminal in nature will be referred to law enforcement for investigation....”

In a memo to the auditor, TCWTR stated “criminal investigations are conducted by law enforcement officials at either the city or county level, depending on the location of the facility. Additionally, the Washington State Patrol can be contacted to conduct or assist with a criminal investigation. Any criminal investigation conducted by a law enforcement entity is forwarded to the Appointing Authority responsible for the investigation. The Appointing Authority will also ensure an administrative investigation is completed, The Appointing Authority will then determine investigation findings based on evidence, witness, testimony, prior complaints and reports, and witness credibility. These findings are documented on the investigative finding sheet along with documentation of notification to the victim offender.”

TCWTR reported one (1) referral was made to law enforcement during the reporting period. The auditor did review and confirmed, a referral was made to law enforcement. The Appointing Authority was aware of his responsibility to inform the victim of the outcome of the investigation.

Subsection (c)(d)(e)(f): WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigation* page 11 states “Ongoing Notifications to alleged Victims (A) the department will make the following notifications, in writing, to alleged victims until they are no longer under Department jurisdiction:

- Offender on Offender Allegations of Sexual Assault or Abuse

- The alleged victim will be notified if the Department learns that the accused has been indicted on or convicted of a charge related to sexual assault or abuse with the facility.
- The PREA Coordinator/designee will track all cases and make required notifications.
- Substantiated/Unsubstantiated Allegations of Staff Sexual Misconduct against employees
 - The alleged victim will be notified:
 - When the accused employee is no longer regularly assigned to the offender's housing unit
 - When the accused employee no longer works at the same facility as the offender and
 - If the Department learns that the accused employee has been indicted on or convicted of any charge related to staff sexual misconduct within the facility.

In a memo to the auditor TCWTR stated “all post investigation notifications are tracked and the entry moved to an inactive portion of the tracking document if the offender is released, the offender is deceased; the staff member is no longer employed by the agency, etc.”

During an interview with the Appointing Authority, he stated that he is aware of his responsibility to inform the resident if the above events were to occur.

There was one (1) investigation that was closed during the documentation period. At the conclusion of the investigation the victim had been release from the DOC custody, however the auditor did confirm that a letter was sent to the victim.

Findings: The agency has a policy requiring that any resident who makes an allegation that he/she suffered sexual abuse in an agency facility is notified verbally or in writing of the outcome of the investigation. The facility had one (1) reported allegation of sexual abuse. The facility did complete a referral to law enforcement. The investigation did not involve a staff member. At the conclusion of the investigation, the victim was notified even though the facilities obligation for compliance with this standard ended when the victim was released from DOC custody.

The facility is in compliance with this standard.

DISCIPLINE

Standard 115.276: Disciplinary sanctions for staff

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

115.276 (a)

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

115.276 (b)

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

115.276 (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

115.276 (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.

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy:
 - a. WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigation* (14 pages)

- b. WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (17) pages
- c. WADOC 450.050 *Prohibited Contact* (5 pages)
- 4) RCW 72.09.225 State Law regarding Custodial Sexual Misconduct
- 5) WAC 357.40.010 regarding Disciplinary Actions Appointing Authority may take for just cause
- 6) Memorandum from WADOC Secretary regarding WADOC Disciplinary Processes and presumptive discipline
- 7) CBA Excerpt (Federation of State Employees)
- 8) Tri-Cities PREA case log for reporting period
- 9) Tri-Cities Offender Compliant log
- 10) Interview with the WADOC Secretary

Findings (by Subsection):

Subsection (a)(b)(c)(d): Tri-Cities Work/Training Release reported in the Pre-Audit Questionnaire that staff is subject to disciplinary sanctions up to and including termination for violating the agency sexual abuse or sexual harassment policies.

WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (page 2) states “The department has zero tolerance for all forms of sexual misconduct. The department will impose disciplinary sanctions for such conduct, up to and including dismissal for staff. Incidents of sexual misconduct will be referred for criminal prosecution when appropriate”

WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigations* (page 8) states “Employees may be subject to disciplinary action, up to and including termination, for violating Department PREA policies.”

WAC 357-40-010 states “An Appointing Authority may dismiss, suspend without pay, demote, or reduce the base salary of a permanent employee under his/her jurisdiction for just cause.”

A memo from WADOC Secretary to the Auditor states “Agency Human Resource policies do not specify termination as a presumption discipline in instances of sexual abuse. However RCW 72.09.225 “Sexual Misconduct by state employees, contractors” states in relevant part: “The Secretary shall immediately institute proceedings to terminate the employment of any person: (a) who is found by the department, based on preponderance of evidence, to have had sexual intercourse or sexual contact with the resident; or (b) Upon a guilty plea or conviction for any crime specified in Chapter 9A.44 RCW when the victim was an resident.”

During the documentation period there were no substantiated investigations that required notification to a licensing body and no allegations that involved staff had been referred to law enforcement.

In a memo to the auditor, TCWTR stated “during the audit documentation period, there have been no substantiated investigations involving the agency employees. However, had a substantiated

investigation occurred, the Appointing Authority would have followed agency policies and disciplinary sanctions, up to and including dismissal would be imposed.”

The auditor confirmed that termination is the presumptive disciplinary sanction for staff who engages in sexual abuse, through an interview with the WADOC Secretary and the agency policies.

Findings: WADOC policy notifies employees that they can be disciplined up to an including termination for violating the agency’s sexual abuse or sexual harassment policy. During the reporting period the facility did not have any allegations involving a staff member.

The facility is in compliance with this standard.

Standard 115.277: Corrective action for contractors and volunteers

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

115.277 (a)

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

115.277 (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 residents? X Yes No

Auditor Overall Compliance Determination

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

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy:
 - a. WADOC 450.050 *Prohibited Contact* (5 pages)
 - b. WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigation* (14 pages)
- 4) RCW 72.09.225 Sexual Misconduct by State Employees, Contractors
- 5) Memorandum from Robert Herzog, Acting Assistant Secretary Prisons Division, dated May 4, 2017 Regarding Termination of Volunteers with Applicable Criminal Backgrounds
- 6) Interviews with the following:
 - a. Community Corrections Supervisor

(by Subsection):

Subsection (a)(b): Tri-Cities Work/Training Release reported in the Pre-Audit Questionnaire that agency policy requires that any contractor or volunteer who engages in sexual abuse be reported to law enforcement agencies (unless the activity was clearly not criminal) and to relevant licensing bodies.

WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (page 2) states "The department has zero tolerance for all forms of sexual misconduct. The department will impose disciplinary sanctions for such conduct, up to and including dismissal for staff. Incidents of sexual misconduct will be referred for criminal prosecution when appropriate"

WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigations* (page 8) states "Contract staff and volunteers who are found to have committed staff sexual misconduct will be terminated from service and prohibited from contact with offenders. For any violation of Department PREA policies, appropriate action will be taken (1) for contract staff terminations." and

"When a substantiated allegation is criminal in nature, the Appointing Authority/Designee will notify: 1) law enforcement, unless such referral was made previously during the course of the investigation and 2) relevant licensing bodies."

A memo from WADOC Secretary to the Auditor states "Agency Human Resource policies do not specify termination as a presumption discipline in instances of sexual abuse. However RCW 72.09.225 "Sexual Misconduct by state employees, contractors" states in relevant part: "The Secretary shall immediately institute proceedings to terminate the employment of any person: (a) who is found by the department, based on preponderance of evidence, to have had sexual intercourse or sexual contact with the resident; or (b) Upon a guilty plea or conviction for any crime specified in Chapter 9A.44 RCW when the victim was an resident."

In a memo to the auditor, TCWTR stated “during the audit documentation period, there have been no substantiated investigations involving contractors or volunteers. However, had a substantiated investigation occurred, the Appointing Authority would have followed agency policies and facility access would have been restricted and programming participation terminated.”

During the documentation period, there were no substantiated investigations involving a contractor or volunteer that necessitated referral to a licensing body or referred to law enforcement for a criminal investigation.

During an interview with the Appointing Authority, he stated that if an incident was to occur the contract staff or volunteer would not be allowed to return to the facility.

The auditor reviewed the facility complaint log and confirmed there were no substantiated cases, against a contractor or a volunteer.

Findings: Agency policy requires that any contractor or volunteer who engages in sexual abuse be reported to law enforcement agencies and all relevant licensing bodies. The facility has had no substantiated investigations involving a contractor or volunteer during the reporting period. The Appointing Authority confirmed that if this was to occur, the contractor or volunteer would not be allowed to return to the facility.

The facility is in compliance with this standard.

Standard 115.278: Interventions and disciplinary sanctions for residents

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

115.278 (a)

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

115.278 (b)

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

115.278 (c)

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

115.278 (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 resident to participate in such interventions as a condition of access to programming and other benefits? X Yes No

115.278 (e)

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

115.278 (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? X Yes No

115.278 (g)

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

Auditor Overall Compliance Determination

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

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy:

- a. WADOC 460.000 *Disciplinary Process for Prisons* (15 pages)
 - b. WADOC 460.050 *Disciplinary Sanctions* (6 pages)
 - c. WADOC 460.135 *Disciplinary Procedures for Work Release* (10 pages)
 - d. WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (17 pages)
 - e. WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigation* (14 pages)
- 4) WAC 137.28 Prison Discipline Process
 - 5) WAC 137.28-3100 Decision of Hearing Officer Process
 - 6) WAC 137-28-360 Sanctions and Mental Status
 - 7) WAC 137-25-020 Disciplinary Decisions
 - 8) Tri-Cities PREA cases log for reporting period
 - 9) Interviews with the following:
 - a. Appointing Authority

(by Subsection):

Subsection (a)(b)(c)(d)(e)(f)(g): TCWTR stated in the Pre-Audit Questionnaire residents are subject to disciplinary sanctions only pursuant to a formal disciplinary process following an administrative finding the resident engaged in resident-on-resident sexual abuse.

WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigation* (page 9) states “offenders may be subject to disciplinary action per DOC 460.050 *Disciplinary Sanctions* or DOC 460.135 *Disciplinary Procedures for Work Release* for violating Department PREA policies. For substantiated allegations against an offender, an infraction must be written against the perpetrator for the applicable violation listed:

- 635- Committing a Sexual Assault against another Offender
- 637- Committing Sexual Abuse against another Offender
- 659- Committing Sexual Harassment against another Offender”

WADOC 460.050 *Disciplinary Sanctions* (page 2) states “The offender’s disciplinary record, prior conduct, mental status, overall facility adjustment and employee/contract staff recommendations may be considered.”

WADOC 460.135 *Disciplinary Procedures for Work Release* (page 9) states “An offender who is found guilty of a 611, 613, 635, 637 violation may be sanctioned to a multidisciplinary FRMT review for consideration of available interventions (e.g., Mental Health therapy, Sex Offender Treatment Program, Anger Management). The offender’s disciplinary record, prior conduct, mental status, overall facility adjustment and employee/contract staff recommendations may be considered.”

WAC 137.28.360 *Sanctions and Mental Status* states “In determining an appropriate sanction, the hearing officer should consider the resident’s mental health and his/her intellectual, emotion and maturity levels and what effect a particular sanction might have on the resident in light of such factors. The hearing officer may request the assistance of other department staff, including mental health staff, in determining appropriate sanctions.”

In a memo to the auditor, TCWTR stated “during the audit documentation period there have been no substantiated investigations involving offenders. However, if a substantiated investigation were to occur, the perpetrator would be subject to formal disciplinary process and referral for criminal investigation, if applicable. The mental health status or disabilities would be taken into consideration.

WADOC policy allows for offenders found guilty of infractions:

- 635- Committing a Sexual Assault against another Offender
- 637- Committing Sexual Abuse against another Offender
- 659- Committing Sexual Harassment against another Offender

Violations may be sanctioned to a Multi-Disciplinary Facility Risk Management Team for consideration of available interventions (e.g., mental health therapy, sex offender treatment program or anger management).

WADOC policy prohibits offenders from being disciplined for a report made in good faith, indicating that this does not constitute providing false information, even if the investigation does not establish sufficient evidence to substantiate an allegation.

WADOC policy defines PREA-related prohibited behaviors. Consensual sexual activity between offenders is not included in the definitions. Such activity is prohibited by regulation, but is not considered PREA related unless there is a determination that coercion has occurred in which case the allegation would be investigated as offender-on-offender sexual assault.

During the documentation period none of the above sanctions were imposed on an offender.”

The auditor confirmed with the Appointing Authority, that a resident can receive disciplinary sanction after there is an administrative finding that the resident engaged in sexual abuse. It was confirmed that during the reporting period there had not been any residents disciplined for engaging in sexual abuse. As the facility prepared for this audit, there was an allegation under investigation, however there was not a finding. The perpetrator had been released from state custody and therefore could not be disciplined.

Findings: The residents are subject to disciplinary sanctions after a formal disciplinary process following an administrative or criminal finding that the resident engaged in resident-on-resident sexual abuse. During the documentation period there were no residents that disciplined for engaging in the relevant behaviors. WADOC policies require that a resident’s mental health be considered and the sanctions imposed would be comparable by other residents with similar histories. The facility has no medical or mental health staff, however the perpetrator would be referred for counseling or any other services within the community.

The facility is in compliance with this standard.

MEDICAL AND MENTAL CARE

Standard 115.282: Access to emergency medical and mental health services

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

115.282 (a)

- Do resident 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

115.282 (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 § 115.262? Yes No
- Do security staff first responders immediately notify the appropriate medical and mental health practitioners? Yes No

115.282 (c)

- Are resident 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

115.282 (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.

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy:
 - a. WADOC 490.850 *Prison Rape Elimination Act (PREA) Response* (11 pages)
 - b. WADOC 600.000 *Health Services Management* (10 pages)
 - c. WADOC 600.025 *Health Care Co-Payment Program* (3 pages)
 - d. WADOC 610.300 *Health Services for Work Release Offenders* (8 pages)
- 4) Interviews with the following:
 - a. First Responders

Findings (by Subsection):

Subsection (a)(b)(c)(d): TCWTR reported in the Pre-Audit Questionnaire resident victims of sexual abuse shall receive timely, unimpeded access to emergency medical treatment and crisis intervention services.

WADOC 490.850 *Prison Rape Elimination Act (PREA) Response* (6 page) states "Victims in all cases of reported sexual misconduct, regardless of who the misconduct is reported to, will receive immediate medical and mental health services per DOC 610.025 *Health Services Management of Offender in Cases of Alleged Sexual Assault.*" and "All medical and mental health services for victims of sexual misconduct will be provided at no cost to the offender"

The Statewide Offender Handbook states "Victims will receive immediate emergency and ongoing medical, mental health and support services as needed" and "Offenders will not be charged for any immediate or ongoing medical and mental health care related to a PREA allegation.

WADOC 610.300 *Health Services for Work Release Offenders* (pages 2, 4), states Offenders who are on Work Release status will have unimpeded access to health care. In the case of sexual misconduct, the Appointing Authority will authorize payment and coverage of medically necessary treatment and any identified mental health treatment."

In a memo to the auditor, TCWTR stated "If an offender in a work release facility alleges aggravated sexual assault, he/she is transported to the designated community health care facility. Offenders are provided with information regarding emergency contraceptives and sexually transmitted infection prophylaxis. As no health care personnel work within these facilities, the offender would then be referred to community health care resources for follow up care as needed."

During the site review there no residents that reported an allegation of sexual abuse, therefore no interview was conducted. The auditor confirmed the facility has no medical or mental health services available. Residents are referred to agencies within the community.

During the audit documentation period there have been no allegations reported at TCWTR that indicated the need for a forensic medical examination. If there was a need, the resident would be taken to the local hospital.

Findings: If an incident were to occur at the facility, immediate actions would be taken to protect the victim and the facility would call 911. The victim would receive immediate medical treatment. The facility has victim advocates available to provide crisis intervention services. All residents are responsible for medical care expenses, however if a sexual assault were to occur the WADOC would cover the costs of medical attention that the resident were to receive.

The facility is in compliance with this standard.

Standard 115.283: 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

115.283 (a)

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

115.283 (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? X Yes No

115.283 (c)

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

115.283 (d)

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

115.283 (e)

- If pregnancy results from the conduct described in paragraph § 115.283(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.) X Yes No NA

115.283 (f)

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

115.283 (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? X Yes No

115.283 (h)

- Does the facility attempt to conduct a mental health evaluation of all known resident-on-resident abusers within 60 days of learning of such abuse history and offer treatment when deemed appropriate by mental health practitioners? X Yes No

Auditor Overall Compliance Determination

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

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy:
 - a. WADOC 490.850 *Prison Rape Elimination Act (PREA) Response* (11 pages)
 - b. WADOC 600.000 *Health Services Management* (10 pages)
 - c. WADOC 600.025 *Health Care Co-Payment Program* (8 pages)
 - d. WADOC 610.040 *Health Screenings and Assessments* (9 pages)
 - e. WADOC 610.300 *Health Services for Work Release Offenders* (8 pages)
 - f. WADOC 610.025 *Health Services of Offenders in cases of Alleged Sexual Misconduct* (8 pages)

- g. WADOC 630.500 *Mental Health Services* (12 pages)
- 4) Planned Parenthood Brochure
- 5) Tri-Cities PREA Case log for reporting period
- 6) Interviews with the following:
 - a. Resident who reported

Findings (by Subsection):

Subsection (a)(b)(c)(f)(g): WADOC 490.850 *Prison Rape Elimination Act (PREA) Response* (page 10) states “Offenders housed in facilities with onsite health services will received timely access to medical and mental health services per DOC 610.025 *Health Services of Offenders in Cases of Alleged Sexual Misconduct*.”

WADOC 610.025 *Health Services of Offenders in Cases of Alleged Sexual Misconduct* (page 3) states “When an offender reports that he has been a victim of sexual misconduct, he will be offered medical and mental health treatment services...”

WADOC 600.000 *Health Services Management* (page 2) states “Medical and Mental health services allowed under the Offender Health Plan related to sexual misconduct as defined in DOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* will be provided at no cost to the offender”

WADOC 610.300 *Health Services for Work Release Offenders* (pages 2, 4), states Offenders who are on Work Release status will have unimpeded access to health care. In the case of sexual misconduct, the Appointing Authority will authorize payment and coverage of medically necessary treatment and any identified mental health treatment.”

WADOC 630.500 *Mental Health Services* (page 6), states “A mental health provider will assess the need for mental health services in cases where re the offender reports sexual abuse or has been identified as a victim or perpetrator of sexual abuse and is requesting mental health services.

The Statewide Offender Handbook states “Victims will receive immediate emergency and ongoing medical, mental health and support services as needed” and “Offenders will not be charged for any immediate or ongoing medical and mental health care related to a PREA allegation.

In a memo to the auditor, TCWTR stated “If an offender in a work release alleges sexual misconduct, he/she is referred to community health care resources for follow up care as needed. No health service staff is maintained within the facility.”

The agency prohibits the charging of offenders for co pays for any medical and/or mental health care services allowed under the Offender Health Plan related to sexual misconduct as defined in DOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Response*.

During an interview with a resident who reported, it was stated that there was no need for medical tests and stated that he was given information for mental health, but he has not had time to make an appointment with them.

During the site review, the auditor confirmed that there is no on-site medical or mental health. If a sexual assault were to occur at the facility, the facility staff would call 911 and the resident would be taken to hospital within the community.

The facility had one substantiated allegation of sexual abuse. The victim was given information regarding services within the community. However the facility reported that it was not documented. The auditor did interview one (1) resident who had reported an incident and he stated that he was given numbers to call; however he chose not to do so at the time.

Subsection (d)(e): WADOC 610.025 *Mental Health Services Management of Offenders in cases of Alleged Sexual Misconduct* (page 6) states “Mental Health professionals will attempt to conduct a mental health evaluation within 60 days of receiving the information for all offenders who have been identified as the perpetrator in substantiated allegations of sexual assault and/or sexual abuse, both within the Department and from other jurisdictions unless one has already been conducted for the specific allegation.”

In a memo to the auditor, TCWTR stated “at Tri-Cities Work/Training Release, all female victims of sexually abusive vaginal penetration will be referred for a SANE at Kadlec in Richland, WA. They will be offered support and be accompanied by a sexual assault advocate from Support, Advocacy, and Resource Center (SARC) during this medical procedure. The medical exam will include STD and pregnancy testing along with if requested, the “morning after” pill and prophylaxis.”

Subsection (h): In a memo to the auditor, TCWTR stated “during the documentation period there have not been any investigations for substantiated allegations of offender-on-offender sexual assault and/or sexual abuse. If the agency learned of substantiated allegations of assault or abuse committed by an offender in another jurisdiction, the offender would also be referred for a mental health evaluation as soon as the information is obtained. The offender’s PREA Risk Assessment would also be reviewed to ensure the newly learned information was added and housing assignments reviewed accordingly. During the audit documentation period, Tri-Cities Work/Training Release did not receive any substantiation information for other jurisdictions regarding offenders.

The facility does not have mental health services on site. Information is given to the residents to obtain services within the community.

Findings: The facility will refer a resident to medical or mental health agencies within the community, for treatment if sexual abuse were to occur in the facility. All costs associated to a sexual assault would be covered by the WADOC. Residents would be offered pregnancy tests and offered comprehensive information about timely access to pregnancy related medical services.

The facility is in compliance with this standard.

DATA COLLECTION AND REVIEW

Standard 115.286: Sexual abuse incident reviews

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

115.286 (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? X Yes No

115.286 (b)

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

115.286 (c)

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

115.286 (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? X 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? X 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? X Yes No
- Does the review team: Assess the adequacy of staffing levels in that area during different shifts? X Yes No
- Does the review team: Assess whether monitoring technology should be deployed or augmented to supplement supervision by staff? X Yes No
- Does the review team: Prepare a report of its findings, including but not necessarily limited to determinations made pursuant to §§ 115.286(d)(1) - (d)(5), and any recommendations for improvement and submit such report to the facility head and PREA compliance manager? X Yes No

115.286 (e)

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

Auditor Overall Compliance Determination

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

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy:
 - a. WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigation* (14 pages)
- 4) Local Review Committee Action Plan Log
- 5) Local Review Committee Review of Case 17-16374 and 17-17088
- 6) Interviews with the following:
 - a. Appointing Authority

(by Subsection):

Subsection (a)(b)(c)(d)(e): WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigation* (page 8) states "for each substantiated or unsubstantiated finding of offender-on-offender sexual abuse and staff misconduct, the Appointing Authority/designee will convene a local PREA Review Committee to examine the case." and "the committee will meet every 30 days, or as needed"

"The committee will be multidisciplinary and include facility management, with input for supervisors, investigator and/or medical/mental health practitioners."

In a memo to the auditor, TCWTR stated "the Local Review Committee is scheduled by the Statewide Work Release Programs Administrator as needed in response to completed

investigations, within 30 days of findings made by the Appointing Authority. The committee is generally made up of the following individuals:

- Appointing Authority, Statewide Work Release Programs Administrator
- Work Release Oversight and Compliance Administrator
- Local Investigators
- Work Release Community Corrections Supervisors
- Community Corrections Specialist

Elements required by the standard are documented in DOC form 02-383 *Local PREA Investigation Review Checklist*. The form is reviewed and signed by the Appointing Authority and any identified action items are implemented and tracked as applicable.

The Review Committee is convened bi-monthly to discuss cases across the state.

The auditor reviewed DOC form 02-383 *Local PREA Investigation Review Checklist* all elements of this standard were included on the form to which includes:

- A need for change in policy or practice
- Was the incident motivated by Race
- Assess whether physical barriers in the area enabled the abuse
- Assess adequate staffing levels
- Assess whether video monitoring should be deployed

The auditor also reviewed the Work Release Committee Action Plan, which details actions taken after reviews of substantiated or unsubstantiated cases. All substantiated cases with the work releases are all discussed.

During an interview with the Appointing Authority, he confirmed that the established committee will meet bi-monthly. During the meeting the community will review all substantiated and unsubstantiated case that was completed at any of the work release facilities. During the documentation period there were no cases reviewed for allegations that occurred at TCWTR.

During an interview with a member of the Incident Review Team, stated the team will look at whether the victim is an LGBTI resident, will look at the risk assessment to determine if previously identified, staffing plan for inadequacies in staffing levels and will look at cameras or blind spots that may have contributed to the assault.

The facility is in compliance with this standard.

Standard 115.287: Data collection

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

115.287 (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? X Yes No

115.287 (b)

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

115.287 (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? X Yes No

115.287 (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? X Yes No

115.287 (e)

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

115.287 (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.) X Yes No NA

Auditor Overall Compliance Determination

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

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy:
 - a. WADOC 490.800 *Prison Rape Elimination Act (PREA) Prevention and Reporting* (17 pages)
 - b. WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigator* (14 pages)
- 4) 2016 Survey of Sexual Victimization Summary from US Department of Justice, Bureau of Justice Statistics
- 5) Interviews with the following: NONE

(by Subsection):

Subsection (a)(b)(c)(d)(e)(f): WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigation* (page 12) states "Data will be aggregated at least annually and include available information from investigation reports and incident review committees, as well as from each private facility contracted to confine or house Department offenders."

In a memo to the auditor, TCWTR stated WADOC has established a PREA allegation and case database with OMNI. This system allows for the standardized collection of the following data elements:

- Case Outcomes and sanctions
- Accused (gender, race, age, height, weight) if the accused is an offender
- Investigation participants (witnesses, victim, accused, and reporter)
- Source of allegation
- Location
- Date allegation was received
- Date and time of the incident
- Type of Allegation
- Individual reporting the information
- Date and time reported
- Who the information was reported to
- Incident description
- Investigation Finding
- Alleged Victim (gender, race, age, height, weight) if the victim is an offender
- Referral (Law Enforcement, prosecution, licensing body)
- Disposition of Referral (Law Enforcement, prosecution, licensing body)
- Case notes

The Annual Agency PREA report from the previous calendar year, including identified agency and facility level issues and corresponding action/strategic plans, is accessible on the website. These reports contain both agency level and facility specific accurate and uniform data for every allegation of sexual misconduct for each calendar year.

The auditor did review the website and all reports and audits housed on the site. The auditor also reviewed the 2016 Sexual Victimization Survey to the Department of Justice.

Findings: The agency collects data for every allegation of sexual abuse at the facilities under its control utilizing a statewide database and definitions. The data collected includes information needed to complete the Survey of Sexual Violence conducted by the Department of Justice. The agency maintains all documents for all reports of sexual assault or sexual harassment.

The facility is in compliance with this standard.

Standard 115.288: Data review for corrective action

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

115.288 (a)

- Does the agency review data collected and aggregated pursuant to § 115.287 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? X Yes No
- Does the agency review data collected and aggregated pursuant to § 115.287 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? X Yes No
- Does the agency review data collected and aggregated pursuant to § 115.287 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? X Yes No

115.288 (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 X Yes No

115.288 (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? X Yes No

115.288 (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? X Yes No

Auditor Overall Compliance Determination

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

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy
 - a. WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigator* (14 pages)
- 4) Screen Shots of WADOC Public Website
- 5) Interviews with the following:
 - a. Agency Head
 - b. PREA Coordinator

(by Subsection):

Subsection (a)(b)(c)(d): WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigation* (page 12) states "The PREA Coordinator will generate an annual report of findings. 1) The report will include:

- a. An analysis of PREA prevention and response for the Department and for each facility, including high-level summary information and detailed facility data analysis.
- b. Findings and corrective actions at each facility and Department levels
- c. An assessment of the Department's progress in addressing sexual misconduct, including a comparison with data and corrective actions from previous years

2) The report requires the Secretary's approval. Approved reports will be available to the public through the Department's website.

a. Information may be redacted from the report when publication would present a clear and specific threat to facility security, but the report must indicate the nature of the material redacted.

In a memo to the auditor, TCWTR stated the Annual Agency PREA report from the previous calendar year, including identified agency and facility level issues and corresponding action/strategic plans, are accessible at <http://www.wa.gov.corre4ctions/prea/resources.htm#reports>. Reports beginning with calendar 2013 are also available. None of the reports to date include information that has been redacted due to safety and security.

The auditor did review the website and all reports and audits housed on the site. The agency completed and submitted the 2016 Sexual Victimization Survey to the Department of Justice.

During an interview with the WADOC PREA Coordinator all reports have been completed and can be located on the agency website.

Findings: The agency policy requires WADOC to review data collected and aggregated under standard 115.87 annually to assess and improve the effectiveness of sexual prevention, detection and response policies and practices and training to include: identifying problem areas, taking corrective action and preparing an annual report. The annual report includes a comparison of the current year's data and corrective action from prior years. The annual report is reviewed and approved by the head of the agency and posted on the agency's public website.

The facility is in compliance with this standard.

Standard 115.289: Data storage, publication, and destruction

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

115.289 (a)

- Does the agency ensure that data collected pursuant to § 115.287 are securely retained?
X Yes No

115.289 (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? X Yes No

115.289 (c)

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

115.289 (d)

- Does the agency maintain sexual abuse data collected pursuant to § 115.287 for at least 10 years after the date of the initial collection, unless Federal, State, or local law requires otherwise? X Yes No

Auditor Overall Compliance Determination

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

Evidence Reviewed (documents, interviews, site review):

- 1) Tri-Cities Work/Training Release's completed Pre-Audit Questionnaire
- 2) Memo to the Auditor
- 3) Policy:
 - a. WADOC 280.310 *Information Technology Security* (7 pages)
 - b. WADOC 280.515 *Electronic Data Classification* (5 pages)
 - c. WADOC 490.860 *Prison Rape Elimination Act (PREA) Investigation* (14 pages)
- 4) OMNI PREA Access/Security Group Table
- 5) Screen Shots of WADOC Public Website
- 6) State Record Retention Schedule

(by Subsection):

Subsection (a)(b)(c)(d): WADOC 280.310 *Information Technology Security* (page 2) states "Department Information Technology (IT) resources are Department property, and the Department is obligated to protect them. The Department will talk physical and technical precautions to prevent

misuse, and accidental damage to IT resources, including equipment and data. IT use and access must follow state law, regulations, and the Department policies and IT Security Standards”

In a memo to the auditor, TCWTR stated “the following systems are in place to ensure restricted access to all PREA Allegations, investigation, and related data within the WADOC:

- All allegations are reported via the Incident Management Report System (IMRS) within the Offender Management Network Information (OMNI) system. Access to any IMRS regarding PREA is restricted and confidential a limited to only those staff with a need to know. Access to this system is reviewed by the agency’s Emergency Operations Administrator to ensure access is essential to PREA related responsibilities.
- The PREA database within OMNI is the primary source of information regarding allegations and investigations. Access is limited to:
 - Agency Executive administrators
 - Appointing Authorities
 - Facility staff to include Associate Superintendents, Captains, Human Resource, Shift Commander, Intelligence and Investigation Chiefs, and staff designated to manage investigations within the facility
 - Identified Information Technology staff responsible for system maintenance

All access is reviewed and approved at the Headquarters level to ensure compliance with established restricted access parameters.

All investigative reports, hotline call recordings, and related allegation information is maintained with an access-restricted drive. Access to the drive is limited to the agency PREA Unit who is responsible for managing all allegations and maintaining related information.

The Annual Agency PREA report from the previous calendar year, including identified agency and facility level issues and corresponding action/strategic plans, are accessible at <http://www.wa.gov.corre4ctions/prea/resources.htm#reports>. Reports beginning with calendar 2013 are also available. None of the reports to date include information that has been redacted due to safety and security.

Findings: The agency utilizes a database called OMNI. All PREA related information is maintained with an access restricted drive. Only those within the PREA Unit are granted full access. None of the annual reports contain personal identify information.

The facility is in compliance with this standard.

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 prior three-year audit period, 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? (*Note: The response here is purely informational. A "no" response does not impact overall compliance with this standard.*) X Yes No

115.401 (b)

- Is this the first year of the current audit cycle? (*Note: a "no" response does not impact overall compliance with this standard.*) Yes X No
- If this is the second year of the current audit cycle, 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 during the first year of the current audit cycle? (N/A if this is **not** the *second* year of the current audit cycle.) Yes No X NA
- If this is the third year of the current audit cycle, did the agency ensure that at least two-thirds of each facility type operated by the agency, or by a private organization on behalf of the agency, were audited during the first two years of the current audit cycle? (N/A if this is **not** the *third* year of the current audit cycle.) X Yes No NA

115.401 (h)

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

115.401 (i)

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

115.401 (m)

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

115.401 (n)

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

Auditor Overall Compliance Determination

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

Standard 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.) X Yes No NA

Auditor Overall Compliance Determination

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

AUDITOR CERTIFICATION

I certify that:

- X The contents of this report are accurate to the best of my knowledge.
- X No conflict of interest exists with respect to my ability to conduct an audit of the agency under review, and
- X I have not included in the final report any personally identifiable information (PII) about any resident 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.

Robin M. Bruck _____

5-8-2019 _____

Auditor Signature

Date

¹ See additional instructions here: <https://support.office.com/en-us/article/Save-or-convert-to-PDF-d85416c5-7d77-4fd6-a216-6f4bf7c7c110>.

² See *PREA Auditor Handbook*, Version 1.0, August 2017; Pages 68-69.